



DRAFT

EVALUATION “SDC Humanitarian Aid: Emergency Relief”

APPROACH PAPER

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1. Background: Swiss Humanitarian Aid

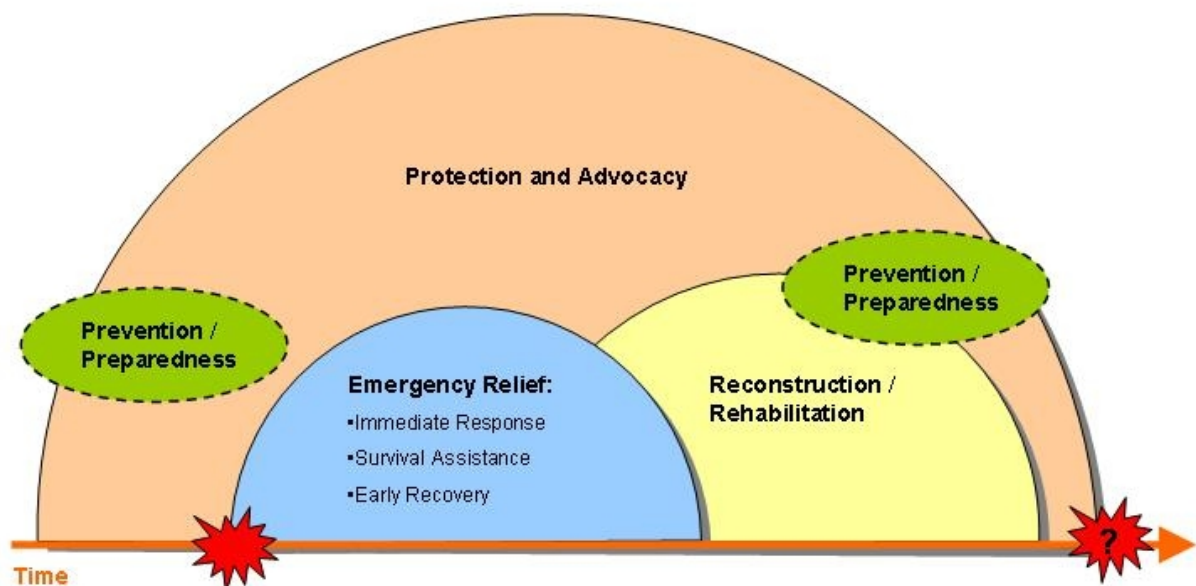
The Humanitarian Aid (HA) of the Swiss Confederation is a Department of the Swiss Agency for Development and Cooperation (SDC) within the Federal Department of Foreign Affairs (FDFA).

Switzerland's commitment to humanitarian aid is outlined in the federal law on international development cooperation and humanitarian aid, issued on March 19, 1976: "The aim of humanitarian aid is to preserve the lives of human beings who are in danger and to alleviate suffering through preventive and Emergency Relief measures; such aid is intended for victims of natural disasters and armed conflicts." On the one hand it provides direct help through the immediate deployment of expert teams from the Swiss Humanitarian Aid Unit (SHA) following natural disasters and in armed conflicts. On the other, it supports humanitarian partner organizations and contributes to the prevention and solution of conflicts.

The four strategic fields of activity in which humanitarian aid is active are¹:

1. Prevention and preparedness,
2. Emergency Relief,
3. Reconstruction/rehabilitation,
4. Protection and advocacy.

The 4 HA Strategic Fields of Activity:



¹ Source: leaflet "The Humanitarian Aid of the Swiss Confederation, SDC"

All humanitarian aid actions and programs take into account environmental aspects, gender-related social questions, human rights and government leadership. They include medium- and long-term considerations and work is coordinated with other measures such as development cooperation.

The Swiss HA, which is active worldwide, work in a rapid manner and is targeted, innovative, participative, coordinated, focused and effective. These are all elements of its mode of operation. It is working primarily on assisting people before, during and after the following crisis or disaster situations: natural disasters such as earthquakes, floods and droughts, crises such as the collapse of law and order and lack of social-security nets - Fragile States, conflicts such as wars, civil wars and other similar confrontations, technological disasters, terrorist attacks.²

Approximately one-fifth of the total SDC budget is earmarked for the HA of the Swiss Confederation. About one-third of HA's budget is spent on financing its direct bilateral operations and for programmes conducted by NGOs. The remaining two-thirds is used for funding international organisations such as the UN and the ICRC.

For additional information on the Swiss HA, please consult the Humanitarian Aid Bill: http://www.deza.admin.ch/en/Home/About_SDC/Legal_bases

1.1. The Emergency Relief

The evaluation will consider in particular the **Emergency Relief** (Immediate Response, Survival Assistance and Early Recovery). The Emergency Relief objective is to save lives, mitigate suffering and cover the basic needs of the victims. Any damage is repaired as quickly as possible and additional immediate steps are taken to help victims survive.

The most important tasks of the Emergency Relief are to:

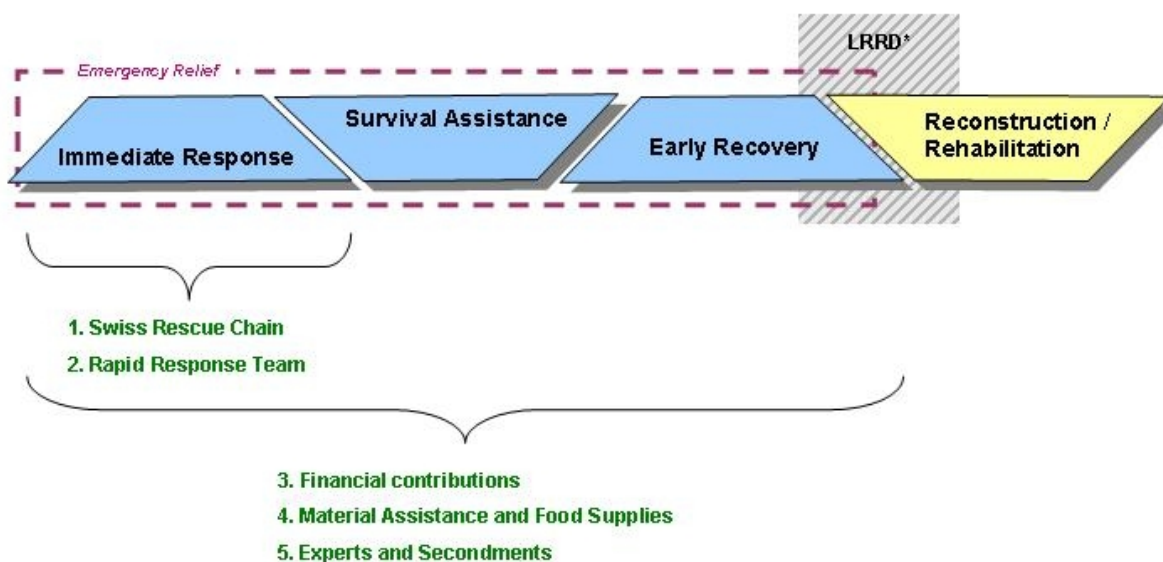
- Assess the situation and identify gender-specific needs
- Cover basic needs by providing drinking water and food supplies
- Provide temporary shelters
- Provide emergency medical assistance
- Care for and protect refugees, the displaced and homeless
- Strengthen the international coordination of relief efforts

The Emergency Relief encompasses the Immediate Response (life saving), the Survival Assistance and the Early Recovery. The Immediate Response is undertaken for 21 days and the Survival Assistance from 3 months up to 2 years. In such cases we speak about Protracted Relief. Depending on the contexts, the Relief can be continued with an Early Recovery phase. Generally there is an overlap between all these phases (linkages).

The following illustration is a visualisation of the different Emergency Relief phases with the different instruments that can be used to achieve HA objectives. The instruments are explained just after the illustration.

² Source: Humanitarian Aid of the Swiss Confederation, Strategy 2010, SDC

The SDC Emergency Relief Instruments:



* **LRRD**: Linking Relief, Rehabilitation and Development

As visualised in the illustration, the SDC HA activities are implemented through 5 instruments. The first 2 instruments explained are used only during the Immediate Response. The others are used during all the Emergency Relief depending on strategic choices. The 5 instruments of the Emergency Relief are³:

1. **Swiss Rescue Chain**: Swiss Rescue is the operational unit which can be immediately deployed abroad, primarily following earthquakes, for the purpose of locating, rescuing, and providing first aid to victims trapped and buried under the rubble. Swiss Rescue consists of representatives of private and public, civilian and military partner organizations, and is placed under the direct authority of the Swiss Delegate for Humanitarian Aid. The partner organizations from which Swiss Rescue draws its resources are: the Swiss Disaster Dog Association (REDOG); the Swiss Red Cross (SRC); the Federal Department of Defense, Civil Protection, and Sports (DDPS); the Federal Institute of Technology (Zurich); Swiss Air Rescue (REGA); Swiss International Airlines; and Unique Zurich Airport.
2. **Rapid Response Team (RRTs)**: The Rapid Response Teams are deployed in crisis situations, in the aftermath of natural disasters, and in conflict situations. Their mission is to conduct an assessment of the humanitarian needs on site and to rapidly initiate urgent relief measures in the crisis or disaster-stricken area. The Rapid Response Teams are composed of experts from the Swiss Humanitarian Aid Unit and experts from SDC Headquarters.
3. **Financial Contributions** to United Nations organisations (such as WFP, OCHA, HCR, UNRWA), the International Committee of the Red Cross (ICRC), state agencies, intergovernmental organisations and non-governmental organisations (NGOs).

³ Source: SDC website

4. **Material Assistance and Food Supplies:** the basic foodstuffs are flour (wheat, corn, rice, etc.) and dairy products (powdered milk, cheese). The general principles of Swiss humanitarian aid apply here as well: Financial support must be given according to the needs of the population. Whenever possible, food is purchased in the immediate or nearby area. Priority is always given to local staple foods which the population is familiar with, as opposed to non-local produce. The material consists of tents and other emergency shelters for more than 10,000 people. In addition there are enough emergency medical supplies to care for about 10,000 people for a three-month period, mobile drinking water laboratories and various other materials essential for survival. If required, additional items can be purchased in Switzerland or regionally and then sent to the disaster and/or crisis areas.
5. **Secondments:** experts from the SHA are made available on secondment mainly to UN organisations.

To ensure the Immediate Response to emergencies, the Swiss HA also has in place a tried-and-tested alarm system with a round-the-clock emergency contact.

Staff from the Swiss Humanitarian Aid Unit⁴ (SHA) are available to implement programmes and projects overseas. To rescue victims for instance buried in the rubble caused by earthquakes, the SHA can also call in the Swiss Rescue Chain as a special instrument to provide immediate help. The [Swiss Rescue](#) is ready for deployment within a few hours and can operate autonomously for up to seven days, providing drinking water, delivering and distributing food and aid supplies such as clothes and blankets, supplying and building shelters as well as providing the stricken population with any required medical support. These are essential factors for survival in disasters. For specialised operations, external personnel who, strictly speaking, do not belong to the SHA Unit, can also be deployed. Whenever possible, local personnel are given operational responsibility for activities in the field.

Since 2007, the Immediate Response is ISO 9001 certified. Since November 2008, the Swiss Rescue Chain is UN-OCHA classified (International Search and Advisory Group Guidelines).

2. Why an Evaluation and Why Now? – Rationale

SDC is interested in assessing SDC's response in crisis situations.

SDC HA undertakes lessons learnt and debriefing processes after each Emergency Relief response. These are self-assessments. The focus of these self assessments is on processes and their aim is to optimize the processes and instruments used. This external evaluation will build on these self-assessments. It will provide a more independent assessment to the implemented action and help to capture the results of the Emergency Relief activities. The critical outside perspective in addition to the self-assessments will reinforce accountability.

The Emergency Relief budget represents more than 40% of the overall HA bilateral budget. Therefore reaching conclusions on the results and processes of the Emergency Relief activities and learning some lessons to draw some recommendations for the future is relevant.

⁴ The Swiss Humanitarian Aid Unit (SHA) is the operational arm of the Swiss Confederation's Humanitarian Aid. The SHA is a "reserve" unit of 700 specialists integrated into Expert Groups on the basis of their knowledge and skills.

3. Purpose, Focus and Objectives

3.1. Purpose

The main purpose of this evaluation is to investigate some specific processes and results, learn lessons, improve policy and practice and enhance accountability, concerning the Emergency Relief.

Moreover, the evaluation will concretely:

- Provide knowledgeable information on SDC HA results (outcomes and impact) to respect the Switzerland's political tradition of accountability.
- Provide reliable information and lessons learned to direct the investments planned for the future.
- Provide reliable information and lessons learned to improve the effectiveness of the delivered aid.
- Provide, through case studies, relevant data for the staff deployed in the field.

3.2. Objectives

The objectives of this evaluation are:

- Provide findings, conclusions and recommendations – for SDC (Headquarters and in the field), local and international partners, governments (in Switzerland and in the field) - particularly on:
 - what has been achieved,
 - the relevance/appropriateness of the combination of Emergency Relief modalities,
 - the effectiveness and coherence of the intra- and inter-agency's partnerships.
- Provide information (good practices and lessons learned) on how to better improve planning and implementation of new Emergency Relief interventions within SDC strategy, in order to support:
 - positive results,
 - future strategy,
 - future investments.
- Identify any “weak links” in the bilateral and multilateral SDC Emergency Relief strategy in order to establish reasons for any findings of weak performance.

3.3. Focus and Scope

As mentioned SDC is interested in assessing SDC's response in crisis situations. Therefore, the evaluation covers the **Emergency Relief** (Immediate Response, Survival Assistance and Early Recovery) and the linkages between Immediate Response and Survival Assistance, and Survival Assistance and Early Recovery.

The evaluation covers the bilateral and multilateral Emergency Relief interventions due to conflicts and due to natural disasters.

The SDC Emergency Relief is understood as comprising all the SDC programs/projects/contributions related to Immediate Response (Life Saving Phase),

Survival Assistance and Early Recovery, coordinated by SDC, undertaken with other donors or planned and implemented by partners (bilateral or multilateral).

Successful results in a fragile environment depend, at least in part, on well sequenced and coherent progress across the political, security, economic and administrative domains. Working effectively across these domains requires donor countries to adopt a 'whole-of-government' approach⁵, involving departments responsible for security, and political and economic affairs, as well as those responsible for development aid and humanitarian assistance. The Swiss "whole-of-government" approach, in which SDC is actively involved, will not be evaluated in itself. However, SDC's roles in intra- and inter-agency coordination will be examined. Therefore, the evaluation encompasses only the interventions (projects, programs and/or contributions) implemented, decided or coordinated by the SDC HA. Concretely, this means that only SDC interventions implemented by partners will be evaluated but not the bilateral or multilateral partners themselves.

The focus of this evaluation is: to assess the processes and the results, particularly outcomes.

The evaluation will take into consideration different levels.

- Government (Swiss and partner)
- International/national Aid community
- Local populations (the direct and indirect beneficiaries)

3.3. Crisis situations to be evaluated

The evaluation:

- will analyse the SDC Emergency Relief programmes/projects/contributions in 3 humanitarian aid crisis situation mentioned below through the desk study (the first results will be presented in the *Inception Report*),
- will go further into the assessment by analysing in depth some selected interventions implemented during 1 selected HA crisis situation amongst the 3 mentioned below through 1 field study⁶.

By focusing on given crisis situations it is expected that the results of the evaluation will be more useful for SDC because of this focus.

The 3 selected crisis situations are:

- The conflict in Gaza from December 2008 to January 2009 and the conflict in Sudan which are representative of the SDC HA responses to conflict situations.
- The major earthquake which struck Haiti on January 12, 2010⁷ which is representative of the SDC HA responses to natural disasters.

⁵ OECD DAC Principles for Good International Engagement in Fragile States (2005).

⁶ If possible, a field study will also be organized in Gaza.

⁷ "Following the Haiti Earthquake in January 2010, and the large-scale relief effort that have been mounted, a number of evaluative efforts have been initiated or are being planned by diverse stakeholders. These include various bilateral and multilateral donors, the Inter-Agency Standing Committee, multilateral UN agencies, coalitions such as the UK's Disasters Emergencies Committee (DEC), the Canadian Humanitarian Coalition, and the Dutch Samenwerkende Hulporganisaties (SHO) as well as various individual agency efforts. **ALNAP, OECD-DAC Evalnet and UNEG and have decided to work together to jointly chair a meeting on May 18th-19th to bring together the key players involved in these ongoing and planned evaluative efforts.** The aim of the meeting would be to establish a shared understanding of the overall aims and priorities of the evaluative process in Haiti, and to start working collectively towards a coherent, useful and cost efficient process of commissioning and undertaking evaluations. It is hoped that this meeting will contribute to a better, more focused, strategic and utilisation-focused approach to evaluation in Haiti, thereby strengthening both learning and accountability of the

Some general information about the different backgrounds are listed below.

The evaluation covers 2 bilateral interventions (Haiti and Gaza) and 2 multilateral contributions (WFP in Sudan and UNRWA in Gaza).

Crisis situations	Type of analysis
<p><u>Conflict in Gaza (Dec. 2008 – January 2009):</u> SDC HA has been working there for many years (since 1949 through the UNRWA, since 1967 through ICRC) and SDC bilateral Cooperation since 1994. The period considered for the evaluation is January - December 2009. Types of intervention: Immediate Response (with the Rapid Response Team - RRTs), Survival Assistance and Early Recovery. Evaluation focus: the Immediate Response and Survival Assistance during the conflict (Linkages from development to Emergency Relief) i.e. comprehensive aid. The overall budget amounts to:</p> <ul style="list-style-type: none"> • For the relief phase: 4.25 Mio CHF • For the programm "Gaza 2009": 2.2 Mio CHF <p>Brief summary of the intervention:</p> <ul style="list-style-type: none"> • Support of SDC partners who have presence in Gaza Strip to provide basic non-food humanitarian items to needy people identified by UNRWA. PARC distributed locally purchased food items. Moreover, SDC partners helped UNRWA in the distribution to shelters and needy people. • 3 Mio CHF made available to the United Nations Relief and Works Agency (UNRWA); • Swiss Humanitarian Aid (SHA) has deployed two Rapid Response Teams of experts (RRTs) in connection with the humanitarian crisis in Gaza, to assess the humanitarian needs on-site and to initiate relief assistance; • A third team set up a logistics base in Cairo through which relief supplies were channeled from Egypt to Gaza; • SDC has sent and distributed relief supplies (food, blankets, sanitation articles, plastic sheeting, and canvas) to the Gaza Strip for an amount of 1 Mio CHF. Fixators for bone fractures provided by DDPS⁸ and private companies were supplied to various hospitals in Gaza as well (CHF 330'000); • In cooperation with the Hashemite Foundation, a Jordanian organization, mattresses valued at CHF 100'000 were delivered to UNRWA in the Gaza Strip; • A Logistics Expert from the SHA was seconded to the World Food Program (WFP). • A Reporting Officer is being seconded to the Office for the Coordination of Humanitarian Affairs (OCHA) for a period of 6 months to upgrade its human resources to achieve its mandate in order to play a pivotal role in advocating just and meaningful information about the humanitarian crisis. <p>"Gaza 2009" has the following components</p> <ul style="list-style-type: none"> • Ensure access to food for poor (semi) urban families • Ensure access to basic health services for women • Ensure access to psychosocial counselling services for traumatized people • Restore basic livelihood conditions • Increase agricultural production and improve its access in local markets • Improve the psychological wellbeing of the population and reinforcing the capacities in providing adequate psychological help 	<p>Desk Study and – if possible – field study</p>

international response". SDC believes that coordination among HA and development actors is crucial for reaching better results and increasing effectiveness. Therefore, SDC will participate in this meeting. However, since the present evaluation was planned before the Haiti earthquake and its scope goes beyond the Haiti earthquake, it will be implemented as planned. SDC will assess after the ALNAP meeting whether collaboration is feasible.

⁸ Department for Defence Civil Protection and Sports

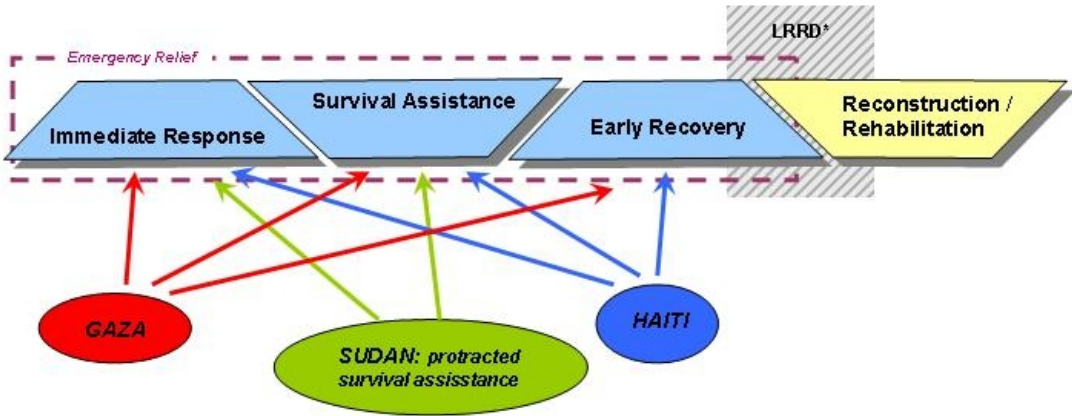
<ul style="list-style-type: none"> • Ensure awareness and access to entrepreneurship • Promote Human Rights and Good Governance through donors aid harmonized secretariat 																			
<p><u>Earthquake in Haiti (on January 12, 2010):</u> The period considered for the evaluation is Official Set phase 16.01. until 01.03.2010, Hence, Early Recovery phase on going. Types of intervention: Immediate Response (without the Swiss Rescue Unit), Survival Assistance, Early Recovery and LRRD⁹ Evaluation focus: Beneficiary Target: Victims of the earthquake</p> <p>The overall budget amounts to:</p> <p>Bilateral</p> <table border="0"> <tr> <td>§ Swiss aid supplies, incl. transport</td> <td>5,070,000 CHF</td> </tr> <tr> <td>§ Direct action</td> <td>1,500,000 CHF</td> </tr> <tr> <td>§ Operational costs (personnel)</td> <td>1,350,000 CHF</td> </tr> <tr> <td>§ Swiss Red Cross</td> <td>500,000 CHF</td> </tr> </table> <p>Multilateral</p> <table border="0"> <tr> <td>§ ICRC</td> <td>1,000,000 CHF</td> </tr> <tr> <td>§ WFP</td> <td>1,000,000 CHF</td> </tr> <tr> <td>§ WFP logistic support</td> <td>940,000 CHF</td> </tr> <tr> <td>§ WFP secondments</td> <td>140,000 CHF</td> </tr> <tr> <td>§ OCHA</td> <td>500,000 CHF</td> </tr> </table> <p>Total 12,000,000 CHF</p> <p>Brief summary of the intervention: Swiss Humanitarian Aid responded by launching a comprehensive relief operation and dispatching more than 110 experts (doctors, logistics' specialists, water/sanitation engineers and emergency shelter experts) to the disaster zone.</p> <p>§ Aid deliveries A total of three cargo planes delivered more than 170 tonnes of aid supplies (large- and family-size tents, tarpaulins, medicines and medical materials and equipment, building tools, rubber water tanks, mosquito nets, blankets, kitchen sets, water canisters etc.). Due to the capacity overloading at the airport in Port-au-Prince, most of the aid arrived in Haiti via the Dominican Republic.</p> <p>§ Medical support The Swiss medical team, divided into four separate units, worked in the Haitian State University Hospital, treating over 800 patients, some 620 of whom required surgery (in many cases life-saving). The team also assisted 95 births, with many of the women requiring a Caesarean section. In early March, management of the paediatrics unit was handed back to the hospital administration.</p> <p>§ Shelter With help from the US armed forces and local NGOs, around 2,000 families (approx. 10,000 people) in Santo Domingo were provided with material, including timber, sheets of corrugated iron, planes, wire, nails and tools, to build temporary shelters.</p> <p>§ Water In cooperation with local firms and the authorities, around 50 existing drinking water distribution points (known locally as "water kiosks") in Port-au-Prince were reinstated and/or temporary points were set up, which provided clean drinking water to over 50,000 people.</p>	§ Swiss aid supplies, incl. transport	5,070,000 CHF	§ Direct action	1,500,000 CHF	§ Operational costs (personnel)	1,350,000 CHF	§ Swiss Red Cross	500,000 CHF	§ ICRC	1,000,000 CHF	§ WFP	1,000,000 CHF	§ WFP logistic support	940,000 CHF	§ WFP secondments	140,000 CHF	§ OCHA	500,000 CHF	<p>Desk Study and Field Study</p>
§ Swiss aid supplies, incl. transport	5,070,000 CHF																		
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§ WFP	1,000,000 CHF																		
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§ WFP secondments	140,000 CHF																		
§ OCHA	500,000 CHF																		

⁹ The Early Recovery Phase will be considered only for the Haiti case study as there will be overlapping between the Relief and the Recovery during the period of the evaluation field study.

<p>Conflict in Sudan: SDC has been supporting UN agencies and non-governmental organisations (NGOs) working in Sudan since 1994. The North-South peace agreement signed in 2005 has been overshadowed by the civil war that broke out in Darfur in 2003. The growing humanitarian needs in Darfur prompted the SDC to intensify its cooperation activities. Its humanitarian programme in Sudan focuses on emergency aid and repatriation assistance for internally displaced persons and refugees. Food security, access to drinking water, health services and the protection of civilians are central concerns, with Darfur, the Nuba Mountains and Northern Bar el Gazal (Southern Sudan) as the priority regions. The SDC programme in Sudan is coordinated by its representation in Khartoum and the Programme Office in Juba.</p> <p>The period considered for the evaluation is 2009-2010 and will focus on the WFP operations supported by SDC.</p> <p>Brief summary of the WFP intervention: Sudan is WFP's largest operation in the world. WFP provides food assistance to over 6 million vulnerable people. WFP works in Darfur , the south, east and transitional 'Three Areas' (Abyei, Blue Nile and South Kordofan).</p> <p>Types of intervention: Immediate Response and Survival Assistance (Emergency Operation 10760.0 and EMOP 200027), Development Operations (Country Programme 10105.0) as well as Special Operations (Logistics: different projects)</p> <p>Evaluation focus: multilateral contributions to WFP Emergency Relief operations (EMOP 10760.0 and EMOP 200027)</p> <p>Beneficiary Target for the EMOPs: 5.9-6.4 million people per year.</p> <p>The overall budget for the two EMOPs amounts to USD 1.764 billion from 01.01.2009 to 31.12.2010.</p>	<p>Desk Study</p>
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The following illustration summaries the different phases and crisis situations that are to be evaluated:

The crisis situations to be evaluated:



*LRRD: Linking Relief, Rehabilitation and Development

4. Key Questions

The main key question is:

- **Does SDC mitigate suffering and save lives in a timely manner?**

Sub-questions:

- § Did the instruments used and the deployed means contribute to mitigate suffering and save lives?
- § Were the instruments used and the deployed means in line with the international action?

SDC performance is to be measured against the DAC/ALNAP standard criteria¹⁰ and the SDC HA Quality Standards in the table below.

DAC/ALNAP criteria	SDC Quality standards
i. Coherence (<i>coordinated</i> ¹¹) <div style="border: 1px solid black; padding: 5px;"> <p>Coherence: taking into account the intra- and inter-agency partnerships.</p> </div>	International coordination mechanisms are established
	The coordination/cooperation with partners (international and local, intra- and inter-agency coordination) is strengthened
	The joint position on issues linked to the humanitarian crisis is agreed among international/national partners
	The response strategy (instruments chosen, mix of bilateral and multilateral actions and means deployed) is in line with international action
ii. Relevance/appropriateness (<i>targeted and rapid</i> ¹²) <div style="border: 1px solid black; padding: 5px;"> <p>Relevance/appropriateness: assessing whether the projects/programs/contributions are in line with local needs and priorities, and tailored accordingly. This issue is related to the tension between the need for pre-positioning/responsiveness and the need to be context driven/culturally appropriate.</p> </div>	The response strategy (instruments chosen, mix of bilateral and multilateral actions and means deployed) is in line with local needs and priorities
	The response strategy (instruments and means) has been decided and implemented timely
	The response strategy (instruments and means) has been targeted to the injured in the most need of support
	The response strategy (instruments and means) address cross-cutting issues such as gender, environment, HIV/AIDS and “Do-No Harm” strategy.
	The response strategy (instruments and means) is in line with the context (geographic area, type of emergency and historical, social, economic, political and cultural factors)
	The response strategy (instruments and means) explicitly identifies beneficiaries in number, type and allocation and has realistic objectives
	Changes in the context were monitored and the response strategy (instruments and means) adjusted accordingly
	The M&E and reporting systems ensure timely and objective information with regard to the context, the outputs and the overall performance
	SDC ER policies, organisational structure, culture and M&E systems favour change/willingness to innovate in response to lessons learned
	iii. Effectiveness of emergency response (<i>effective</i> ¹³)
Persons of concern – particularly children, children, women, older and disabled – are safe from acts of violence, abuse and exploitation	

¹⁰ Guidance for Evaluation Humanitarian Assistance in Complex Emergencies, DAC, OECD, 1999; Evaluating humanitarian action using the OECD-DAC criteria, An ALNAP guide for humanitarian agencies, ALNAP, ODI, London, March 2006.

¹¹ HA mode of operation criteria

¹² HA mode of operation criteria

DAC/ALNAP criteria	SDC Quality standards
<p>Effectiveness: assessing the results achieved considering the intra- and inter-agency coordination, and considering the tension between the pre-positioning/responsiveness and the local needs and priorities.</p>	Persons of concern have access to proper sanitation services
	Persons of concern have access to adequate housing
	Persons of concern have sufficient and quality of food
	Persons of concern have access to primary curative and preventive healthcare services as well as health education, according to their age and physical conditions
	Persons of concern have access to basic domestic and hygiene items
	Persons of concern have access to safe and drinkable water
	The contributions made (commodities distributed, services provided) were of suitable quality
iv. Connectedness (<i>modus operandi</i>)	The M&E and reporting systems ensure timely and objective information with regard to the context, the outputs and the overall performance
	The response strategy has lead to strengthening the work of national partners and local activity partners over the longer term
<p>Connectedness: ensuring that short-term Emergency Relief is carried out taking systemic, longer-term issues into account. Assess how SDC HA expertise shifts from one proceeding (<i>modus operandi</i>) to another in changing contexts and transition periods.</p>	A strategy was outlined, and implemented, for turning from relief to reconstruction/rehabilitation and to development (LRRD)

The evaluation will assess to what extent SDC fulfils the quality standards¹⁴. The evaluation findings for each crisis situation should be summarized along the following performance dimension framework:

Performance	DAC/ALNAP criteria	HAITI crisis situation		GAZA crisis situation		SUDAN crisis situation	
		Rating		Rating		Rating	
Performance Dimension: "Planned Response"	i) Coherence (<i>coordinated</i>)						
	ii) Relevance/appropriateness (<i>targeted and rapid</i>)						
Performance Dimension: "Implementation Performance"	iii) Effectiveness of emergency response (<i>effective</i>)						
	iv) Connectedness (<i>modus operandi</i>)						

¹³ HA mode of operation criteria

¹⁴ Some of the quality standards in yellow may not be assessable in all humanitarian crises considered in this evaluation. **When possible, the evaluation team will deliver the approximate number of the persons of concern reached by aid.**

The evaluation team will attribute a rating for each DAC/ALNAP criteria on the basis of the quality standards and then calculate an overall crisis situations intervention quality rating.

Quality Ratings: HS = Highly Satisfactory; S = Satisfactory; U = Unsatisfactory; HU – Highly Unsatisfactory.¹⁵

Justification for overall ratings:

Summary of strengths	Summary of weaknesses

For an example see the the CAER Cluster Evaluation Pakistan Earthquake, AusAID, July 2006, available on the following website:

http://www.usaid.gov/pressroom/publications/pubout.cfm?ID=7729_1162_1647_6237_6572

5. Recommendations

Based on the findings and conclusions of the evaluation:

- Considering the strengths and weaknesses of the SDC Emergency Relief, what are the recommendations for the future Emergency Relief strategy?
- What are the recommendations about the structure of the Emergency Relief procedure within SDC HA strategy?
- What are the recommendations to improve the SDC expertise to shift from one proceeding (modus operandi) to another in changing contexts and transition periods?

Two different levels of recommendations need to be considered:

- In the case study report: recommendations for local partners and Cooperation Offices.
- In the main report: recommendations for the SDC HA Department.

6. Expected Results

6.1 Output Level

By the consulting team:

- An Inception Report, max. 25 pages excluding appendices; a final Inception Report will be produced after receiving comments from the CC Section and the CLP.
- A fit to print evaluation report in English containing findings, conclusions and recommendations not exceeding 40 pages plus appendices and including an executive summary.
- A summary (Abstract) according to DAC-Standards not exceeding 2 pages produced by the evaluation team and edited by the CC Section.
- The case study report(s) (in English).

By SDC:

- An agreement at Completion Point including the response of the CLP and the Senior Management Response to the recommendations and, if essential, to the conclusions of the evaluation.
- Some lessons drawn by the CLP
- The dissemination of lessons learned (for example to DAC).

¹⁵ See annex 1 for more information about the rating principles.

6.2. Outcome Level

The evaluation “Emergency Relief” is expected to contribute:

- To the analysis of the implementation of the SDC Emergency Relief interventions within some countries, by SDC and its bilateral and multilateral partners.
- To the analysis of some processes and results of the SDC Emergency Relief interventions.
- To the sharpening of SDC’s understanding of Emergency Relief engagement and contributions in the crisis situations assessed.
- To improve planning (also context analysis) and implementation of new Emergency Relief measures everywhere.
- To knowledge on SDC Emergency Relief interventions in general.
- To better position and focus Emergency Relief and its linkages to development within SDC’s portfolio.
- To increase coordination and coherence with other HA actors (exchange of lessons learned).
- To increase lessons learned on good practices (focus on the reasons of success).
- To identify any “added value” and any “weak links” in the choices undertaken during the Emergency Relief actions analysed, so as to establish reasons for any findings of weak performance.

7. Partners

7.1. Organisational Set-up and Respective Roles

The **Core Learning Partnership (CLP)** ensures that the consultants have access to all necessary information (documents, interviews). The CLP comments on the evaluation design (Inception Report) and the draft evaluation report. During the Completion Point Workshop, the CLP discusses the evaluation findings, conclusions and recommendations and negotiates and approves the Agreement at Completion Point (ACP) and the Lessons Learned. It decides who should be targeted for dissemination.

Department-level Management and the **Director General** of SDC comment on the Agreement at Completion Point (“Politikfragen”).

Consultants contracted by SDC’s Corporate Controlling Section elaborate an evaluation work plan and methodology and an Inception Report, carry out the evaluation according to international evaluation standards, conduct debriefings with stakeholders as appropriate, present a draft of their Evaluators’ Final Report to the CLP, follow up on the CLP’s feedback as appropriate and submit the Evaluators’ Final Report in publishable quality as well as an Evaluation Abstract according to DAC specifications. The evaluation team leader attends the first and second CLP meetings in Switzerland as a resource person.

Section, Corporate Controlling (CC), SDC, commissions the evaluation, drafts the Approach Paper, drafts and administers the contracts with the evaluators, organizes remarks on the Inception Report, ensures that the evaluators receive appropriate logistical support, including the organization of field missions, and access to information and organizes the overall process with respect to i) discussion of the Inception Report, ii) discussion of the evaluation results, iii) elaboration of the Agreement at Completion Point and Lessons Learned, iv) publication and iv) dissemination (contact: Valérie Rossi, when absent Anne Bichsel).

7.2. Core Learning Partnership (CLP)

The Core Learning Partnership will consist of the following members:

- SDC Humanitarian Aid Domain
 - Management and Emergency Relief: Beat Von Däniken (1)
 - Soudan/WFP: Martin Jaggi and/or Thomas Frey (1)
 - Haiti: Eliane Kiener (1)
 - Gaza: Burgi Roos (1)
 - HR/Field (1)
- SDC Regional Cooperation Domain:
 - Desk Haiti: Vesna Dimcovsky (1)

Resource person: Yves Mauron (Humanitarian Aid Quality Assurance)

Valérie Rossi (Corporate Controlling Section - CC) will facilitate and coordinate de CLP.

8. Process

8.1. Methodology and Approach

The evaluation is to be undertaken as a mixed approach, drawing as extensively as possible on available data combined with thorough qualitative studies. Rigorous qualitative approaches should likewise be employed to analyse and examine the data, explore causality, and to understand project processes, external influences, etc. The evaluation will employ the usual methodologies such as review of relevant literature and evaluation reports about programmes and projects related with the HA programmes/projects/contributions assessed, review of relevant SDC documents, focus group sessions¹⁶ and community surveys (such as refugee camps) with sampling strategies, semi-structured interviews or surveys with staff at SDC headquarters and other partners involved in HA activities, case studies (**applying strong methods**) with site observations, analysis of data and report writing.

During the desk Study the evaluation team will carry out a meta-analysis of all the debriefing notes and final reports of the four HA crisis situations assessed.

The Haiti Emergency Relief Assessment will be carried out through a desk study and a field study which will combine a standard evaluation procedure for the interventions already implemented (Immediate Response and Survival Assistance) and a **real-time evaluation methodology**¹⁷ for the interventions in progress (part of the Survival Assistance, the Early Recovery and the LRRD).

The Assessment of the multilateral contributions will be carried out through an analysis of some available evaluations and progress reports of two multilateral organizations, namely

¹⁶ "Experience shows that interviews with beneficiaries can be one of the richest sources of information en evaluations of humanitarian assistance. The use of Rapid Rural Appraisal and Participatory Rural Appraisal techniques can be very helpful in selecting members of the affected population to be interviewed and in the structuring of the interview", Guidance for Evaluations Humanitarian Assistance in Complex Emergencies, DAC, OECD, p. 25.

¹⁷ Real-time evaluations of humanitarian action, An ALNAP Guide, Pilot Version, John Cosgrave, Ben Ramalingam, Tony Beck. Available on the ALNAP website.

the WFP contribution to Sudan¹⁸ and the UNRWA contribution to Gaza. The analyse will be supported by interviews and an analysis of the M&E procedures implemented by this partner with regard to the two interventions mentioned.

Care needs to be taken that the methods and approach chosen effectively capture all the **performance dimensions** with an emphasis on the DAC/ALNAP criteria mentioned in chapter 4. All the weaknesses and strengths of the selected methodologies need to be explained in the Inception Report and then in the final Report.

The context in which the HA is implemented strongly influences the performance of the HA activities. Local socio-political factors can support or not the achievement of results. The lack of security, a fragile or failing state influence the HA action itself as well as the performance of its action. Therefore, care needs to be taken that the methods and approach chosen effectively capture all the **interrelations between the context and the HA performance**.

Moreover, as the linkages between the 3 Emergency Relief phases is an important issue for achieving results in a crisis situation, the evaluation methodology needs to take care to integrate relevant methodologies and approaches, to address the linkages between the different phases, such as the linkage between Immediate Response and Survival Assistance, and between Survival Assistance and Early Recovery.

The evaluation's target groups are:

- Beneficiaries.
- Swiss and partner Government (incl. their institutions involved in HA interventions).
- International and national aid communities.

As mentioned in Chapter 3.2 and 4, the evaluation focus is related to 2 performance dimensions (the planned response and the implementation performance) and the DAC/ALNAP criteria for HA.

The main steps of the evaluation are depicted in the table "Main Steps" (see below). The design of the evaluation is planned as an **iterative process**. Both key questions and methods presented in this paper and developed by the selected evaluation team in an evaluation proposal and further in an Inception Report¹⁹, are to be adapted in close collaboration with the Core Learning Partnership (CLP).

The main inputs for the evaluation design are (see graph below):

- Approach Paper and Evaluation Proposal
- SDC HA Emergency Relief program and project Documents.
- Inception Report
- First Meeting of the CLP.
- Feedback of the Inception Report
- Interviews in Switzerland.

Based on these inputs the evaluation team is expected:

- To finalize the evaluation design
- To finalize the ToR for the local evaluators.

¹⁸ For the analyze of the WFP contribution to Sudan it will be possible to use the results of the Swiss Aid Effectiveness Report's field study

¹⁹ As mentioned before, the Inception Report will consider a documentary study as well as interviews (surveys and/or phone interviews). The Inception Report will also retrace the main assumptions, hypotheses for the projects/programmes/contributions as well as targets and indicators. It will also explain the weaknesses and strengths of the selected evaluation methodologies. Almost all the important programmes will be considered during the Inception Report. While only some elements of the activities implemented in Haiti and Myanmar will be considered during the field study. The evaluation team may suggest a frame for the Inception Report.

- To finalize the Inception Report
- To finalize the final report, incl. the field studies reports.

For explanatory remarks on sequence and responsibilities see chapters 7.1. and 8.2

8.2. Main steps – Schedule

Activity	Date	Responsible
Evaluation Program approved by SDC Directorate	2009	
Preparatory meetings (discussion on the evaluation focus, definition of the CLP members, etc.)	January-March 2010	Corporate Controlling Section (CC)
Draft of the AP	March	CC
First discussion on the AP (1st CLP meeting or only some stakeholders)	February	CC
Call for offers	End of March	CC / Evaluators
Analysis of the evaluation proposals	Mai	CC
Contracts signed with evaluators	Mai	CC
Documentary Study	June-July	Evaluators
Qualitative interviews with stakeholders and former programme staff (expatriate and local staff)	June-July	Evaluators
Inception Report and 2nd CLP meeting : presentation of the evaluation methodology (by the consultant) and CLP comments on the Inception Report	July or August	Evaluators / CLP / CC
Finalization of the Inception Report (incorporation of SDC comments)	August	Evaluators
Logistic and administrative preparation of the evaluation mission	July-August	CC / Evaluators / LAS
Case Studies (Haïti)	September	Evaluators
End of mission workshop (Haiti, possibly Gaza) ²⁰	End of September	Evaluators / CC
Data analysis and writing draft report	October	Evaluators
3rd CLP Meeting : Discussion of Draft Report	End of October (meeting in November or December)	Evaluators / CLP / CC
Final Report, incorporation of final comments	December	Evaluators
4th CLP Meeting : Discussion on Recommendations; Agreement at Completion Point	January	CLP / CC
SDC Management Response	End of February or March	CC
Publication	April	CC

8.3. Evaluation Team

The **evaluation team** is to consist of at least two international evaluators and some national evaluators for the planned field studies. The team should comprise both genders. The evaluators are expected to have the following evaluation and subject matter expertise and experience:

- Up-to-date knowledge on HA issues, particularly Emergency Relief and linkages periods.
- Strong analytical and editorial skills and ability to synthesize.
- Professional evaluation experience, particularly on results level and HA.
- Skills and experiences in robust evaluation methodologies.

²⁰ At this workshop the evaluation team raises issues for clarifications and discussion, and participants provide points of correction and additional insights.

- Field experience in different regions.

The international evaluators are expected to have:

- Field experience in the assessed countries or at least in the regions considered.
- Field experience in HA contexts.
- Ability to work well in English.
- Ability in steering complex processes involving a multiplicity of partners.
- Experience with evaluation of HA measures, particularly Emergency Relief phases, as well as with linkages phases
- Experience with gender and governance issues
- Experience in multilateral and bilateral cooperation.

The case study evaluators are expected to have:

- Willingness to contribute to a team effort and to cooperate with the international team leaders.
- Field experience.
- Not to be close associates of SDC.

9. Reference Documents

9.1. SDC and Related

A documentation list will be prepared by The Corporate Controlling Section and the Humanitarian Aid Department.

- As a starting point for the Evaluation Proposal, please consult the SDC website: <http://www.deza.admin.ch> .

9.2. Other Publications

The evaluation team will consider other publications relevant for the evaluation. Below are some relevant websites:

- www.alnap.org
- <http://blogs.uit.tufts.edu/gettinghumanitarianaidright/>
- Feinstein International Center:
<https://wikis.uit.tufts.edu/confluence/display/FIC/Feinstein+International+Center>
- International Initiative for Impact Evaluation, 3ie, <http://www.3ieimpact.org> .

9.3. Resource People

A list of resource people will be prepared by the Corporate Controlling Section and the Humanitarian Aid including partners and staff engaged in SDC Emergency Relief programmes and projects.

10. Annex

10.1. Annex 1: Quality ratings and ratings principles²¹

Descriptions of Quality Ratings:

- Highly satisfactory (HS): This rating indicates that the individual item or the overall Emergency Relief intervention has significant strengths which would justify the elevation of the rating above Satisfactory.
- Satisfactory (S): This is the lowest rating that satisfies SDC requirements for the item or the overall Emergency Relief intervention. The item (or the overall intervention) satisfies all SDC requirements and there are only a few minor weaknesses. For an overall intervention rating of "Satisfactory", no Attribute should be rated "Highly Unsatisfactory" and the majority of DAC/ALNAP criteria should be rated "Satisfactory" or higher.
- Unsatisfactory (U): This rating indicates that the individual item or the overall Emergency Relief intervention has significant weaknesses. For an Emergency Relief intervention to be rated Unsatisfactory overall, there must be a substantial number of weaknesses which had/have the potential to undermine the capacity of the intervention to achieve its objectives.
- Highly Unsatisfactory (HU): This is a rating that indicates serious deficiencies in the item or overall Emergency Relief intervention. An intervention would only be given an overall Highly Unsatisfactory rating if there were widespread problems which have/will have the effect of preventing achievement of its objectives.

Some Ratings principles:

- The emphasis is on quality and not quantity of analysis. In this regard multi-context sampling is important; the perspectives of key stakeholders (partners, beneficiaries, other donors and government agencies) need to be taken into account.
- Only one rating may be awarded per item (DAC/ALNAP criteria or Performance Dimension)
- Ratings against individual Standards are not necessary; the standards are only a guide to assessing the quality rating of a DAC/ALNAP criteria.
- Provisional ratings (consequent upon the Desk Study) will be adopted pending the receipt of further information following field study and debriefing.
- The quality DAC/ALNAP criteria within a Performance Dimension should be rated before the actual Performance Dimension. When the Performance Dimensions are finalised it is then possible to rate the overall Emergency Relief intervention.
- Ratings should not be averaged when converting to a higher level, eg, from quality DAC/ALNAP criteria to Performance Dimensions. Where the appropriate Performance Dimension level rating is not readily apparent, it is important to reflect upon the relative significance of particular DAC/ALNAP criteria in arriving at an overall Performance Dimension rating.
- Strengths and weaknesses should be briefly recorded in the DAC/ALNAP criteria comments column to capture the key issues in relation to the quality standards for that DAC/ALNAP criteria.

²¹ Source : CAER Cluster Evaluation Pakistan Earthquake, AusAID, July 2006, available on the following website: http://www.ausaid.gov.au/publications/pubout.cfm?ID=7729_1162_1647_6237_6572