



IFRC/M.Tsukamoto

Strong in emergency; progressing in recovery: A Real Time Evaluation of the IFRC Ecuador Earthquake Response Operation 16 April to 16 July 2016

Final report 5 September 2016

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Acronyms and abbreviations

ARO:	Americas Regional Office
CRC:	Canadian Red Cross
CTP:	Cash Transfer Programme
DANA:	Damage And Needs Assessment
DREF:	Disaster Relief Emergency Fund
EPoA:	Emergency Plan of Action
ERC:	Ecuadorian Red Cross
ERU:	Emergency Response Unit
HeOps:	Head of Emergency Operations
DHEOps	Developing Head of Emergency Operations
HNS:	Host National Society
HQ:	Headquarters
ICRC:	International Committee of the Red Cross
IFRC:	International Federation of Red Cross and Red Crescent Societies
IM:	Information Management
KI:	Key Informant
KII:	Key Informant Interview
MIES:	Ministry for social and economic inclusion
MOH:	Ministry of Health
NS:	National Society
OCHA:	Office for the Coordination of Humanitarian Affairs
OEC:	Operations Emergency Committee
PNSs:	Partner National Societies
PSS:	Psychosocial Support
RC:	Red Cross
RCRC:	Red Cross and Red Crescent
RIT:	Regional Intervention Team
RTE:	Real-time evaluation
RRU:	Regional Response Unit
SIMS:	Surge Information Management System
SOP:	Standard Operating Procedures
SRM:	Secretariat for Risk Management, Ecuador
TOR:	Terms of Reference
UN:	United Nations
USG:	Under Secretary General, IFRC

Acknowledgements:

The Real-time Evaluation (RTE) team is grateful to all those who made themselves available for interview both Movement and external actors: field communities visited in Manabí and Esmeraldas provinces, the Ecuadorian Red Cross (ERC) volunteers, branch presidents, International Federation of Red Cross and Red Crescent Societies (IFRC) staff and other Movement members who provided invaluable information and in some cases relevant anecdotes to the evaluation team, national and local authorities and international actors. The team is especially grateful to the ERC and in particular Roger Zambrano, who was able to facilitate the logistical arrangements and the agenda for ensuring that the work of the RTE team would be able to reach and interview different communities in both affected provinces of Manabí and Esmeraldas. The RTE team also welcomed the support received from the IFRC in Ecuador, Panama and Geneva to ensure that the RTE could take place.

The RTE Team leader would also like to express his gratitude for the support from the other two team members, whose experience and capacities contributed to the analysis that serves as a basis for the current draft evaluation report.

Executive Summary

1. The earthquake of 16 April 2016 caused 663 deaths and more than 28,775 affected people in collective centres, with 6,274 people injured, 9 declared missing, 1,125 buildings destroyed and 113 people rescued alive in the affected provinces of Ecuador¹. 720,000 persons were estimated to be in need of assistance.² The response from the Ecuadorian Red Cross (ERC), together with the support of the International Federation of Red Cross and Red Crescent Societies (IFRC), Participating National Societies in the immediate rescue operations (Colombian Red Cross and Mexican Red Cross), and that of the International Committee of the Red Cross (ICRC), was very timely. On 17th April equipped field teams were deployed to the affected areas by the Red Cross, and an IFRC delegate also arrived from Lima to assist in the coordination and response operations. The Americas' Regional Office (ARO) immediately established an Emergency Operations Centre (EOC) in Panama to coordinate and support the response. The response was undertaken as a regional response, with human resources and logistical means primarily deployed from the Americas.
2. The ERC response in the emergency phase varied from good to very good according to the different areas where the assistance was provided. While immediately after the earthquake the ERC worked in urban areas, it quickly decided to focus its assistance in rural communities. An ERC survey of 3,055 affected families in both Manabí and Esmeraldas provinces indicated a high percentage of beneficiary satisfaction with the assistance received. 2,928 families gave a high or very high rating to the Red Cross (95.8%). Generally, the RTE Team found that in the four communities visited in the two provinces, the population was indeed satisfied with the assistance received from the Ecuadorian Red Cross. One strength is that the assistance was multisector, and covered a wide range of needs. Another, that the ERC had proper distribution mechanisms in place that facilitated accountability. The operational response was only possible through the commitment and dedication of ERC volunteers and staff and Movement members. A number of examples were given by national authorities and stakeholders on the quality of the work performed by the Red Cross.
3. At the global humanitarian level, differences were found with other surveys undertaken. For example, in one real-time survey undertaken by Spain Click on 3 and 4 May 2016 in Ecuador³, only 27% of the respondents indicated that

¹ http://www.redhum.org/uploads/documentos/pdf/Redhum_EC_INFORME-n71-SISMO-78-20302_SGR-20160519-IA-18450.pdf

² UN OCHA Flash appeal, 22 April 2016

³ Please refer to the survey on SpainClick website: [spainclick-completo.pdf](http://spainclick.com_informe-terremoto-ecuador-spainclick-completo.pdf)

humanitarian assistance covered their needs, while 59% considered the assistance to have been insufficient.

4. While the ERC managed to cover the most urgent needs of the population, field interviews in the four communities showed three outstanding needs: 1) some communities were more affected by the aftershocks of 19 May and 10 July 2016, and an assessment should be made to incorporate those affected into the assistance of the ERC, 2) the psychosocial support was deemed to be critical by all those interviewed, and there remain outstanding needs for this sort of support; and 3) community disaster preparedness had not been undertaken in these communities before the earthquake and therefore the population did not know how to react during the earthquake or the aftershocks.
5. Despite many challenges and the complex operating environment linked to the political situation, the ERC was able to cover the immediate needs of the communities where they worked. The timeliness of the assistance to some of the rural communities did not appear to be as high as for the immediate urban response, and a more participatory approach to engaging the communities could be envisaged. This is particularly relevant towards a medium-term vision to complete the remaining nine months of appeal recovery assistance.
6. The support of the IFRC proved very important for the ERC, and was both welcomed and appreciated. A number of staff were deployed under several capacities, and the global appraisal of the ERC regarding IFRC support was very positive. Some 70% of the staff deployed by the IFRC were judged very good or excellent by the ERC. The Regional Response Unit for health deployed through the Canadian Red Cross also proved effective in enhancing the emergency health response in the country. In terms of the overall response of the ERC, eight managers and field coordinators were asked to give their perception regarding the ERC's response to the earthquake. They provided an average response rating of 4.0 (good) out of 5.0 on a scale of 1 minimum to 5 maximum.
7. Almost all human resources deployed through the regional response possessed the necessary language skills, an important element for communication and coordination. While the immediate emergency response was good, the linkages with the recovery components could have been improved. In Ecuador the three main shortfalls that were identified were: 1) lack of an integrated needs assessment after the immediate emergency period, 2) absence of an Information Management function within ERC, and 3) lack of previous experience in large-scale disaster recovery by the HNS resulted in the criteria for programming in recovery not to be clearly identified and planned for from the onset. This led to a gap between the three-month humanitarian phase and the recovery phase.

8. The development of a regional model in the Americas for disaster response is a positive endeavour. It needs to be done collaboratively with IFRC Geneva to develop Standard Operating Procedures (SOP) and roles and responsibilities that are supportive of the regional response model. The decision to develop a regional response may have been justified, but it did contribute to confuse the process and miss an opportunity to mobilise an additional ERU for telecommunications by the American Red Cross for the earthquake response. Furthermore, global mechanisms should also be replicated at the regional level, such as the Field Assessment and Coordination Teams, in order to support the preparation of an integrated needs assessment.
9. Movement coordination and collaboration was cited as a model by almost all key informants interviewed. Beyond the existing agreements, the ERC staff was genuinely committed to having a good personal coordination and collaboration with the various Movement members, and sharing of information was done in a transparent and constructive manner. Some specific coordination problems were also identified and have been highlighted in the body of the evaluation report.
10. In conclusion, the International Red Cross and Red Crescent Movement did fulfil its role in the initial emergency humanitarian phase. There remain some challenges linked to the low response to the appeal (40%), the lack of a clear strategy for recovery, and aspects related to the new Presidency of the Ecuadorian Red Cross, as the former ERC President stepped down at the end of July 2016 at the end of his second term.
11. Now is a good time for the IFRC to work together with the ERC to define the strategy it will be using in the recovery phase and in order to develop both a revised appeal that reflects available resources, and a Federation-Wide report that also captures the funding flows leveraged directly by the ERC as a result of the earthquake.
12. Specific targeted recommendations are made at the end of the report for the ERC, the IFRC in Ecuador, the Regional Office in Panama, and the HQ in Geneva, together with a number of issues and lessons that might help increase the effectiveness of the response in future disasters.

1. Context for the Real Time Evaluation

1.1. Background

On 16 April 2016 at 06:58 pm local time, a 7.8-magnitude earthquake (on the Richter scale) struck off the coast of northern Ecuador. The epicentre was closest to the area between Cojimíes and Pedernales (Manabí province), nearby the Muisne canton (Esmeraldas province) and 170 kilometres northwest of the country's capital Quito.

On 18 April 2016, a Disaster Relief Emergency Fund (DREF) was used for CHF 405,778 covering assistance to 1,000 affected families for 3 months. Four days later the International Federation of Red Cross and Red Crescent Societies issued an Emergency Appeal for an amount of US\$ 18,350,836 on 22 April 2016 to support the Ecuadorian Red Cross (ERC) assist 100,000 people affected by the earthquake over a period of 12 months. The operation focused on search and rescue in the initial emergency phase; health and care; water, sanitation and hygiene promotion; shelter and settlements; livelihoods; restoring family links (RFL); communication and community engagement and accountability; and the strengthening of ERC's preparedness and response capacities.

According to the official data 663 people died, 9 persons were missing, 6,274 were injured, 28,775 people were in collective centres⁴ and 720,000 people were in need of assistance⁵. Six provinces were under red alert: Manabí, Esmeraldas, Santa Elena, Guayas, Santo Domingo and Los Ríos.

At the same time, a UN OCHA Flash appeal was launched for US\$ 72.8 million. The appeal sought funds to provide 350,000 targeted people with multi-sector life-saving assistance, protection services and immediate livelihoods restoration for the next three months. According to the flash appeal, a total of 7.9 million people were living in the six provinces declared in an emergency phase, of which 720,000 were estimated to be in need of assistance.

The Host National Society was among the first to respond given its extensive presence in 24 provinces, with 110 local branches, 200 staff members and 7,000 volunteers. When the disaster struck, the ERC established immediately an Emergency Operations' Centre (EOC) at its national headquarters, and deployed logistical resources, communications means, staff and volunteers to the affected branches. ERC also profited from its experience in emergency

⁴ Official data from the SRM, op. cit.

http://www.redhum.org/uploads/documentos/pdf/Redhum_EC_INFORME-n71-SISMO-78-20302_SGR-20160519-IA-18450.pdf

⁵ UN OCHA Flash Appeal, 22 April 2016

response operations, as it had been responding to the floods in the Esmeraldas province when the earthquake struck. This means that RC volunteers were already operationally deployed in the province at the time of the earthquake.

The IFRC was also very quick in responding to the disaster from the start, and it rapidly established an EOC on the morning of 17th April in the Americas Regional Office (ARO) with support from the American, Canadian and Norwegian Red Cross Societies. Furthermore, the disaster management coordinator for South America based in Lima arrived in Ecuador less than 18 hours after the earthquake to assist in the coordination of humanitarian relief and initial damage assessment. The coordinator of the country cluster for the Andean countries also arrived in Quito to support the National Society in its political coordination with the Ecuadorian Government. From the ARO, the shelter delegate and the water, sanitation and hygiene (WASH) delegate from the Norwegian Red Cross were deployed to assist in shelter needs and damage and needs assessment. A logistics officer, as well as the communications coordinator from ARO were also identified, and the IFRC issued a Regional Intervention Team (RIT) alert and the Americas Regional Office was directly coordinating with the secretariat headquarters regarding the emergency response⁶. Support was provided by several National Societies, and the Surge Information Management System (SIMS) was activated, enabling a team from the British Red Cross and subsequently the American Red Cross to provide remote support on Geographic Information Systems (GIS)⁷.

2. Purpose of the Real Time Evaluation

2.1. Purpose

As stated in the TOR, the purpose of the RTE is to:

“...assess the effectiveness and efficiency of the Red Cross and Red Crescent Movement cooperation and coordination in the IFRC’s response to the earthquake that struck Ecuador on 16 April 2016”. The RTE looked at the relevance, effectiveness, timeliness and appropriateness of the response. Attention was also given to the application of the Principles and Rules for Red Cross Red Crescent Humanitarian Assistance in the response operation.

The outcome of the RTE will inform the Ecuadorian Red Cross and IFRC ongoing strategy and response to assist earthquake-affected communities.

It is understood that the RTE is essentially formative in nature, with the goal of contributing to the strengthening of the response over the short and medium term, and providing lessons for future responses.

⁶ IFRC, information bulletin No 4, 21 April 2016, Ecuador earthquake, p. 3

⁷ Ibid., p.4

3. Evaluation methodology and process

In addition to complying to the IFRC evaluation standards and RTE guide, this evaluation followed the “Utilization-focused evaluation” approach described by Michael Quinn Patton in the book of the same name, that remains a reference for evaluators⁸. The sequence of the evaluation was the following:

3.1. Documentary review of the materials prepared for the team in the IFRC SharePoint document library. The documents were mostly established for an external audience and did not contain any primary information nor any documentation in Spanish from the ERC as regards to the programming of the response. It did not meet the needs of the RTE evaluation team. Additional documents had to be collected during and after field visits.

3.2. Inception report and structure of the evaluation report

An inception report was submitted and approved by the Evaluation Management Team on 20th July 2016 detailing the methodology, tools and process used in the evaluation, including an evaluation framework matrix that identified four different levels of analysis:

1. National level response (in-country findings)
2. IFRC level response (including national, regional and global level findings)
3. Movement-wide response (including PNS, HNS, ICRC, IFRC levels 1 and 2)
4. International level response (including United Nations and National authorities)

Please refer to Annex 1 for further details on the RTE evaluation framework. Given that different findings relate to different levels of analysis; the findings are presented by level.

3.3 Field work and key informant interviews⁹

The team spent from 10th to 18th in Ecuador and carried out interviews in Quito until 14th July and visited field operations and communities from 15 to 18th July 2016.

Subsequently a presentation of preliminary findings was done in Quito and the team proceeded for further interviews in Panama from 19th to 22nd July 2016. An initial presentation of preliminary findings was done in Panama. Two team members subsequently were in Geneva on 25th July 2016 for an interview with the USG Programme Services and a presentation of preliminary findings. Additional Skype interviews took place until August 1st, 2016.

The evaluation agenda shows the details regarding Key Informants and focus group discussions that took place. In total, 58 KIIs took place for a total of 55,5 hours of interview time, yielding an average interview time of 58,4 minutes.

10 focus group discussions were held in Ecuador:

2 with RC volunteers in Manta and in Atacames (Manabí and Esmeraldas provinces)

⁸ Michael Quin Patton, Utilization-focused Evaluation, Sage publications, 3rd edition, 1997.

⁹ Please refer to annex 4 for a list of key informants interviewed

7 with population in four communities: La Cabuya (Pedernales), Limon (Union - Atacames), La Lucha (union - Atacames), Vista al mar (Esmeraldas). This resulted in 6,4 hours of discussions with the affected population, based on a purposive sampling of assisted communities.

3.4 Additional interviews, coding, analysis, interpretation and preparation of the draft evaluation report

On-going since 25th July 2016 until the date of the evaluation report.

4. Evaluation process

An Evaluation Management Team (EMT) has the oversight of the RTE process, providing support to the RTE Team and reviewing the deliverables from the RTE. It is composed of three people from IFRC Geneva and the ARO: Pierre Derochefort, Misgana Ghebreberhan, and Nazira Lacayo. The composition of the EMT changed during the course of the evaluation to accommodate the absences of some of its members.

The RTE team was composed of the following 3 members:

Christian Bugnion de Moreta as and the RTE team leader, Miki Tsukamoto, IFRC Monitoring and Evaluation Coordinator (Geneva), and Miguel Vega, Disaster Management Expert (Canadian Red Cross).

Limitations

- Time and resources available to plan and collect data for this RTE was insufficient – no primary data were available nor documentation from the country in Spanish. The limitation persisted as little written evidence was shared with the team and apparently no request for providing supporting information was passed to the field level prior to the RTE arrival – a number of documents mentioned in interviews were also not shared with the RTE team¹⁰. This proved a challenge when triangulating findings. It would be useful for IFRC to create a template for the RTE documents that need to be made available to the evaluation team before they travel to the country.
- It was not possible to pass through Panama for a briefing before going to Ecuador. It was recommended by the HeOPs to go first to Ecuador in view of the departure of the current HeOPs and the closing down of certain key operational centres/activities.
- The RTE evaluation team did not come together to discuss and establish evaluation roles and responsibilities prior to their coming together in Quito on 10th July, and no initial inception meeting took place with the team and the EMT in preparation of the in-country field work or for the inception report.

¹⁰ There is a disagreement from one IFRC staff on this who considers that “lots of material was shared” with the RTE team. However, the comment still holds true as the type of information and the nature of the information was insufficient and not targeted to the needs of the RTE evaluation, particularly through the lack of any report showing how decision-making took place.

- Not all key informants were available given the vacation period. A more limited selection of external stakeholders (particularly UN and international actors) was obtained than originally desired.

5. Evaluation findings

As mentioned under point 3.2., evaluation findings are structured according to the **different levels of analysis**.

These are:

- 5.1. The response at national level (in-country findings)
- 5.2. The response at IFRC level (articulation of Country/Cluster/ARO/Geneva offices)
- 5.3. The response at Movement level (cooperation and coordination with HNS, all the PNS, the ICRC and the IFRC coordination role)
- 5.4. Global response level (including coordination with national authorities and United Nations and other national and international actors)

For levels 1. and 2. evaluation findings are further presented according to the evaluation criteria mentioned in the TOR: a) relevance, b) appropriateness, c) efficiency, d) effectiveness, e) coverage, f) connectedness, g) cooperation and coordination.

Operating context at the time of the RTE

The IFRC

At the Secretariat level, an organisational change was taking place at the time of the earthquake. Both in Geneva and in the Americas' Regional Office, senior management have experienced recent change and new structures are being put in place. This change process may have affected staff morale and led to some unfulfilled expectations and a lower level of communication than could otherwise have been anticipated, given the on-going restructuring. It is apparent that the restructuring affected the staffing and dedication and commitment of the human resources that work in the IFRC offices at field, regional and headquarters' level.

5.1. In-country findings

Operating context in Ecuador

At the national level, the country is placed under the leadership of the President Rafael Correa, an economist and democrat socialist who has been serving office since 2007. New presidential elections are scheduled for next year. There is an economic crisis in Ecuador given its reliance on oil revenues, and despite the Government's efforts, there remain high levels of poverty and unemployment. According to a World Bank article, "Manta Canton in Manabi Province, one of the areas hardest hit by the recent earthquake, had a population of

over 225,000 and a poverty rate of 18% in 2014.”¹¹ As has been noted by interviewed stakeholders and communities, the earthquake on the Ecuadorian coast on 16 April 2016, further exacerbated an already dire situation in these already vulnerable provinces. There was a pressing need for the Ecuadorian Red Cross, with the support of the IFRC and Partner National Societies to meet people’s needs in view of the widespread damage to people’s homes and official buildings.

Who is responsible for disaster management in Ecuador?

In 2008 the Civil Defence was abolished and replaced in the new Constitution of Monte Christi by the National Secretariat for Risk Management (Secretaría Nacional de Gestión de Riesgos). The structure was modified again in 2013 given the decentralisation process and its name changed to the Secretariat for Risk Management (SRM) to underline the decentralised nature of risk management. The earthquake struck on 16th April 2016 at 18h58. President Correa returned from his trip to the US and the Vatican on 17th July 2016. A state of emergency was declared, which granted de facto full powers to the Executive branch to handle the crisis and superseded the system that would have been implemented through the Secretariat for Risk Management to address the emergency. Security forces (marine, police, armed forces) were deployed to ensure security and provide emergency assistance.

The Government declared a state of emergency in six provinces: Manabí, Esmeraldas, Santo Domingo, Los Ríos, Santa Elena and Guayas. The Ecuadorian Vice-president stated that the 20 most affected cantons were located on the coast and in the mountain region with 17 roads affected at the national level. Pedernales was declared a disaster zone.

Given the size of the disaster the Government requested international support and the United Nations launched a Flash Appeal for US\$ 72.8 million for 350,000 people over a three-month period on 22 April 2016. Specific ministers were appointed by the President to lead the coordination of the response for designated zones affected by the earthquake, thereby changing the system and chain of command foreseen by the SRM. Several ministers, including the SRM Minister, were replaced or demoted during the response to the earthquake. The actual decision-making process and the system used in coordinating the disaster response did thus not follow the structure that had been established by the SRM, although the command structure of Emergency Operations Centres (OEC) did provide the necessary exchanges for collaboration and coordination of the different actors, including the Ecuadorian Red Cross, in the affected localities, cantons, provinces and at national level, using the same manual developed by the SRM.¹²

The Ecuadorian Red Cross

¹¹ <http://www.worldbank.org/en/news/feature/2016/04/27/mapa-de-pobreza-ayuda-a-damnificados-por-el-terremoto-de-ecuador>

¹² For a critical analysis of the crisis management system, please view <http://milhojas.is/612395-ecuador-listo-y-solidario-el-entuerto-de-la-secretaria-de-gestion-de-riesgos.htm>

The Ecuadorian Red Cross is a strong National Society, with previous experience in small-scale disasters and good human resources and capacities, particularly in the field of relief, search and rescue, and pre-hospital emergency care. It was presided over until end of July 2016 by Dr. Juan Cueva, a hands-on president involved every aspect of decision-making for the National Society both prior to and during the earthquake response. His second term expired at the end of July 2016, and a new President will be elected for a new four-year term. This change takes place at a critical juncture for the National Society, as it is just starting to implement the recovery elements of its emergency plan of action, in the midst of some doubts as to the degree of involvement it should have in recovery, and in view of the smaller than expected donor response to the IFRC Emergency Appeal.

The ERC had two disaster contingency plans developed for two different scenarios: The Cotopaxi volcano that remains active near Quito, and the climate change related to the El Niño *phenomenon*. But they were ill-prepared for the type and magnitude of the earthquake that struck Ecuador on 16th April 2016, having developed preparedness response capacity for alternative and smaller threats.

The (Superior) Technological Institute of the Ecuadorian Red Cross

Ecuador hosts a unique figure in the Americas, and possibly in the world: the existence of a (Superior) Technological Institute of the Ecuadorian Red Cross, hereafter referred to as the "Institute". This Institute was recognised by the Ministry of Education in 2004, and provides opportunity for paramedical staff to obtain a graduate diploma, with a view to finding employment. Two types of superior technological diplomas are given: one in pre-hospital emergency care, and one in risk management. As part of their studies and in coordination with the Ecuadorian Red Cross, students and equipment are deployed to emergency operations. At present, only 160 of the 2,232 students that enrolled since the Institute opened are ERC volunteers.

The Institute is run as a separate organisation from the ERC and appears to be very efficiently managed. The Institute covers its own costs and boasts first-class equipment and vehicles, along with its human resource capacity. The Institute also deployed its students and equipment in response to the earthquake and was among the first actors to be active in the disaster affected areas on 17th April 2016.

a) Relevance

The Red Cross and Red Crescent response to the disaster caused by the earthquake was entirely relevant. Given the extent of the disaster, the number of people and the various areas affected, the insufficient capacity of the Government to respond on its own, the request for international assistance, it was both necessary and justified for the Movement to respond immediately.

The timeline is described under the efficiency section hereunder. Hours after the earthquake, the ERC already was mobilising its staff and volunteers to be deployed to the affected areas. Similarly, the first IFRC staff arrived on 17th July from Lima, and a succession of staff and personnel were subsequently deployed as per the request of the HNS.

According to media sources, national authorities, documents, interviews and ERC/IFRC information, the International Red Cross and Red Crescent Movement were among the first actors to provide response in some of the affected areas. Essential response actions were carried out in the urban areas of Manta, Portoviejo, Pedernales and Esmeraldas by staff and volunteers in the immediate aftermath of the earthquake. Initial activities involved search and rescue, pre-hospital emergency care, and emergency relief distribution of various non-food items and plastic sheets, tarpaulins and jerrycans for safe water storage. Water, food assistance and water bladders were also distributed to targeted communities, as evidenced in documents, through interviews and focus group discussions with the communities.

Focus group interviews with affected populations also indicated that the type of assistance received, which changed across the affected communities, generally responded to the needs of the population. It was also found by the RTE team that each affected community had its own socio-economic dynamic, and therefore that each community needed to have a personalised response and not a one-size-fits-all standard response for assistance, as each situation was different and could not be generalised. While this appears to have been the case and although requested during the interviews, the operational plan determining the type and length of the integrated response in each of the earthquake-affected areas was not shared with the RTE team.

b) Appropriateness

In emergency operations, it is difficult to identify needs and design an adequate response without a proper needs assessment. In the case of this operation, there was a lack of an adequate needs assessment carried out in all of the affected communities¹³. Interviews with key informants showed that in the early phase of the emergency, the response was based on estimates, as there was insufficient information and data to actually identify the needs, and a pressing need for ERC, IFRC and PNS to save lives. No one knew exactly how many people were affected, or what regions had been affected. The affected areas were initially identified through a visual appraisal of damage.

¹³ This statement is challenged by some IFRC staff. The evaluation team does confirm that there was no professional and comprehensive needs assessment carried out in all affected communities. Some IFRC staff play on the meaning of a “needs assessment” as if a situation analysis is the same – when it is not. The only supporting documentation of needs assessment provided relates to 11 communities. The RTE evaluation team has not seen any evidence of a wider needs assessment process.

Most of the people deployed in the emergency phase are used to working in a rapidly changing environment with incomplete information. Neither the ERC nor Government had an information management system in place for emergencies. Response was coordinated through the ECU911¹⁴, but communications were also affected by the earthquake. Urban centres were the initial priority, being locations where most of the infrastructure was damaged and destroyed and where most people had died. **Loads of information were being collected, both by the Movement and other national actors, but none was in a standardised format, systematised or streamlined. A variety of means and methods were used for data collection by different actors.** Some actors worked with written information on paper, others attempted to use portable devices in a context where communications were severed, and electricity and basic utilities were non- functional. DANA (Damage Assessment and Needs Analysis) were reportedly carried out, but the contents and structures varied according to different interviewees. The difficulty of conducting a proper integrated needs during the emergency phase was recognised to be a major challenge by the staff and management of the ERC.

According to the Guidelines for assessment in emergencies published in 2008 by the IFRC and the ICRC, IFRC provides checklists on what to look at in two specific time periods: 24 hours after a disaster and 48–72 hours after a disaster.¹⁵

The IFRC website provides the following guidance documents for assessments (copied from the IFRC website menu):

- Guidelines for assessment in emergencies -IFRC and ICRC (pdf in English)
- Guidelines for Assessments in Emergencies (doc in English)
- Disaster assessment--OCHA (pdf in English)
- Community Damage Assessment and Demand Analysis (pdf in English)
- Emergency Rapid Needs Assessment Guidelines (pdf in English)
- Guiding Notes for Rapid Initial Report (pdf in English)
- Rapid Initial Report Form-Guidelines (pdf in English)
- Field Operations Guide for Disaster Assessment and Response (pdf in English)
- Guidelines for rapid Environmental Impact Assessment (pdf in English)
- Assessing building damage (ppt in English)
- Shelter and Infrastructure Rehabilitation - Projekt Karabakh (doc in English)
- Final Mapping of key emergency needs Assessment and analysis initiative (pdf in English)

There does not appear to be specific guidelines for undertaking a comprehensive and integrated needs assessment that can be used in both emergency situations and in recovery. While sector specific guidance is always useful, an integrated multisector response should be based on an integrated multisector needs assessment.

¹⁴ <http://www.ecu911.gob.ec/>

¹⁵ Guidelines for assessment in emergencies, ICRC and IFRC, March 2008, p.12

Planning for the appeal

At the time of the launching of the IFRC appeal on 22 April 2016, no integrated multisector assessment had been undertaken. The United Nations had undertaken a field assessment based on the MIRA (Rapid Initial Multisector Assessment) methodology (with participation of some IFRC staff), but this was not released until 8th May 2016, three weeks after the earthquake and after the launching of the UN Flash appeal on 22 April 2016. Furthermore, the UN response focused on a three-month short-term time-frame. ERC and IFRC staff in Ecuador acknowledged that the IFRC appeal figures were based to a certain extent on *guesstimates*, as it was too early to know exactly the scope and severity of the disaster. This brings into question the actual evidence base used to inform the appeal, particularly in terms of population coverage and in terms of funding. Comparing two similar disaster operations in the same region yield some interesting information:

Country and year	Chile 2010	Ecuador 2016
Earthquake time and magnitude	27 February 2010 – 03h34 8.8 Richter scale	16 April 2016 – 18h58 7.8 Richter scale
<i>Death toll</i>	528	663
DREF amounts and scope	27.02.10: CHF 300,000 allocated for 3,000 affected families	Jan. 2016: CHF 184,386 for 3,260 flood affected families in Esmeraldas - 3 months Feb-Apr. 18 April 2016: CHF 405,778 for 1,000 affected families for 3 months.
Appeal date and scope	2 March 2010. CHF 7 million for 15,000 families for 6 months	22 April 2016. CHF 18,350,836 for 20,000 families for 12 months (CHF 437,665 for shelter)
Revised appeal	10 March 2010. CHF 13,086,822 for 10,000 families for 24 months (CHF 4 million for shelter)	Not yet released
Appeal response	24 August 2010: 95.3%	22 July 2016: 40% (Source IFRC Panama)

In the case of Ecuador, there was already a DREF in the Esmeraldas province, stemming from the flooding that occurred earlier in the year (January 2016, 184,386 CHF for 3,260 people over 3 months from 1st February 2016). On 18th April 2016, a DREF for 405,778 CHF was issued for 1,000 families over 3 months. It was followed by an Emergency Appeal launched on 22nd April 2016 to cover 20,000 families over 12 months for a total of 18,350,836 CHF.

At the time of the writing the evaluation report, the response to the appeal stands at 40% as per the latest information from IFRC. No revised appeal has of yet been launched for Ecuador, but the funding shortfall will undoubtedly affect future programmes planned. It is urgent to review the appeal and the Emergency Plan of Action (EPoA) in line with the available funding obtained.

The lessons to be learnt is two-fold: one the one hand, when there is no credible indication concerning the number of affected persons, the appeal should cautiously be launched for a smaller amount, in the range of CHF 6 to 7 million. It is necessary to launch a revised appeal as soon as possible after the emergency appeal based on updated information regarding the needs of the affected population. Judging from the above example, an incremental approach appears to be more successful in securing funding¹⁶.

c) Efficiency

The ERC seemed highly efficient in the early response to the disaster. Within hours of the earthquake, volunteers experienced in search and rescue and pre-hospital emergency care were deployed to the most affected. The Institute worked alongside the ERC in the field from the onset of the crisis, providing students and equipment. Within 24 hours of the earthquake the ERC had full teams of volunteers in the affected areas, and the coordination was taking place while relief efforts were on-going. In Manta for example, the ERC was amongst the first to react, together with the firefighters and the police. Both existing branch volunteers and volunteers from other cantonal and provincial branches, the national level and students from the Institute contributed to the efforts undertaken.

The volunteer outreach capacity of the Red Cross was a major factor allowing early response, although different branches had different capacities. In the Esmeraldas province, ERC volunteers had more recent experience working in an emergency, in view of the flooding that had taken place in the province in January 2016. In other places, such as Pedernales, the local branch capacity was entirely overwhelmed. Structured and coordinated interventions only started when the backup support teams arrived from the cantonal, provincial and national levels.

The ERC was clearly efficient in how quickly it mobilized its volunteers and staff, and organised the response to the earthquake at all levels.

d) Effectiveness

¹⁶ Statement challenged by one IFRC respondent from Panama: "I disagree. It would have made no difference at all. Also donors will tell you that incremental approaches give the impression that one does not know what they are doing". The RTE evaluation does not support this view and we agree to disagree.

Red Cross Volunteers

The backbone of the Red Cross and Red Crescent Movement is the existence of a network of trained volunteers who become the operational arm of the HNS in large-scale disasters. In Ecuador, the ERC had a database of some 7,000 volunteers countrywide. This has allowed the ERC to be among the three actors best prepared and quickest to engage in disaster mitigation activities.

In 2015, ERC adopted the concept of “volunteers in emergencies” as a result of the Cotopaxi volcano, for which a disaster management plan was prepared. When the earthquake struck on 16 April 2016, “volunteers in emergencies” were actually used for the first time. “Volunteers in emergencies” differ from regular volunteers in that they are active only during an emergency operation, and therefore have more limited capacities and technical knowledge than regular volunteers.

In 2015, efforts were made to develop the concept of “integrated community volunteers” that would work in specific sectors. Given the earthquake, the development of the strategic plan for volunteers had to be postponed and remains one of the objectives to be completed.

As in all disasters, large-scale emergencies contribute to an increase in the number of volunteers for a HNS. In Ecuador, there was a strong solidarity expressed by the population and the private sector to support disaster relief and reconstruction efforts. A large but undocumented number of spontaneous volunteers were reported to have appeared in the disaster affected areas to contribute to these efforts. The ERC counted 800 additional volunteers as a result of the earthquake. Volunteers were mobilized both from Quito and from other provinces of the country to take part in the disaster relief operations.

Congratulations should be extended to all Movement members involved in this operation, and above all ERC volunteers, for their commitment and contributions to this complex earthquake response, under enormous psychological strain and under difficult camp conditions. Without the commitment and dedication of all ERC volunteers and Movement staff deployed, the results of the response would undoubtedly not have been as positive.

The size of the disaster overwhelmed local branch capacities, which varied from canton to canton and from province to province. The overall operation was managed by the ERC HQ, who had placed camp coordinators in four areas of operations (Manta, Portoviejo, Pedernales/Manabí and Salima/Esmeraldas) where ERC camps were established. After 6 weeks ERC/IFRC management decided to scale down and closed Portoviejo. Initially, the generous response of the volunteers created an influx to the earthquake-affected areas that created logistical, as well as coordination problems. Not all volunteers had the full protective equipment required in emergency operations. They needed to be fed, housed, equipped and trained. However, ERC volunteer deployment was the main factor that allowed the ERC to be operational simultaneously in various communities in different regions, so this initial challenge does not minimise the need to have trained and equipped volunteers available for immediate deployment.

Once the operational coordination and communication system was established, the volunteers were deployed on a rotational one-week basis to the different operations. While this created some shortfalls in terms of ensuring the continuity of the activities and maintaining the technical knowledge acquired through on-site trainings, ERC reported that it was an improvement over the previous deployment scheme which only fielded volunteers for 3 to 4 days. Even though it is understood that volunteers have other needs and obligation, it would be advisable to extend the period of deployment to ten days if possible, to minimize rotations to a maximum of three per month and take fuller advantage of the skills and capacities of the volunteers.

As the operational response was managed by the HNS HQ, some of the branch volunteer members did not feel fully involved in the response. Activities undertaken by the regular branch volunteers were not directly supported by the response operation and the organisational setup. It is clear that different branches had different capacities, but some appeared to have been more integrated into the overall response (such as in Manta) while others appeared to have been relegated to a secondary role (such as in Atacames) in the relief effort. It is important that, even though the response is necessarily driven from the national level, a coherent approach is applied throughout all levels (national to community), attempting to integrate the existing branch volunteers as an integral part of the response and using existing capacities to improve the performance of the response.

One lesson learned emerging from the discussion with branch volunteers is that, when undertaking needs assessments, census or any kind of data collection in the affected regions, **it would be desirable to use local branch volunteers who know the situation of the communities to guide the field work, to avoid the risk of exclusion and ensure inclusiveness of the affected population in the entire area.** This was not consistently applied and some communities visited did complain to the RTE team about the fact that some families had not been included as beneficiaries for humanitarian assistance, as those volunteers who carried out the census did not know the community's geographical extension or its geographical borders, so people living far from the community's centre had not been visited.

The surge in volunteers after a disaster is not unique to the case of Ecuador. The challenge is also for the ERC to be able to capitalise on this new interest for volunteer work and making sure that the number of active volunteers can be increased and retained, particularly in those branches that had weak capacity before the earthquake (such as Pedernales). There is a clear opportunity for the ERC to increase its volunteer base. As the humanitarian needs subside in Ecuador, the potential to develop the integrated community volunteer figure as suggested in 2015 is very strong. In particular, in order address two of the major outstanding needs identified by communities: 1) training in disaster preparedness, and 2) psychosocial assistance.

Interviews with ERC staff and branch presidents indicated that some disaster preparedness training had taken place in some communities in Ecuador as part of previous operations, but the evidence from the field visits indicated that these were not the communities visited by the evaluation team.

Similarly, the Red Cross and Red Crescent response included various efforts to provide psychosocial assistance to the communities by a variety of actors and not under the IFRC umbrella (through a Spanish psychologist, the Colombia Red Cross, Mexican Red Cross, and others), but there remain outstanding needs for psychosocial support that should be identified in order to define whether the type of support required is within the capacities of the Red Cross and Red Crescent. It is not known by the RTE evaluation team whether the proper operating procedures of psychosocial support were applied and coordinated with the Ministry of Health. Communities continued to request psychosocial attention for all the population including children, who are still afraid in view of the continuing aftershocks, and a number of examples of changed behaviour were mentioned among traumatised children in these communities.

In addition, it is important to remember that some ERC volunteers were also affected by the disaster, and should benefit from the same assistance as the rest of the affected population.¹⁷ One lesson to be learned is to ensure that adequate psychosocial support is extended to Red Cross and Red Crescent volunteers and staff, to facilitate their work and the high emotional costs associated with working in such a difficult environment. Another line of psychosocial support is needed to cover all of the population in the affected communities, with a view to alleviating their anguish and fear, and contributing to the recovery process. Ensuring proper psychosocial support to Red Cross and Red Crescent volunteers and staff leads to improved performance and effectiveness and minimises burn out.

Institute students are not ERC volunteers

The immediate response counted not only with the deployment of the ERC volunteers, but also with the students of the Institute, as they had technical capacity in pre-hospital emergency care and had to complete a number of hours of field work in order to be able to graduate. Therefore, they were highly useful in the response. Statistics shared by the Institute indicate that their contribution was important and effective (258 fractures treated, 54 encephalic traumas, 19 amputations with the MoH, etc.). However, the deployment of students from the Institute does contribute to some confusion about the types of Red Cross and Red Crescent entities involved in the operation. The deployed students had full protective equipment and a uniform that includes the Red Cross emblem, but the design differed slightly from those uniforms worn by the ERC volunteers. According to the Institute,

¹⁷ Two IFRC staff challenged the view that this was not done. It may have been the standard procedure, but there may have been at least some gaps as evidenced in the interviews held with the ERC volunteers during field work.

only 160 of the total of 2,332 students they have had up to 12th July 2016 have been ERC volunteers).

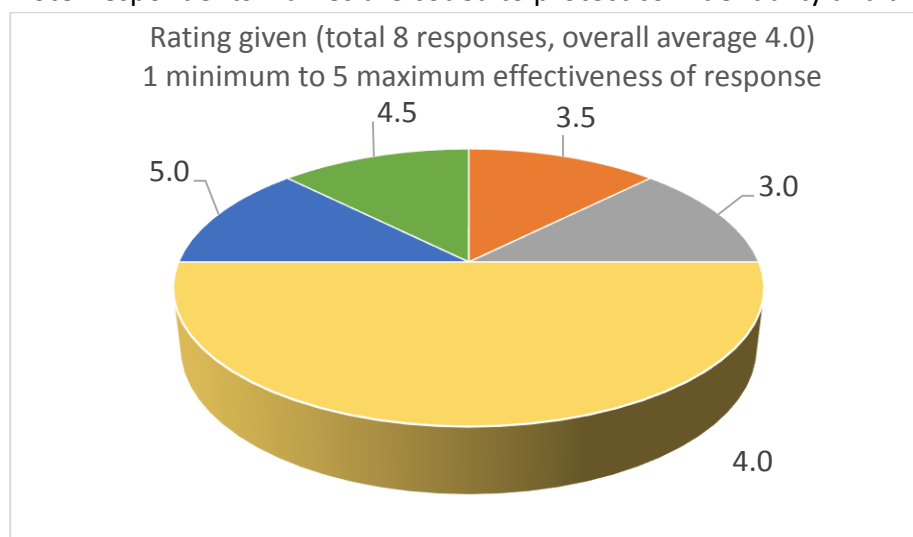
There is both an opportunity and a need to streamline the deployment of institute students who are not ERC volunteers, to ensure that a higher percentage of Institute students become in fact ERC volunteers. In many interviews, institute students were referred to as volunteers. This is technically incorrect, as they are bound to gain a number of hours of practical field experience as a requirement towards graduation, something different from the motivations of volunteer work.

The Red Cross and Red Crescent response

In quantitative terms, the response was effective in reaching the target objective of 20,000 families within the first three months of the emergency of a one-year EPoA. Interviews with eight management and senior management staff of the ERC, including field coordinators, provided an average rating of 4.0 (=good) on a scale of 1 minimum to 5 maximum¹⁸ (3 being the mathematical average) regarding the effectiveness of the response provided, as per details hereunder:

	a	b	c	d	e	f	g	h	AVG	TOT
To what extent was the RC response effective?	4	4	3.5	3	4	5	4.5	4	4.00	8

Note: respondents' names are coded to protect confidentiality and anonymity

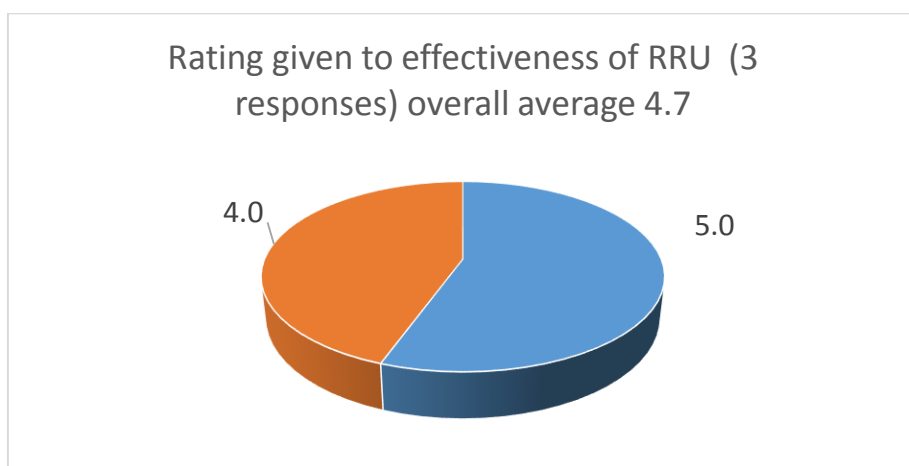


Elements that contributed to not giving a higher rating include:

¹⁸ Scale rating 1 to 5: 1=minimum 2=low 3=average 4=good 5=excellent

- Confusion over needs assessment and lack of reliable and streamlined information (mentioned 4x)
- Decision making informed more by political considerations than technical criteria
- Absence of an emergency response plan for local branches (province level) to avoid awaiting the national level response and low local capacity (2x)

In terms of the effectiveness of the Regional Response Unit (RRU) for health deployed by the Canadian Red Cross (CRC), an average rating of 4.67 was given by 3 ERC key informants, which is very high (2x5 and 1x4). However, there is a certain bias in the response since the ERC was already interested in acquiring an RRU even before the earthquake, so it was really felt that having the RRU deployed in Ecuador served not only the immediate needs of the earthquake-affected population, but also the longer-term objectives of the ERC. A specific evaluation of the RRU was commissioned by CRC and therefore the analysis of the RRU is not duplicated in this evaluation.



One of the observations at field level is that the population and local businesses showed a very high level of solidarity and commitment. Some spontaneous volunteers and entrepreneurs were reported to have used their own personal assets to respond to the situation. Locally available resources could have been deployed even sooner than the support received from the national level, had a branch level contingency plan existed mapping out the available resources that could be mobilized locally in case of an emergency.

From the national stakeholder's perspectives (6 KII), the response of the Ecuadorian Red Cross was valued highly, although a rating figure was not provided. Of the six KI, five considered the RC to have done a very good job in the context of the immediate aftermath of the earthquake, when the situation was still quite confused; and communication and command links not yet established. In one case the KI suggested that the ERC could have shared some of its operational resources (particularly communications) with the OEC and could have had a closer alignment.

The evaluation team believes that at the time of the disaster there was no clear vision as to the extent of the response needed. Political decision making took precedence over technical considerations. As such the ERC, while collaborating with the OEC and national actors, did maintain a cautious attitude and basically got involved in activities for which it had core competencies and experience in the immediate response – namely search and rescue, pre-hospital emergency care and, relief distribution.

ERC proved its strength in distributing relief items: its distribution mechanisms were good and professional, unlike other actors who distributed without having a control mechanism in place (census, proof of receipt, etc.). This approach contributed to good operational accountability.

From the perspective of the affected population, Focus Group Discussions (FGD) in four of the affected communities revealed that further assistance in psychosocial support was key for them. While some of them did benefit from psychosocial support to some extent (e.g. activities held one morning to play with children ages 4 to 11 in La Cabuya, specific visits to work with individual or specific cases), there was an overriding demand for more psychosocial support. This is consistent with survey information obtained from SpainClick undertaken on 3 and 4 of May 2016 in various affected provinces in Ecuador. It revealed that psychologists are the profession most in demand by the affected population as a result of the earthquake.¹⁹

Another important uncovered need was that, in the communities visited, no one had received any training on how to respond to a disaster scenario, as no community emergency preparedness had been undertaken. Although this was not part of the emergency response of the appeal, it should be included in the recovery phase.

Over and beyond the suffering, trauma and sense of loss that populations experienced after the disaster and the loss of many people's homes, it is also interesting that, from the perspective of the affected communities, the best way to ensure that they can reconstruct their lives is not so much through the reconstruction of their homes or other forms of assistance, which is important, but rather through access to affordable bank loans. This may be in part due to the fact that the Government's reconstruction plan is not known by the affected communities and expectations are lower today than they were immediately after the earthquake. This also demonstrates the willingness of the affected population to drive their own future, and not remaining passive aid recipients while awaiting assistance from ERC, Government or NGOs.

FGD participants highlighted that, bank loans charge an unacceptable interest rate (e.g. example of an entrepreneur having obtained a loan at 24% p.a.). These loans are also

¹⁹ Please refer to the survey on SpainClick website: Spainclick.com/informe-terremoto-ecuador-spainclick-completo.pdf

extremely difficult to obtain, because of the guarantees requested (not only the property title, which many people do not possess, but a whole range of information on the person requesting the loan – people jokingly mentioned the bank even requests their death certificates...). There appears to be a subsidised loan system put in place by the Government at lower interest for the affected population, but eligibility is not clear and the lack of property titles makes many of the potential clients unable to provide a collateral for their loans.

e) Coverage

Immediate emergency response was undertaken in all of the affected areas where ERC volunteers could be deployed. According to the ERC a total of 135 affected communities were reached, which is quite an impressive result considering the topography of the affected areas. However, there is no information regarding the total number of affected communities, only an indication of the number of affected population from the authorities and the United Nations. **Compared to the UN appeal that targeted 350,000 affected people, the Movement is providing coverage to 28.6% of the affected population.** As coordination with national and international actors developed, urban areas became less of a priority for the ERC, and it chose gradually to focus on eight rural communities of Coaque, La Cabuya, Tabuga, Rambuche, Nuevo Briceño, Chamanga, Salima and Guadurnal²⁰. The rationale for such a selection is not clear. To date, the 100,000 affected people contemplated in the appeal have received at least one type of assistance provided by the Red Cross and Red Crescent Movement. As the humanitarian phase is winding down, the joint shelter/livelihoods assessment in 10 communities undertaken in May 2016²¹ identified 2,437 families in need of assistance, of which 1,113 are in the urban centre of Jama. The remaining caseload for recovery activities in rural communities in shelter and livelihoods therefore appears to be 1,324 families, a much smaller number than the caseload identified for humanitarian aid. A revision of the EPoA is needed to define clearly the targets and operations for the remaining nine months of the appeal.

Another important consideration when looking at the coverage is the number of communities that were affected by the aftershocks: field interviews in the communities showed that in some communities (Limon, La Lucha) more infrastructural damages may have been suffered from the two main aftershocks of 19 May and 10 July 2016 than from the 16 April 2016 earthquake itself. Anecdotal evidence and on-site observation suggests that additional families lost their homes and, in line with the Red Cross and Red Crescent principles, an updated assessment should be carried out to include the families affected by the aftershocks in the programmed assistance.

Four key considerations need to be made regarding coverage:

²⁰ <http://cruzrojaecuador.wix.com/terremoto#!cifras/q7a2q>

²¹ ERC/IFRC, Matriz de priorización de comunidades, 8 May 2016, 10 communities surveyed

- 1) It is not clear why the RC went to 135 communities initially to provide assistance, and why from the 135 it limited its operations to 8 communities – officially, it is understood that no other actors were able to work in rural communities, and therefore the ERC chose to do so as being the only ones with such a capacity. There is however insufficient documentation or triangulated evidence to suggest that technical considerations are the main or only reason for this decision.²²
- 2) Documented evidence suggests that population displacement occurs after disasters, particularly in order to take advantage of the free assistance provided by the Government and/or humanitarian aid actors (such as in the case of Haiti in 2010). Anecdotal evidence from KII suggests this also occurred in Ecuador (Coaque, Pedernales region), and therefore the choice to select rural communities for assistance also contributed to offset potential migration trends to the urban areas. It needs to be underlined that higher costs are required for assistance to rural areas (access, logistics, distance, etc.). It should be seen as good practice to include rural communities in the response as a means to providing equitable and fair coverage to affected communities despite comparatively higher assistance and operational costs.
- 3) According to official statistics of the SRM, 28,775 people were living in collective centres. The ERC did not get directly involved in the management of the collective centres, which were under responsibility of the Government's Ministry of Economic and Social Inclusion (MIES) and under the control of the armed forces. This is seen by the evaluation team to be a proper positioning of the ERC, given political considerations and sensitivities. This did not impede however the ERC from assisting spontaneous collective shelters set up in some of the rural communities affected by the earthquake with immediate relief items for a short period (e.g. La Lucha).
- 4) The Government's declaration of the coastal areas being selected as the priority areas of intervention came too soon before completing a comprehensive assessment of the six provinces where the state of emergency was declared. Anecdotal evidence with key informants (EOC members) suggest that there are likely gaps in coverage due to the fact that the priority areas received much of the available resources to the detriment of other areas, with lesser obvious needs, that had not been assessed and thus may have been overlooked.

Lessons learned: The ERC should in the planned upcoming revision of its EPoA define clearly its target groups for humanitarian assistance and those for recovery support. The two groups are quite different and require a different type of assistance and approach for implementing the interventions that should be clearly articulated in the revised EPoA.

²² Challenged by two IFRC staff. However, they keep referring to some "assessments" that have not been shared with the RTE evaluation team, despite having requested this documentation on several occasions. The two assessments shared with the RTE Team (EDAN2, Santiago Luengo, 22nd April 2016, and the Shelter and Livelihoods assessment of 8 May 2016) contain recommendations that were not followed in practice. It also shows that the assessment was already limited to a very small number of communities as early as on 22nd April 2016. If IFRC has documented evidence to the contrary, it should present it accordingly.

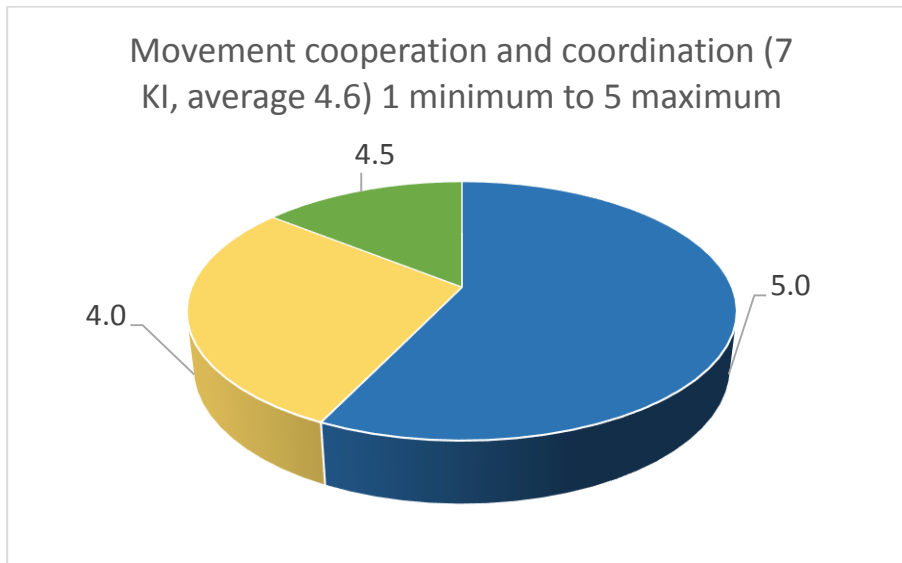
f) Connectedness

The appeal document identified from the start the need to link the emergency and humanitarian responses to the longer-term recovery and reconstruction process. The appeal already contained a proper conceptualisation of the post-disaster phases, notably with the assistance to immediate shelter needs (outcome 5.) and to in order to ensure that the target population had safe and adequate shelter (recovery phase) (outcome 6). Similarly, the inclusion of livelihoods within the categories covered by the appeal constituted a good practice that should be maintained in future disaster responses. Noteworthy, the IFRC appeal is launched for a 12-month period, whereas the UN Flash Appeal is only looking at the short-term three-month period. This was certainly the correct choice to establish a one-year time frame for implementing the response, taking into account the recovery components of the appeal.

The one aspect that diminishes the good conceptualisation of the appeal document is the process for developing and authoring the appeal. While all appeals are necessarily vetted and endorsed by the HNS, in this case the ERC, it is unclear whether the ERC was familiar with the appeal's programme components, particularly those relating to the recovery phase. Evidence from KII showed that some of the appeal components were prepared by IFRC delegates working from remote locations while the actual implementation modalities had not been discussed with the ERC. The cash transfer programme (CTP) that is included under the livelihoods component was only initiated at the end of the 3rd month (16th July 2016) in La Cabuya, (Pedernales), on pilot basis. This programme could have been implemented much sooner had the ERC discussed to modalities for CTP at the planning stage with the IFRC and PNS. Similar issues emerged for shelter construction in the recovery phase. This indicates that the modalities for recovery programming should have been identified in the early phase of the appeal and should not have been left to subsequent discussions, something that led to delay in programme implementation.

g) Cooperation and coordination

Cooperation and coordination within the Movement were cited as a model and a good practice example. From 7 KI in the ERC, including senior management, the average rating provided was 4.64 (4x5, 2x4, 1x4.5).



Beyond the existence of coordination mechanisms and structures in the Movement, the cooperation and coordination in Ecuador did work in a very good manner, as evidenced by the high ratings given by the ERC and the other KII. In Ecuador, there was a clear willingness amongst Movement members to work together under the leadership of the ERC, and through the coordination of the IFRC. The ICRC further confirmed the excellent coordination with the Movement. Over and beyond roles and responsibilities, and the existing agreements that were already in place between the various Movement members in Ecuador before the disaster, the Movement members involved in the Ecuador earthquake response showed a clear willingness and commitment to work together. This allowed to a large extent the IFRC to play its coordination role in Ecuador. Unfortunately, no KI was identified in the list of interviewees from the ERC that could confirm the relevance of the efforts in restoring family links, an ICRC and ERC activity, and the communities visited by the RTE Team did not mention the need or use of such a service from the Red Cross and Red Crescent Movement.

Application of the Principles and Rules for Red Cross Red Crescent Humanitarian Assistance

As mentioned in the TOR for this RTE of the Ecuador Earthquake Response Operation, the evaluation was requested to review the application of the Principles and Rules for Red Cross Red Crescent Humanitarian Assistance.

Evidence collected through KIIs showed that the HNS is little aware of the document and does not use it as a normative document in its operations or programmes. That said, this does not mean that the principles and rules are not being used; rather, simply that the document itself is not widely disseminated within the ERC nor is it used in operations.

5.2. IFRC level findings

a) Relevance

The support of the IFRC to the ERC in Ecuador was extremely beneficial to the development of the capacity of the ERC and its volunteer staff, as recognised through ERC KII. The ERC benefited from the combined guidance of IFRC delegates and personnel deployed in several capacities, such as SIMS, HeOps, RITs, Disaster Managers, DHeOps, as well as other mechanisms. The ERC has largely recognised the value and usefulness of the support provided by the IFRC. One ERC manager considered that, of all the RITs deployed in the operation, over 70% were excellent, with some 30% lacking the knowledge of the country context and the in-country disaster management system and a lack of contextual knowledge. Other ERC managers echoed their overall satisfaction with the RITS (2 field managers, 2 HQ based) with specific examples given of excellent work across a range of sectors.

It is clear that despite its good relief capacity, the ERC needed support in a variety of sectors immediately after the earthquake. As the situation is evolving and the main humanitarian needs are covered, the recovery phase seems to focus the attention of the ERC for the foreseeable future. At present and considering the current situation, IFRC's further support should be linked to supporting the recovery efforts, as the humanitarian phase is coming to completion (with the exception of the residual caseloads from the aftershocks that still need to be assessed).

b) Appropriateness

The IFRC support was appropriate for the ERC in the sense that all the personnel and resources that were mobilised and deployed were done in agreement with ERC's support and respecting the ERC's leadership role in the response. The first delegate to be deployed to Ecuador was Pabel Angeles, a regional disaster management coordinator for South America, arrived on 17th April 2016 who flew from Ecuador to Lima a few hours after the earthquake. Michele Detomaso, Head of Country Cluster for Bolivia, Chile, Ecuador and Peru, also arrived in Ecuador shortly after the earthquake, being already on mission nearby on the border with Colombia. There could and should have been more IFRC staff deployed in the early response for needs assessments and information management, but the ERC decision was to await their assessment before requiring more support from the IFRC.

While this decision was certainly respected by the IFRC, it did have consequences in the way operations were run and particularly in terms of information management. The lack of early systematisation led to gaps which were not entirely filled as the operations continued. In hindsight, it would have been preferable to have had an integrated Field Assessment and Coordination Team (FACT) that would have been able to both contribute to the coordination of the operation while undertaking a comprehensive needs assessment from an integrated perspective.

Eventually several assessments did take place with the support of several IFRC, PNS and ERC staff, but these came later and were largely sector-specific. To date, there has not been an integrated comprehensive needs assessment for the Red Cross to inform the recovery activities over the remaining nine months of the EPoA. The closest to an integrated assessment is the work undertaken by the shelter cluster and livelihoods staff, when establishing a strategy for the two sectors. It is not known whether the IFRC has determined a time-frame for undertaking integrated assessments to inform the appeal after a disaster. Good practice suggests that once the immediate life-saving needs have been answered and the situation is relatively stable, normally within a one-month time frame, a more thorough assessment is required. It is useful to set the baseline for measuring the performance of recovery activities and for understanding better the evolving needs of the affected population and communities, as these are dynamic and change over time.

c) Efficiency

The deployment of staff and the preparation of charter flights with relief goods, the use of pre-positioned stocks in the region, the activation of the agreement with Airbus that allows the Red Cross and Red Crescent to use 12 hours of helicopter flight time to assess damage and needs, were all undertaken efficiently taking into consideration the context. Given the declared state of emergency, air traffic was restricted and the armed forces were given priority, as well as the firefighters with their search and rescue teams, before the RC. The human and material resources handled by the IFRC to support the ERC were undertaken in an efficient manner, according to the KII interviewed and the limited documentation available.

d) Effectiveness

The role of the IFRC in the earthquake response was dual: 1) To support the efforts of the ERC to respond to the situation 2) To ensure the coordination of Movement members.

As defined in the inception report and according to the appeal, the objectives of the IFRC was to support the ERC's efforts in assisting 100,000 people affected by the earthquake according to the modalities described in the emergency appeal. The response was rightly multisector in that a range of activities were foreseen along eight different lines of action: search and rescue, health, water, sanitation and hygiene (WASH), livelihoods, restoring family links, capacity development, disaster risk reduction and, community engagement and accountability.

The RC activities had been centred in fulfilling the humanitarian needs up to the time of the arrival of the Real Time Evaluation team. Based on the decision of the ERC, the humanitarian aid phase was to last three months only (from 16 April to 16 July 2016), although the more recent aftershocks question the logic of suspending humanitarian aid entirely while implementing recovery activities.

In terms of responding to the humanitarian needs, the support of the IFRC was instrumental in allowing the ERC to meet its short-term emergency objectives. It is revealing that one Senior ERC Manager indicated that the support provided in logistics, finance, and communications proved even more valuable than the support received for technical aspects such as shelter, water and cash transfer, because it allowed the HNS to increase its core capacity while avoiding organisational bottlenecks.

In looking at the IFRC, its multiple levels need to be addressed separately: the in-country level in Ecuador, the Cluster level with the Lima Office, the Regional level with the Americas' Office (ARO), and the HQ level in Geneva.

In other past disasters such as in the case of Haiti in 2010, a global response was triggered to respond to the earthquake. For the Ecuador earthquake, a decision was taken at the ARO on Sunday 17th April 2016 to adopt a response which would be driven by the region²³.

There are certainly good reasons that justify a regional response, chief among which: 1) existing level of capacities across the PNS, NS and IFRC in the region, 2) language skills (most countries in the region are Spanish speaking), 3) efficiency and costs considerations (it is cheaper to move resources regionally taking into account time and distance), and 4) closer coordination with the operational control of the operations (Panama being a two-hour flight away from Ecuador).

However, the timing of this decision, taken before having a clear idea of the size and scope of the disaster, and therefore of the operational needs, may have been premature. The lack of a detailed needs assessment did not allow the ARO to have a clear vision as to what the global needs were, and therefore made it difficult to determine how the Movement should position itself for the response. Based on previous experience, various mechanisms were activated in order to obtain human and material resources, but more thorough evidence was lacking to inform technical decision making and programming²⁴.

Interviews with KI in Ecuador, Panama, Geneva and in other countries showed that there were different views within the IFRC, depending on the level that is being addressed. The internal organisational restructuring process is not alien to this diversity of vision and views.

For example, the finding that the actual interventions in Ecuador were not supported by adequate needs assessment was challenged by some ARO participants during the RTE presentation of preliminary findings, whereas in Ecuador this issue was recognised as one of the weaknesses.

²³ Comment by IFRC: "This is not completely true. There was no formal decision made that we would exclusively go regional."

²⁴ Comment by IFRC: "Please note that all global tools were placed on alert. Also note that the health RRU from the Canadian RC is also a global ERU"

Similarly, the response to the appeal process, which stands at 40%, was seen as a relatively good result when compared to the percentage of the UN OCHA Flash Appeal response (29% only). Timeliness of the appeal launch was also considered as a strength at the Ecuador and Panama levels. A different view was held by participants in the findings presentation in IFRC HQ with examples of much quicker appeals launched in disasters of higher magnitude (i.e. Haiti). The funding response to other appeals in the region in the past has also been at times higher (i.e. 95% funding for the Chile earthquake appeal in 2010). Therefore, views vary according to level of the key informants indicating some disconnect between the levels. Seeing the glass as half-empty or half-full should be based on the sharing of a common vision for success in IFRC that is common to all levels (corporate vision), rather than being a level-specific perspective.

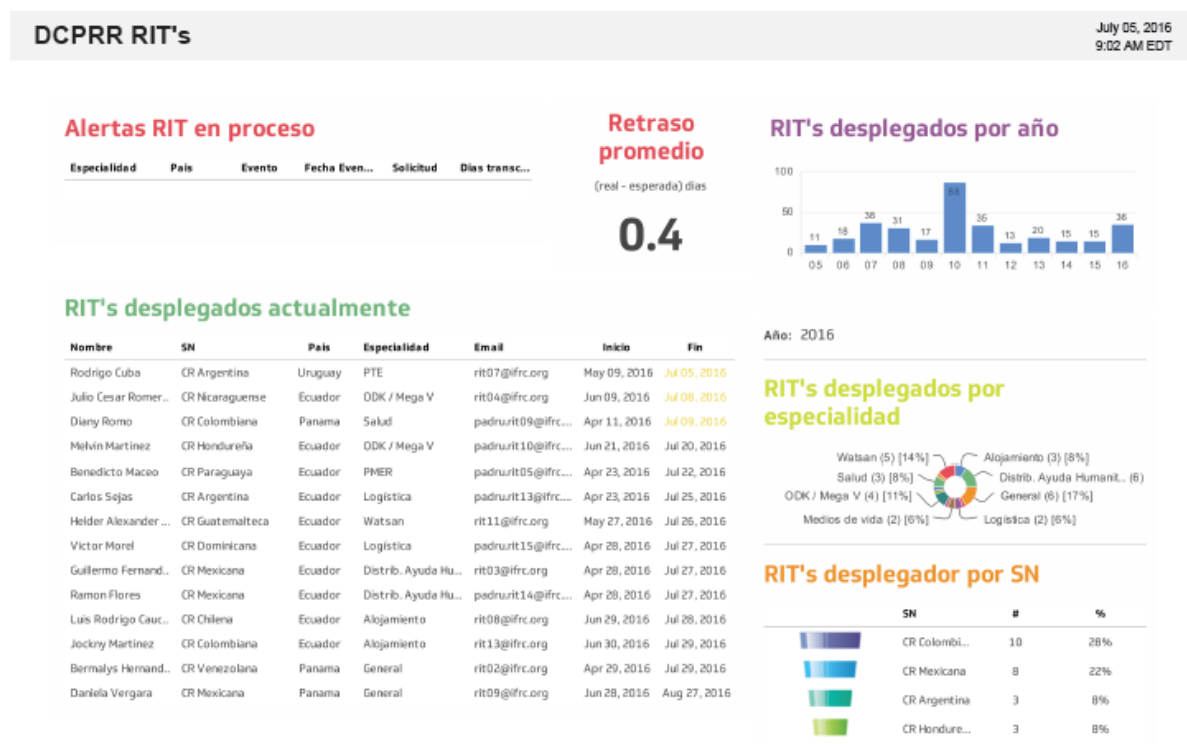
IFRC mechanisms

IFRC boasts of a series of very useful tools, or mechanisms, that can be activated in case of emergencies. These are largely known and used by Movement members and the IFRC in disaster response. The activation of the so-called *global tools* is done through the Surge desk in Geneva, and counts with the support of some of the PNS in the region (for example American Red Cross). Several mechanisms exist with their corresponding acronyms: SIMS (Surge Information Management Support), RIT (Regional Intervention Team), RDRT (Regional Disaster Response Team), ERU (Emergency Response Unit), HeOps (Head of Emergency Operations), FACT (Field Assessment Coordination Team), and other mechanisms such as the activation of the agreement with Airbus for flight-time, and other which may not have been mentioned in the course of this RTE.

While the usefulness of these tools has not been questioned, having been activated time and again in past emergencies and providing the much needed support for the operational response, it is revealing to note that all Movement staff refer to these mechanisms in a way as if the mere fact that they were activated was also guaranteeing the effectiveness of its use.

As the tools are not linked to a specific sector of activity (e.g. Emergency Response Unit can be for health, telecommunication, logistics, etc., and - a FACT can comprise from one person to a whole team in a range of sectors, etc.), it is difficult to understand the value of the mechanism, until the objective of the mechanism that has been activated is known. Instead of linking the mechanism to a specific objective, it appears as if the activation of the mechanism itself is the objective. This is not specific to the global tools, but applies to the regional tools as well. Many RITs were activated (Regional Intervention Team), but their

areas of expertise varied greatly.²⁵ Some indication of what is to be achieved (objectives) should be linked to the activation of the various tools.



The graphic above shows the different expertise of the RITS deployed in the Americas as of 6 July 2016. It shows that the majority of the RITs are coming from either Colombia or Mexico (as in Ecuador). It is important to ensure an inclusive process to select RITs from the sub-region who have the training but not the field experience and not only using staff from the bigger and more experienced countries. There is a tendency to use informal networks that end up deploying the same persons, thereby excluding those with expertise but no field experience abroad.²⁶

The various mechanisms and their activation are difficult to track. Given that the mechanisms are linked to a specific sector or a specific capacity, it could be useful for the IFRC to have one overall coordination mechanisms to ensure that the proper amount of individual mechanisms are activated. This overall coordination mechanism would be linked to the actual objectives of the appeal, in order to provide a wider coordination process for focusing on the expected results of the overall operation, in addition to the specific sector results that are achieved by each mechanism.

²⁶ Comment from IFRC: "There is some truth to this but you need to take note that this was a major Disaster and not a simulation exercise. We try to send inexperience RITS along with experienced once in order to facilitate mentoring but this cannot be done all the time."

IFRC HQ is in charge of activating *global mechanisms*. In the end, the question of using regional versus global mechanisms or tools appears to be more directly related to an issue of operational control and politics over the deployments.

Developing a regional model is a good initiative, provided it is being done collaboratively with all IFRC stakeholders and the different IFRC levels.

To develop regional models, the IFRC regional offices require the support of IFRC HQ and the development of clear Standard Operational Procedures (SOP) and roles and responsibilities to ensure that there are no gaps in communication and in the timeliness of the deployment. In addition, proper capacities should be mobilised.

The regional response concept in the Americas

In line with the vision to strengthen regional capacity, the ARO opted for maintaining a regional response even in the activation of global mechanisms, so as to retain control of the mechanisms and to ensure that regional resources with adequate language skills could be mobilised efficiently as a priority, which is a more efficient procedure when these are available regionally²⁷.

It is certainly positive to observe the willingness and capacity of the Americas to develop its region-specific model. There are no doubt capacities in the region, but the model is still being developed and should count with the support of IFRC HQ in order to avoid any gaps in the system that would undermine its effectiveness²⁸. The logic of having global mechanisms is that these are used when the local/regional resources are overwhelmed and the needed capacity cannot be found locally/regionally. They have been used in other situations such as in Haiti or more recently in Nepal. But in the response to the Ecuador earthquake, the willingness to use first and exclusively regional resources was mostly designed to ensure that only locally/regionally available resources would be used, including the CRC RRU for health, which is why it was sent as an RRU and not an ERU, the latter being part of the global tools. Contextual factors play a role in this decision, to ensure deployment of people who know the culture and possess the needed language skills.

The question for the Ecuador earthquake response operation is not so much whether or not it was right to deploy a regional operational response to the operation, but whether the

²⁷ Comment from IFRC: "This sentence does not convey the tone of what happened. First of all, it is the responsibility of the ARO to maintain control over the operation if global tools are not used. It was not a power issue. If we would have needed global tools we would have immediately requested them."

²⁸ Comment from IFRC: "Aside from the need to work out some details with relation to the RRU, the regional systems are well defined". Comment from the RTE evaluation team: opinion not shared by all stakeholders interviewed.

response was appropriate to the needs and the context of the country, as well as whether it supported realistic and achievable operational objectives.

If the goal was to fulfil the response described in the appeal document, the regional response was able to do so with a relatively high effectiveness level in the first three months of the operations - the scope of the RTE. As mentioned under the specific evaluation criteria, in some aspects the response was actually a model and an example of good practice (e.g. support to the ERC, movement coordination, communication, capacity development, even fundraising from national resources directly to the ERC). From the perspective of supporting the ERC and recognising its response lead in the operation, the IFRC played a fundamental and critical support function.

If the goal however was to provide assistance to the most vulnerable population affected by the earthquake according to their needs and priorities, then the analysis takes a different spin. Some of the operational gaps, such as the lack of an integrated needs assessment three months after the disaster, the absence as of yet of a revised appeal, the lack of any existing information management (IM) system within ERC at the time of the disaster, the lack of designated counterparts for IM in the ERC, the process of prioritisation used in the operation, are all elements that make it difficult to credibly assess to what extent the Movement played its role appropriately in the response. In quantitative terms, it is clear that the number of affected families has been reached, with at least one form of assistance. However, there is insufficient data from a qualitative perspective to suggest that the overall response provided comprehensive coverage and support from the perspective of the needs and priorities of the affected population.²⁹

The ERC carried out a satisfaction survey in June 2016 to 3,055 families in 82 communities in both Manabí and Esmeraldas provinces. The results show a very high percentage of beneficiary satisfaction, with 2,928 families surveyed (95.8%) giving a high or very high rating to the work undertaken by the ERC, and 2,893 families (94.7%) who considered the assistance received to have been good or very good, with 2,930 (95.9%) of families also considering the assistance to have been timely.³⁰

This appears consistent with the findings from the communities visited by the RTE, with two additional issues mentioned: 1) the timeliness was not so high in some of the communities visited, where the Red Cross and Red Crescent volunteers and/or staff reportedly took more time to arrive (e.g. La Cabuya, population reported that the RC arrived eight to fifteen days

²⁹ Challenged by some IFRC staff. The issue is that the contents of the appeal is based on *perceived* needs without having carried out the needs assessment with the communities as foreseen in the Principles. In order to programme interventions based on vulnerability, needs and priorities, IFRC needs to have a degree of information that it did not possess at the time of the appeal. While some IFRC staff keep challenging the lack of an integrated needs assessment, ERC did not object to this finding during the presentation in Quito.

³⁰ ERC, Resultados Encuesta de Satisfacción a Beneficiarios Operación Terremoto Ecuador 16A, June 2016

after the earthquake; La Lucha;, one month after the earthquake -with contradictory opinions in the community – but with the University of Carchi arriving before the RC, Limon, one month after – but with other actors having arrived beforehand 2) the population is satisfied by the assistance provided by the ERC, but the criteria for eligibility is not well known, although people think it is related to the extent of the damage to their house. In the words of one of the beneficiaries in Vista al Mar, Esmeraldas “The Red Cross did not give us much, but we are grateful for what they gave us”.

At the wider global satisfaction level, secondary information based on a real-time survey undertaken on 3 and 4 May 2016 showed generally a lower level of satisfaction, with 59% of the population considering that the humanitarian assistance received was insufficient, versus 27% who considered it was enough to cover their needs.³¹ The survey was undertaken in 493 families of 22 cantons of Manabí province with a 97.5% confidence interval and a 5% sampling error margin. It covered all humanitarian response received independently of the actor involved (Government, NGO, etc.).

e) Coverage

An IFRC in-country team supported the response operations led by the ERC. The coverage was the one that the ERC selected. It would have been advisable to have exerted more persuasive suggestions to the ERC regarding the technical criteria used for selecting the communities that would benefit from the assistance in the emergency and recovery phases.

f) Connectedness

IFRC launched an appeal that rightly incorporated both emergency humanitarian assistance and recovery interventions. Evidence collected through KII showed that the ERC did not have experience in recovery programming. Although the appeal did include recovery related programming, the actual implementation modalities were neither well known nor agreed upon by the ERC when the appeal was launched. While the appeal gives the impression that the response to the earthquake has been adequately planned for from the emergency to the recovery phases, doubts in the ERC about the communities to be selected for assistance, and the form in which the assistance would be given out (such as the Cash Transfer Programme, or the type of Shelter that would be used in the recovery phase) led to implementation delays. There were also differing views both within the ERC and IFRC leaderships. In the end one person in the ERC seemed to make the final decisions, perhaps based on personal views and opinions, but these were not necessarily informed by supporting technical criteria nor based on assessed needs and priorities of recipient communities.

g) Cooperation and coordination

³¹ Spain click survey, op.cit.

All KII from the ERC mentioned a seamless cooperation and coordination with the IFRC and the staff that supported the operations. This was, from the ERC perspective, a good practice example of collaboration.

The deployment of the various supporting IFRC staff was done along sector-specific needs in the EPoA. But a number of support staff from the offices in Lima and Panama also travelled to Ecuador to work with the HNS in the area of logistics, finance, planning, monitoring and evaluation (PMER), and communication amongst others. Interestingly the support services provided by the support staff was seen as most useful by ERC's senior management.

External communications proved an area where the ERC was already quite strong, and the additional support provided by the ARO contributed to a very visible and large success in communication – as evidenced by media reports, televised interviews, and other data publicly available. Due to the widespread solidarity amongst the Ecuadorian people, the HNS was also able to leverage directly significant resources from private sector, individuals and other donors directly through a national financial system. As the amount is estimated to reach between CHF 2 and 3 million, outside of the IFRC appeal, it is advisable for the IFRC to prepare a Federation-wide report to capture the various funding flows that are not included in the appeal. This has already been mentioned in discussions with the ARO.

The fielding of experienced delegates from the IFRC and the deployment of a HeOps also played a valuable role in the coordination and cooperation amongst Movement members. The IFRC reported a dual coordination structure in Ecuador, with the HeOps responsible for operational decisions, and another IFRC delegate in charge of the political agenda.

Three months after the earthquake, it is surprising that the IFRC has not yet issued a revised appeal that lays out more clearly its strategy for the remaining humanitarian caseload (including assessments in the communities affected by the two major aftershocks of 19th May and 10th July) and, more importantly, for the recovery phase that will draw the bulk of the efforts in the coming months. The change in ERC presidency may have contributed to this situation, but it is now urgent for both the ERC and the IFRC to have a clear vision and pathway to undertaking its remaining programme in a structured and technically-determined manner.

5.3. Movement level findings

The Movement as a whole responded very well to the situation and the request for assistance by the ERC. A number of regional actors were directly involved in the immediate response. A large number of PNS mobilised their resources and deployed equipment and staff in Ecuador in the first days of the operation, with the Colombian Red Cross and the Mexican Red Cross being involved in the USAR (Urban Search And Rescue) teams to locate the 155 people thought to be missing at the time of the earthquake.

The ICRC also provided timely response and, joined its resources to that of the Colombian Red Cross convoy; as well as facilitated technical and logistical support and communication on both the forensic needs and the restoration of family links.

Other PNS actively involved in the response included the American Red Cross, the British Red Cross, the Canadian Red Cross Society, the Red Crescent Society of the Islamic Republic of Iran, the Norwegian Red Cross Society, and the Spanish Red Cross that already had an office in the country with a number of bilateral projects³².

As evidenced by KI, the movement coordination was practically a model of collaboration and coordination. There were some challenges linked to the specific procedures of some of the PNS. Four issues were brought to the attention of the RTE team: 1) the convoy from the Colombia Red Cross was delayed at the border while trying to enter Ecuador, apparently given the oversight in the use of the proper communication and coordination channels. The Colombian Red Cross arrived with its full equipment, logistics and human resources, which made them immediately operational and extremely valuable in the emergency phase. While supporting the overall relief efforts, they also functioned according to their own procedures and could have been more integrated into the overall coordination efforts. 2) The deployment of the RRU by the Canadian Red Cross Society was a notable and important achievement that contributed to the effectiveness of the response in the health sector. However, some declarations made by the CRC Delegate in charge of the RRU reportedly created expectations amongst the MOH that the RRU would actually be handed over to them, something that required clarifications and additional negotiations with the Ministry of Health. 3) The Spanish Red Cross already had a number of bilateral projects with the ERC including in the housing sector, with the so-called “progressive shelter” model. It required some efforts to incorporate this shelter approach into the emergency appeal, as it had been designed from an early perspective for a bilateral intervention. 4) The Chinese Government and the Chinese Red Cross, in response to the request from the Minister of Interior, shipped 5,000 tents to Ecuador, which have been distributed in the country and seen by the RTE in all of the affected communities (blue tents marked with Chinese characters). This was a cause of concern as according to the Principles and Rules no assets should have been deployed without the consent of the ERC. It was not, however, a request from the ERC or IFRC, but a political request made to the Government of China. Efforts from the IFRC avoided sending an additional 10,000 tents from the Chinese Red Cross to Ecuador.

The emerging concept of a regional response model proposed by the ARO for the Ecuador response also challenged some of the PNS’ traditional communication and reporting lines.

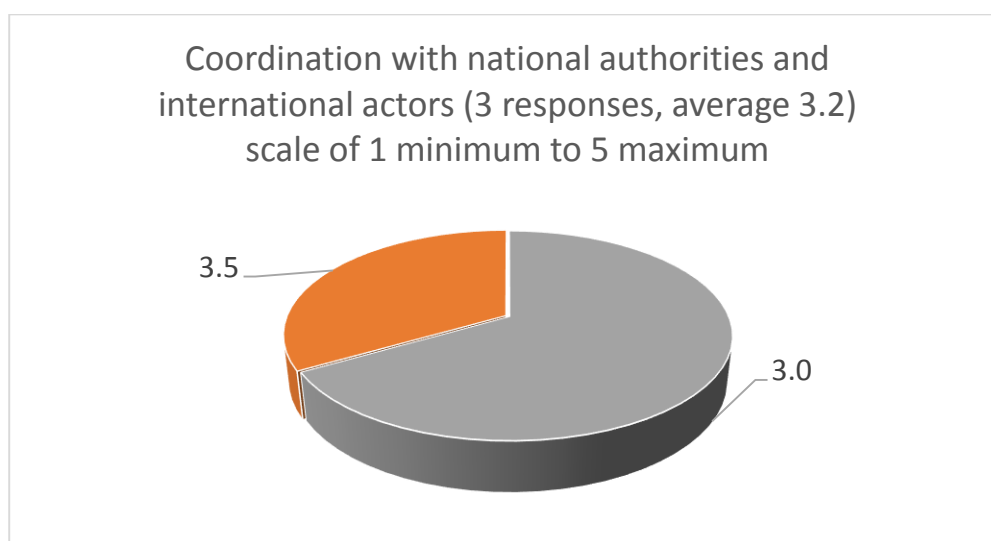
As reported by the American Red Cross, the traditional response for the use of global tools stems from IFRC HQ and is announced globally, but in the case of Ecuador it was done locally through Quito or Panama. While a regional mechanism could have saved time and allowed

³² Source: IFRC Operations update No 3 of 24th June 2016

to deploy people familiar with the region, in this case it was counterproductive as it confused the PNS because it was not part of the regular process. As a result, it did not allow to deploy a Telecoms ERU in the Ecuador operation (which would have been going through Geneva and the ERU global mechanism), and it caused delays in the recruitment process of some of the staff deployed (based on KIIs).

5.4. Global response level findings including national and international actors

At the national level, the ERC participated in five of the eight sector clusters set up in the OEC and was an active member of the response and coordination from the onset of the disaster. However, human resource constraints and the lack of a clear view regarding coordination from the Government did, at times, create difficulty for the E. Initially for example, the limited availability of the air carriers and airports in Ecuador linked to the state of emergency, also impeded some more timely response from the Movement. As the situation evolved the RC could not consistently be present in every EOC (at canton, provincial, and national levels). The level of coordination dropped given that it did not directly influence the interventions implemented by the ERC. In view of the limited capacity available compared to the size of the needs, EOCs basically endorsed the ERC to do what it wanted to do in line with its mandate and positioning. Nonetheless the ERC recognised it could have improved its coordination with national authorities, as the three ratings given by ERC management averaged a 3.17 out of 5, just over the 3.0 mathematical average (2x3, 1x3.5).



Yet it was also somewhat difficult to know exactly what the Government wanted to achieve. For example, in Ecuador the Government indicated that the recovery and reconstruction efforts should begin, only 17 days after the earthquake struck! This created additional difficulties for the ERC. Furthermore, the politically sensitive nature of the response, one year before the country's presidential elections, made the ERC more mindful of its positioning as regards to its own response, in line with the RCRC fundamental principles.

Similarly, the coordination with the international actors, particularly from the UN system, was limited. There were different expectations created around the response to the disaster, in the absence of a recovery and reconstruction master plan from the Government. The RC was part of the Humanitarian Country Team (HCT), but it did not seem to gain much from its participation as HCT member, although its inclusion in the HCT may be important from a wider visibility perspective.

At the regional level, the IFRC established an EOC within the ARO. A few of the PNS also participated in the EOC, which was activated immediately. There were also coordination meetings with the ICRC and OCHA, both of which have regional offices in Panama.

At the global level, IFRC HQ was also informed rapidly of the earthquake and DCPRR was already in communications with the Panama office for the deployment of the staff under the activated mechanisms (such as HeOps and DHEOPS).

6. Key issues identified and lessons to be learnt

The Ecuador earthquake response raise a number of interesting questions and lessons for the IFRC and the Movement as a whole. In some cases, the issues go beyond the earthquake response and address core mandate and responsibilities of Movement members in an emergency response. The main issues identified are discussed hereunder, with a view to providing constructive suggestion to enable a more effective and targeted technical response to future disasters.

6.1. Doers versus planners

In all disasters there are two categories of people involved in the response: the **doers** who, based on their long standing experience, know intuitively the type of interventions that are needed in a crisis situation: search and rescue, water, health, shelter, relief and, protection. All are common needs that need to be addressed in any emergency situation. The doers don't need to spend a long time planning the response, a visual oversight of the situation is generally enough to allow them to prioritise the immediate response, even without having a clear information about the actual situation. This is of course necessary within the first 72 hours of an emergency, as the RCRC response cannot await to have exact information before it starts acting. Therefore, doers use approximations and estimates to inform their operational response, but they do not have a clear picture of the extent of the damages nor of the needs of the affected population. The rationale is saving and protecting lives.

Conversely, **planners** believe that there cannot be a proper operation undertaken without a thorough assessment that provides credible evidence regarding the number of people affected and their needs. Operations have to be supported by a logical framework, causal pathway or some sort of planning matrix that shows the sequence of actions within an

operation in a structured and progressive manner. Planners are most required when working in recovery and development settings, as there is enough time to construct a baseline and develop proper PMER guidance (Planning, Monitoring, Evaluation and reporting guidance). All of this is necessarily based on the use of proper tools and methodologies that allow to collect and manage information in a dynamic way for decision-making. The IFRC has an online repository of guidelines and technical reports that present the different options available for project cycle management.

As two different siblings of the same family, these two groups of *doers* and *planners* exist both across the IFRC and amongst the different Movement members. In reality, both are equally necessary. *Doers* are rightly always on the front-line of the emergency response, but *planners* have to take the lead when recovery programming is being developed.

There is a tendency in emergency response to prioritise *doers*, because life-saving activities cannot be held back because of insufficient information to develop a detailed operational plan. However, in many cases, the initial inertia of responding without a clear knowledge of the needs and the situation on the ground may lead the response to move away from the RCRC fundamental principles, as needs are assumed rather than assessed. *Doers* allege that planning hinders the response, whereas *planners* argue that a *cowboy approach* is not the most conducive to an effective response.

The reality is that it is possible to develop a proper response plan, even in an emergency setting, provided that the leadership of the response has set in place the proper mechanisms to ensure that the planning will come as a support to the operation, rather than as a hindrance. **Proper mechanisms mean that from the onset of the disaster, an information management system is established with a holistic vision of the response over the short, medium and longer-term of the disaster operation.** At present, the response is very much divided and segregated across the different sectors mentioned in the appeal. Each sector does its own analysis rather than ensuring that an *integrated and comprehensive needs assessment* is undertaken as soon as possible during the emergency response, based on estimates and partial information. **The needs assessment should not only target the disaster affected communities, but should also consider the capacities of the HNS to respond to the disaster with its existing structure and means.** Key support functions must be ensured in the HNS, such as information management, planning, monitoring and evaluation, communication, reporting, finance, in addition to the sectoral response described in the appeal document.

In the Ecuador earthquake response, the setting up of an information management system came late, with a SIMS delegate arriving on 25th April in Quito, but with no such function existing within the ERC. Furthermore, the SIMS delegate was requested to produce maps of the affected population of the relief distributions, but not on the needs assessment, or on the existing capacities to be mobilised. Given the relatively high death toll reported and the number of damaged infrastructure, emergency life-saving activities were given priority. An

integrated and comprehensive needs assessment of all affected communities did not take place. While in theory the ERC had the tools and knowledge to undertake proper community assessments, KII showed that, in practice, there was confusion over what needs had to be assessed, in what sector, according to what methods, in which geographical areas. The situation improved with the arrival of the SIMS and PMER staff, but the lesson learned is that the magnitude of the disaster did take the ERC unawares. They had been preparing for a smaller type of emergency, and the earthquake evidenced some of its weaknesses, the most obvious of which was the capacity to conduct a proper needs assessment and its ability to manage information³³. Many documents, surveys and census were undertaken, but the criteria for selecting and servicing communities do not appear to have been systematically informed by technical standards.

The basis for selecting vulnerable communities in which the RCRC operations is another critical lesson that is discussed in the following point.

6.2. Vulnerability and criteria for selecting the target population

The first principle of the “principles and rules for RCRC humanitarian assistance” states that “all persons affected by disasters are entitled to receive assistance, consistent with their needs and priorities.”³⁴ This entails that an integrated (and not sector-specific) assessment of affected communities is undertaken, in order to jointly identify their needs and priorities.

Originally, as stated in the appeal the community selection criteria were based on “communities with minimal access to adequate food, water and sanitation and those not attended by other humanitarian organisations”. Priority attention was given to “people whose homes have been destroyed; households that include several young children and/or a member with a disability, chronic illness or elderly people; households led by single-parents and/or with diverse family structures”³⁵.

However, the information available from the different needs assessment consider quite a different set of criteria, particularly when looking at the shelter and livelihoods assessment. This is natural because the needs of the population vary in time. But when considering a response that spreads from immediate life-saving activities to one-year recovery interventions, it becomes necessary to plan adequately the types of activities that are best suited to respond to the two intervention logics included in the appeal: the humanitarian aid imperative, and the recovery imperative.

³³ Information management is meant here as the way the ERC internally uses data and information for programming, and not how it communicates with external audiences or the media, which are covered by “communications”, both of which exist in ERC and IFRC.

³⁴ IFRC, Principles and rules for RCRC humanitarian assistance, undated, principle 1.

³⁵ IFRC, Ecuador Emergency Appeal, 22 April 2016

The lack of a clear vision from ERC to inform the recovery process, which was officially triggered by the Government merely 17 days after the disaster, meant that the choice of communities and criteria for implementing the recovery activities did not form a part of the initial planning process of the disaster response. This explains in part the delay in the implementation of activities such as the CTP or the models of shelters that would be built in the recovery phase.

6.3. Integrated needs assessment

What is a credible needs assessment, and how should it be undertaken? The RTE found that the lack of a dedicated Information Management function in the ERC and the lack of a credible and integrated needs assessment (to inform a revised EPoA and Appeal documents) were the main gaps of the response in Ecuador. These two limitations possibly undermined the search for credible and evidence based information to inform programming. The challenges for undertaking a technically-sound needs assessment have been identified above. The response to the disaster showed a solid emergency response capacity of the ERC, but it also showed its limited understanding of working beyond the humanitarian phase into the early recovery and recovery phases using proper planning based on relevant assessment tools and methodologies.

6.4. Emergency response versus recovery

An HNS remains an HNS in both emergency response and recovery activities, but the manner in which it works in both phases is actually very different. In the humanitarian phase, it looks for quick wins with actions that have a direct impact on the affected populations: search and rescue, pre-hospital emergency care, water and food distribution, provision of temporary shelter, etc. are all activities that are linked to visible and direct results. While working as an auxiliary to the public authorities, it has used its means and resources through the Movement to provide assistance to the affected communities in line with its own operating procedures and in line with its fundamental principles.

When working in recovery, the results are not as clearly visible as in the emergency phase. It becomes necessary to plan over a longer-term period as the effects generated by the recovery interventions may take time to yield results or show progress. The focus shifts from the concept of undertaking an activity to that of generating a result, something that requires a change of mind-set and an understanding of the difference between undertaking an activity or implementing a project, and generating a result.

6.5. Activity versus results – what does the RCRC Movement want to achieve?

To most people working in emergency response, the activity itself is linked to a result: removing debris to pull out people trapped under the collapsed infrastructure, the medical first aid provided to those wounded, the provision of immediate relief items (such as water),

are all aligned with specific results. This is because there is a vertical (or causal) relationship between the activities undertaken and the objective that is being sought: saving and preserving lives.

After the immediate life-saving activities, the causal relationship between activities and results becomes more remote. As interventions move into the recovery phase, the activities become separate from the planned results. Focusing on what the RCRC does, rather than on what it achieves, becomes a major constraint to reporting on the effectiveness of the interventions. This is where understanding the logic behind **Results-Based Management (RBM)** practices becomes important: How does my project/activity contribute to making a positive change in the lives of the affected people? Does it make any significant difference for them? Counting the number of people who receive a debit card, a shelter, or any other type of recovery assistance, will not inform about the **results** achieved. ***Success should be linked to the positive change that such an intervention will make in the life of the assisted persons***, measured through tools such as a beneficiary satisfaction survey, case study, or appreciative inquiry and a proper monitoring and evaluation plan to capture and provide evidence of such a change. This entails necessarily a qualitative evaluation methodology, that is able to explain why and how the results were achieved. Reporting that 1,000 families receive a debit card is certainly useful to know how many people were targeted and received the card, but it does not explain the success of the CTP intervention. **Knowing how much does not explain why and how the results were achieved.**

Expected results are necessarily contained in the appeal document and should reflect the vision for success of the RC. However, there are different views as to 1) who are the main clients of the IFRC, and 2) of what constitutes success in disaster response operations.

6.6. Who is IFRC's primary client: The HNS, the PNS, or the affected population

As coordinator, the IFRC has a challenging constituency that it must be accountable to, with a very high number of HNS and PNS members across continents and cultures. The IFRC is truly a unique worldwide membership-based organisation.

The way the IFRC positions itself in disaster response says a lot about how it manages its relationship with the HNS, the PNS and the affected population.

In Ecuador, the IFRC clearly respected the leadership of the ERC and that of its strong president. It was also able to maintain good contacts with the PNS and the ICRC as mentioned above.

The IFRC provided strong support to the leadership of the HNS. It may have missed opportunities to provide an informed guidance on best practice in disaster response contexts in some aspects of the response. The respect and commitment of the IFRC was shown in the support it often gave to the decisions of the HNS. At times, it could have more clearly sought

to inform the rationale for the decision making. ERC also did not have experience in recovery programming. Both the American Red Cross and the Spanish Red Cross proved to be the technical mentors, along with the IFRC, of the recovery activities for CTP and shelter construction. It is unclear to what extent the suggestions of the PNS played a role in having ERC adopt the recovery component of its programme for which it had no previous experience or capacity. Evidence showed that it did delay the actual implementation as doubts existed about the modalities of the CTP, or the technical design and lay-out of the shelters.

Accountability to and participation from those directly affected by the disaster in Ecuador could have been more strongly heard and used for informing the programming response.

It is interesting to note that when the communities visited by the RTE were asked about what would be their primary needs, all agreed that access to affordable loans would be the most useful form of assistance they could get in order to rebuild their future and their lives.³⁶

6.7. A Vision for the future

It is obviously difficult for a country that will have a presidential election next year and has had a change of president in the HNS during the period of the evaluation to actually be able to define its vision for the future. Yet, it is important that the RCRC response be based on a medium-term vision for assistance to the affected communities, over and beyond the immediate emergency phase, in line with the time-frame and contents of the appeal. This vision should stem from the HNS itself, and incorporate the support of the IFRC, ICRC and PNS in order to provide a framework for the Movement's collective response. In the absence of previous experience in some of the thematic recovery areas (such as shelters and livelihoods), the ERC should lay out a clear recovery strategy for emergency operations. It is not entirely clear if the involvement in shelter and livelihoods through CTP was developed as a request of the ERC as part of the earthquake response, or whether this stems from the suggestions of PNS and that of the IFRC that have previous experience in recovery interventions. However, it should be clear what the position and vision of the ERC is, and how the Movement is contributing collectively to support the capacity gaps of the HNS in order to be able to fulfil the objectives of its plan of action.

IFRC vision

It was extremely difficult for the RTE Team Leader to have a clear understanding of IFRC's strategic vision. There were so many concept notes (draft forms), guidelines, and reference documents, that it was difficult to understand what the IFRC strategic vision was. Some documents were still in draft form, and their number and nature made it difficult to identify

³⁶ From the four communities visited: La Cabuya, Limon, La Lucha, Vista al mar

which ones were part of the normative framework that all Movement members are expected to adhere to, and which ones were just *suggested good practice*.

According to this RTE TOR, one key question was to identify if the “Principles and rules for RCRC humanitarian assistance” (stemming from the Sydney Conference in 2013) were used in the Ecuador earthquake response. Evidence showed that the document was little known by the ERC and not used as a framework for operations. Beyond this finding, the RTE team makes the following observations:

- 1) A. Who decides on the nature of the normative framework for disaster response operations, and
B. Should there not be one single normative framework to facilitate understanding, applicability and compliance?
- 2) There is no monitoring mechanism for any of the reference documents, so that compliance is a question of goodwill. In the absence of a compliance mechanism, the reference documents (guidelines, concepts, strategies, etc.) remain basically a declaration of intent that are not compulsory for implementation.
- 3) The lack of a rewards/sanctions mechanism for non-compliance means that even the development of a monitoring/oversight system would not ensure its application. The complexity of the RCRC Movement given its high membership and the challenge of reaching global consensus, may make it difficult for IFRC to define applicable sanctions for non-compliance of normative documents.
- 4) There is therefore little interest in creating normative frameworks unless they are supported by an oversight mechanism and a reward/sanctions compliance system agreed by the Movement members.

6.8. IFRC Website

Linked to the development of principles, norms and guidelines, the RTE team also noted that the production of guidance material in the IFRC is very high and of good quality, but its use is limited. KII from ERC indicated that the **IFRC website** is difficult to use, subject to technical problems (freezing, slow download, not finding the same documents in Spanish than in English, etc.) and basically not user-friendly. It is important for the IFRC to see how this knowledge repository can be effectively used for operational support, and towards enhancing the effectiveness of its work.

6.9. Programme services should be the backbone of operations

IFRC’s works spreads across a number of different sectors, making it a multi-sectoral agency. In order to support operations, some core programming services are required: finance, human resources, administration, and logistics, etc.

It is particularly important to ensure that the support services are there to serve the needs of the operations, so that they do not become an end in themselves. While the need for

accountability is recognised, the increasingly bureaucratic nature of the support services also means that some of the core deployment capacities can be affected, which will in turn lead to poorer operational response. This aspect was mentioned on a number of occasions during KII.

6.10. Integrated programming

One lessons learnt is that IFRC should give more attention to the concept of integrated programming, looking beyond the sector response for each of the appeal components. Integrated programming contributes to having a more coherent and consistent response across all areas covered by operations, as well as taking into consideration the essential programming support areas (based on the existing HNS capacities). The Ecuador earthquake response did to some extent attempt to provide integrated programming, but the overall response was not integrated, as bits and pieces were put together from different teams working with different agendas and criteria. The IFRC should consider whether it would not be useful to include in its toolbox the figure of an ***Integrated Programme Manager***, responsible for assuring that all of the response (emergency, recovery, sectoral, programme services) are coherently structured according to the plan of action for the disaster response. At present, there appears to be too much competition for attention and funding amongst the sectors and different expectations from different departments and levels amongst the key actors that do not allow for an integrated programming response to be provided. From the perspective of the affected population, integrated programming is certainly a preferred option to that of sector-specific assistance, and is clearly much more aligned to the *Principles and rules for RCRC humanitarian assistance*.

6.11 Different views on the use of the mechanisms and their activation

One additional finding that was not contained in the draft evaluation report is linked to the understanding and the use of the various mechanisms of the Ecuador earthquake response operation. Feedback from different IFRC stakeholders show contradictory information and interpretation regarding the mechanisms, including the concepts of RRU versus ERU. The impossibility to triangulate and establish a single and commonly accepted version of the use of the mechanisms shows a certain confusion in their use. This aspect goes beyond the scope of the present RTE, but it would be an added value if the IFRC could clarify and establish a clear procedure and SOPs for the use and activation of the mechanisms to ensure a common understanding across the Movement.

7. Conclusions:

The Ecuador earthquake response has taken place in a complicated and politically sensitive operational context. Both at the national level and in the ERC, the elections of a new president (in 2017 at the national level) and end of July 2016 for the ERC, meant that the response had to be mindful of the political context and the needs of the population while

maintaining impartiality and neutrality. The RCRC response was largely able to achieve this during the emergency response phase, in part given ERC's existing strong capacities in several sectors, in part through the effective support it received from the IFRC, and from the PNS that supported the operations.

Despite the good capacities of the ERC in relief and emergency response, the magnitude of the earthquake took ERC by surprise as the capacities were overwhelmed by the size of the disaster. ERC was prepared for small emergencies, not large-scale emergencies. **The timeliness and effectiveness of the RCRC response in the first three months were both generally good and sometimes very good taking into consideration the operating context,** and in large part due to the commitment and sacrifice of the ERC volunteers and Movement staff involved in the operations. Evidence of satisfaction by the affected population was apparent both through an ERC survey and by the RTE team in four affected communities in the two provinces of Manabí and Esmeraldas. The population clearly acknowledged the work and commitment of the International Red Cross and Red Crescent Movement.

The emergency appeal was rightly inclusive of recovery activities, although it was based on estimates regarding the needs of the targeted communities. The lower than expected funding response of 40% to the appeal should lead to a revised appeal with a revised plan of action that should be developed soonest.

Commitment and willingness to help was obvious from all the people involved, from the communities themselves who showed enormous solidarity, to the work of the hundreds of ERC volunteers that were deployed in the response. **The capacity to work in a multi-sectoral fashion was one of the strengths of the RCRC response that was particularly appreciated by the affected population.** National authorities equally recognised the significant work undertaken by the ERC.

Nonetheless, **two main gaps** affected the response capacity: the **lack of an information management system** within the ERC, and the challenges to undertaking a **credible needs assessment to inform recovery programming**. While this was to an extent mitigated by the support from the IFRC and personnel deployment (SIMS, RITs), an integrated needs assessment has not yet been undertaken in Ecuador.

The decision to apply a regional response to the crisis was likely a correct decision, but in the context of an internal restructuring of the IFRC, the process should have been communicated more clearly with the IFRC HQ to avoid implementation problems during the response. Particularly, the decision was taken too soon without enough evidence of the needs that had to be covered, which in turn meant that the required capacities to address the emergency response were not yet identified. In such a context, and with hindsight about the results of the response, a multi-disciplinary team, such as a Field Assessment and Coordination Team (FACT) should have been identified to carry out an integrated needs

assessment.³⁷ This approach would have provided more credibility to the appeal and could have contributed to a better funding response.

The coordination and collaboration with the Movement was cited by all KII as a model of success, something that should be replicated to other contexts, despite the challenges mentioned. **Communication, fundraising were also areas where good practices were identified** and could be replicated in future operations.

From the RTE perspective, there needs to be a better understanding of the different dynamics involved in emergency and recovery work by all RCRC actors. The overall vision of the response is not apparent beyond the specific activities that are detailed in the appeal document. IFRC would gain from being able to articulate a vision of the objectives it wants to achieve with the ERC at the end of the 12 months of implementation mentioned in the appeal.

8. Targeted recommendations:

1) ERC

1. A needs assessment of the affected communities following the aftershocks of 19 May and 10 July 2016 should be undertaken with a view to providing a similar assistance as those affected by the initial earthquake. This should be done in line with the community's needs and priorities.
2. Revise the EPoA in order to adjust the interventions to the actual number of communities that will be service in the remaining 9 months of operations, both for humanitarian assistance and recovery programming.
3. Consider establishing an information management system as a core part of the ERC support functions
4. Given the operational context and political sensitivity, avoid entering into any programming longer than early recovery at this stage.
5. Take advantage of the visibility of the Movement in operations and the surge in spontaneous volunteers to increase the number of volunteers and actually pilot the integrated community volunteer concept.
6. Establish a written strategy for the involvement of the ERC in recovery activities.
7. Use the uncovered needs of the communities (disaster preparedness and psychosocial assistance) to address these dimensions either directly or through other actors.

2) IFRC

³⁷ Comment from IFRC: "Disagree. The problem was not the mechanisms used (fact vs RIT) but rather the assessment tool (or lack of) and the training in its use."

Comment from RTE evaluation team: the question is that an integrated needs assessment was not undertaken and it is the perception of the evaluation team that activating a multi-disciplinary FACT team would have triggered the right signals about the importance of carrying out such an assessment at the earliest possible stage of the response.

a) At field level in Ecuador

1. Support the ERC in undertaking an integrated needs assessment in the communities that will be assisted for the remaining period of the appeal
2. Launch a revised appeal based on an integrated needs assessment in the target communities and explicitly provide the rationale for the selection of communities
3. Identify the human resources required to support the ERC in recovery programming over the remaining appeal period
4. Be more persuasive with the HNS about what constitutes good practices in disaster response for the Movement even if it does not match the views of the HNS

b) At regional level (ARO)

1. Work together with Geneva HQ to define the SOP for a regional response, maybe through the creation of a working group with collaborative participation from the region and HQ.
2. Give priority to having staff understand the need for an integrated programming response across the range of emergency to recovery interventions, rather than focusing on sector-specific achievements. Plan accordingly
3. Support the HNS disaster preparedness capacities and ensure that key support functions exist in the HNS— such as IM, PME, reporting, as an integral part of the resources required in the response
4. Ensure that the choice of human resources deployed under the regional model is consistent with the geographical representation of capable RCRC staff across the region and that it is not monopolised by the most active PNS (such as Colombia and Mexico, who account for the majority of the RITs deployed in Ecuador). A regional model should consider sub-regional realities and capacities and be inclusive of all capable staff, giving a chance to those who have been trained and have not yet gained field experience outside of their country, to be deployed in future operations. There is a tendency to use the same informal network of RCRC professionals. The deployment selection process needs to be more inclusive.

c) At HQ level in Geneva

1. Develop a clear vision of success for IFRC operations.
2. Create an inclusive EOC/task force with all parties concerned (in-country, regional, PNS) immediately after a disaster strikes in order to share all available information amongst all actors. This would allow to engage collectively all participants in defining the best response choices available from the range of potential options.
3. Simplify the mechanisms and tools to a single toolbox, and link the tools to fulfil concrete operational objectives.
4. Consider the advantages of creating an “integrated programme manager” position to contribute to a more detailed understanding of needs and socio-economic dynamics of the affected communities and write out an integrated programme that encompasses all sectoral elements of the response into the two distinct phases: emergency humanitarian aid and recovery programming.

5. Review the existing documentation and identify the core elements of the IFRC vision that need to become the normative framework for RCRC operations. Ensure a compliance mechanism is developed. Alternatively drop all together the requirement for a normative framework if it cannot be enforced.
6. Work with the ARO, HNS and PNS partners in the development of a regional response model that can be used in future emergencies that is inclusive of all regional capacities.
7. Ensure that the programme support functions (administration, human resources and, finance) actually enable a timely and efficient deployment of resources at the field level, rather than slowing down operational capacity.
8. Carry out a meta-evaluation of RTEs to ensure that the recommendations from these evaluations are being used. Ensure follow-up to the evaluation through a management response and/or plan of action.
9. Review the website to make it more user-friendly for Spanish speakers

Annex 1-RTE Evaluation Framework

EVALUATION QUESTIONS	LEVELS OF ANALYSIS	ISSUES	SOURCES OF DATA AND METHODOLOGY	MEANS OF VERIFICATION
1. EFFECTIVENESS				
1.1 What was well achieved and why?	1,2,3,4	Good practice examples	individual and focus group interviews at field level and KII	interview notes, FGD tapes
1.2. What were the major constraints to achieving the results and how could it be overcome?	1,2,3,4	Identifying potential gaps or unresolved constraints	Primarily KII in Quito, Panama and field	interview notes, documents reviewed, FGD at field level
1.3 How were the needs assessment carried out? Was the guidance used for the assessments?	1,2,3	Process/participation of beneficiaries	KII and FGD at Quito, field, Panama and skype	interview notes, documents reviewed
1.4. Is the coverage of the operation equitable, and are other actors present where the ERC is not	1,2,3,4	Coverage, equity, RC principles	KII Quito, Panama, Skype and FGD field	Interview notes, FGD tapes/notes
1.5 To what extent has the design of the operation taken into account the capacities of the ERC, both at HQ and branch levels?	3	Response based on capacities and capabilities	individual and focus group interviews with the ERC at HQ and field levels	interview notes, documents reviewed
1.6 Have the results been achieved according to the intervention design (EPoA)	2,3,4	Validity of planning assumptions	KII in Quito, field, FGD with ERC field	Interview notes and FGD tapes/notes
1.7 How effective were the systems to mobilize resources?	1	Resource mobilisation	KII Quito, Panama, Geneva, Lima	Interview notes, documents
1.8 How effective were the contributions of regional and global deployment mechanisms?	1	Regional asset contribution	KII Quito, Panama, Geneva, Lima	Interview notes and documentation

EVALUATION QUESTIONS	LEVELS OF ANALYSIS	ISSUES	SOURCES OF DATA AND METHODOLOGY	MEANS OF VERIFICATION
1.9. What was the added value of the RRU set up by the CRC?	1,2,3,4	Importance of RRU	KII Quito, field, Panama, CRC evaluator	Interview notes and documentation
2. EFFICIENCY				
2.1 To what extent were <u>the Principles</u> used in this response?	1,2,3,4	compliance	individual and focus group interviews	interview notes, FGD notes/tapes
2.2 How timely were the different plans, appeals, and reports?	1,2,3	timeliness	individual and focus group interviews, progress reports	interview notes, documents reviewed
3. RELEVANCE				
3.1 Did the assistance received respond to the needs	2,3,4	Responsiveness, adequacy	KII and affected population FGD at field level	interview notes, FGD notes/tapes
3.2 How did the context influence the results achieved by the operation.	2,3,4	Non-technical unexpected difficulties	individual and focus group interviews, progress reports,	interview notes, documents reviewed
3.3 To what extent were interventions across sectors integrated and coordinated into a coherent response	1,2,3,4	coherence	Mostly KII Quito, Panama, Geneva, Skype, and documentation	interview notes, documents reviewed
4. COORDINATION AND COOPERATION				
4.1 To what extent was coordination and cooperation successful among the different movement partners	1,2,3,4	Effectiveness of cooperation, lessons learnt	Mostly KII Quito, Panama, Geneva and Skype, documentation	interview notes, documents reviewed
4.2 To what extent was coordination successful with national authorities and international actors	2,4	Effectiveness of national level cooperation	KII Quito, Panama, Geneva and Skype	interview notes, documents reviewed
5. CONNECTEDNESS				
5.1. To what extent have the longer-term needs been considered in the response? Who will be addressing the longer-term needs beyond the humanitarian phase?	1,2,3,4	Sustainability and long-term planning, plan and budget 2016-2020 IFRC	KII Quito, Panama, Geneva and Skype	Interview notes, documents reviewed

Annex 2 - Map of priority areas and areas of intervention (as of 1 July 2016)



Cruz Roja Ecuatoriana



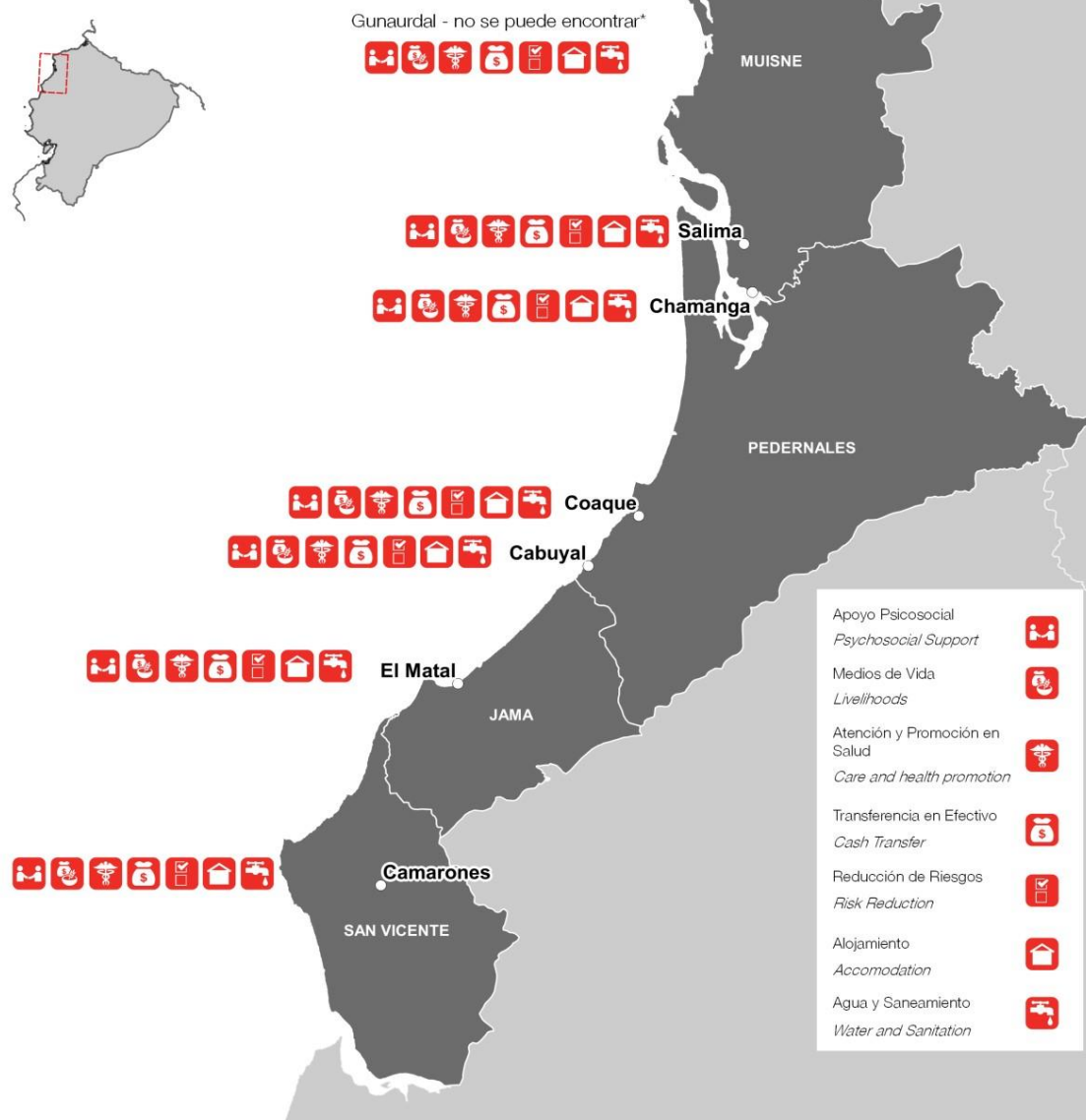
International Federation
of Red Cross and Red Crescent Societies

Terremoto Ecuador

Áreas priorizadas y líneas de intervención

1 Julio 2016 (1 July 2016)

Ecuador Earthquake
Prioritised areas and activities



Producida por SIMS. El apoyo de la Cruz Roja Americana y la Cruz Roja Británica.

(Produced by SIMS. Supported by the American Red Cross and British Red Cross.)

EQ-2016-000035-ECU

Los mapas utilizados no implican la expresión de ninguna opinión por parte de la Federación Internacional de Sociedades de la Cruz Roja y de la Media Luna Roja o las Sociedades Nacionales sobre las condiciones jurídicas de un territorio o de sus autoridades.

(The maps used do not imply the expression of any opinion on the part of the International Federation of Red Cross and Red Crescent Societies or National Societies concerning the legal status of a territory or of its authorities.)

Annex 3 -Terms of Reference

The International Federation of Red Cross and Red Crescent Societies

(IFRC)

Terms of Reference

Real Time Evaluation

Ecuador Earthquake response operation

1. Summary

1.1 Purpose: This Real-time Evaluation (RTE) will assess the effectiveness and efficiency of the Red Cross and Red Crescent Movement cooperation and coordination in the IFRC's response to the earthquake that struck Ecuador on 16 April 2016. The RTE will look at the relevance, effectiveness, efficiency, timeliness and appropriateness of the response. Attention will also be given to the application of the Principles and Rules for Red Cross Red Crescent humanitarian assistance³⁸ in the response operation.

The outcome of the RTE will inform the Ecuadorian Red Cross (ERC) and IFRC ongoing strategy and response to assist earthquake-affected communities.

1.2 Commissioner: This RTE has been commissioned by the USG, Programme and Operations Division (POD), IFRC, Geneva.

1.3 Audience: This RTE will be used by the ERC, the IFRC's Regional Office in Panama, the IFRC's Country Cluster Support Team (CCST) in Peru, the IFRC's headquarters in Geneva, and the National Societies participating in the response operation.

1.4 Evaluation team: An independent evaluator supported by two/three evaluation practitioners drawn from the IFRC membership.

1.5 Duration of consultancy: Up to 30 days (including approximately 15 days in the field)

1.6 Estimated dates of consultancy: June – July 2016

1.7 Location of consultancy: Ecuador, Panama, and Geneva.

2. Background

A 7.8-magnitude earthquake struck off the coast of northern Ecuador on 16 April 2016, close to the towns of Cojimíes and Pedernales in Manabí Province. On 18 April 2016 a DREF of 405,778 Swiss francs was allocated to support 1,000 families (5,000 people) and to carry out further assessments. On 21 April 2016, an Emergency Appeal was launched for 18,350,836 Swiss francs to support 100,000 people for 12 months.

³⁸ The Principles and Rules for Red Cross and Red Crescent Humanitarian Assistance govern National Societies and their International Federation in international humanitarian assistance. The Principles and Rules encompass preparedness for response, disaster relief and early recovery activities. They establish a coordinated and agreed approach to quality and accountability, and recognize partnerships with public authorities, humanitarian actors and other organizations external to the Movement

Based on the initial official data, 570 people died; over 7,000 were injured; and close to 25,000 people were sheltered in collective centres. There were 1,125 buildings destroyed, with 829 buildings and 281 schools affected. Six provinces were initially under red alert: Manabí, Esmeraldas, Santa Elena, Guayas, Santo Domingo and Los Ríos.

Immediately following the earthquake, the ERC, with IFRC support, has been implementing and managing a response effort in the affected areas of the country. The ERC activated all its provincial boards and a general alert was issued for response teams in the provinces of Esmeraldas, Manabí and Guayas, as well as an emergency operations centre (EOC) activated in its national headquarters in Quito. The Ecuadorian Red Cross has 24 provincial boards, 110 local branches, 8,000 volunteers and 200 staff members.

The Emergency Appeal strategy is intended to support the activities being conducted by the Ecuadorian Red Cross in line with its contingency plan for this type of event and in line with its humanitarian role. Based on assessments conducted by the Ecuadorian Red Cross (ERC) and taking into account the evolving nature of the situation, the operation seeks to provide immediate support to the communities most affected by the earthquake. The ERC prioritized communities with minimal access to adequate food, water and sanitation and those not attended by other humanitarian organizations. ERC committed to prioritizing attention for:

- People whose homes have been destroyed;
- Households that include several young children and/or a member with a disability, chronic illness or elderly people; and
- Households led by single-parents and/or with diverse family structures.

Complementing the IFRC support are the following Red Cross Red Crescent Movement partners actively involved in the operation: American, British, Canadian, Colombian, Mexican, Norwegian, Salvadoran, and Spanish Cross, the Red Crescent Society of the Islamic Republic of Iran, and the International Committee of the Red Cross (ICRC).

Operational objective: A total of 100,000 earthquake-affected people in urban and rural areas have their immediate humanitarian needs met, and are supported to take steps towards recovering their livelihoods

Needs assessment and beneficiary selection:

The ERC has carried out a series of initial, rapid assessments, with support from the IFRC and Partner National Societies (PNSs). Information from these assessments was complemented with reviews of secondary data and situation reports of other national and international humanitarian agencies, as well as media reports. Based on the assessments the following sectors were included in the Emergency Plan of Action for the operation:

- Search and rescue
- Health and care
- Water, sanitation and hygiene promotion
- Shelter
- Livelihood and food security
- Restoring family links (RFL)
- National Society Organizational Capacity Building and Institutional Preparedness
- Disaster response preparedness; Early warning; Risk reduction
- Community engagement and accountability

3. Evaluation purpose and scope

The IFRC is committed to quality assurance, standards and a culture of lesson learning in its disaster response and, as such, is committed to carrying out RTEs during all major disasters requiring an international response and meeting certain criteria of scale, scope, complexity or risk. All RTEs aim to

improve service delivery and accountability to beneficiaries, donors and other stakeholders and to build lessons for the improvement of the IFRC disaster response system. The Ecuador earthquake response operation falls within these criteria.

This RTE will review what is working well and what requires improvement, taking into consideration the context and capacities of the ERC and other Movement components, via the following:

- i. **Relevance and appropriateness:** The delivery of humanitarian assistance to the target population based on needs and context.
- ii. **Efficiency and effectiveness:** The efficiency and effectiveness of the IFRC response, timeliness and appropriateness of the assessment, planning and management processes and systems put into place, resources used, from the outset and as the context / needs evolved, including identification of critical gaps and bottlenecks.
- iii. **Coverage:** Which population groups are included in or excluded from the intervention. Special attention will be given by the evaluators to the extent the response has considered and addressed the needs of vulnerable groups and in particular women, girls, boys and people living with a disability.
- iv. **Connectedness:** Ensuring that short-term emergency activities are implemented taking longer-term and interconnected factors into account
- v. **Cooperation and coordination:** Cooperation and coordination within the Movement and adherence to the spirit of inclusiveness and trust reflected in the Seville Agreement and Supplementary Measures, and with other partners and external actors. The internal Disaster Management system will also be reviewed.
- vi. **Application of the Principles and Rules for Red Cross Red Crescent humanitarian assistance:** To what extent and how were the Principles and Rules for RCRC Humanitarian assistance used in this response

Scope of the evaluation:

The evaluation will cover the ERC's and IFRC's initial response from the moment when the earthquake struck on 16 April 2016 until July 2016, taking into account the earlier existing contingency planning and the current situation for the ongoing operation.

4. Evaluation objectives and key questions

The specific objectives and possible key questions to be addressed in this RTE are listed below. The RTE is also required to propose possible operational options and directions for the ongoing operation based on the findings. The questions below provide an initial guidance and are expected to be further elaborated by the RTE team.

1. **To what extent has the response achieved the expected results and been relevant and appropriate to the needs of the target groups?**
 - a) Did the needs assessment take into account the vulnerabilities and capacities of groups in the communities?
 - b) To what extent has the design of the operation taken into account the capacities of the ERC, both at HQ and branch level?
 - c) Did the response adapt to changes in need, capacities and context?
 - d) What successes and gaps can be identified in the response and are there ways these gaps could have been addressed or could be addressed in future?

2. To what extent has the response achieved its intended immediate results in an effective and efficient manner?

- a) Have immediate results been achieved according to the intervention design, based on the indicators?
- b) Did the target population receive assistance in a coordinated manner (within the different sectors of intervention and with other partners)?
- c) How timely and relevant were the different plans, appeals, and reports?
- d) To what extent have plans been developed based on thorough, participatory needs assessments and if not, what were the constraints? Determine quality and timeliness of the needs assessment.
- e) Was there adequate time and effort invested for the integration of interventions across the different operation sectors and how could this be further strengthened?
- f) How timely and effective was the response against the needs and stated objectives?
- g) How effective were the systems to mobilize resources – financial, human resources, communications/media, logistics etc.? How adequate was the mobilization of human resources? And what challenges were faced in delivering the appropriate support?
- h) How effective were the contributions of regional assets (RIT, etc) and how efficient was the cooperation and coordination with NS from the region acting internationally?
- i) Was the IFRC's and the ERC's operational structure well geared to deliver timely, efficient and effective disaster response (including RRU's)? The evaluation will also consider the findings of the Canadian Red Cross Regional Response Unit Evaluation. The RRU evaluation findings should feed into RTE to ensure complementarity and to avoid duplication of efforts.
- j) To what extent were the Principles and Rules for RCRC Humanitarian Assistance adhered to and were these Principles and Rules effective as a coordination tool to improve the delivery of humanitarian assistance?

3. Determine to what extent there are appropriate coordination and cooperation mechanisms in place for this operation and determine their effectiveness.

- a) How effectively did the IFRC coordinate the operation in relation to the Seville Agreement and Supplementary Measures, and in light of the recommendations coming out of the SMCC process³⁹? Has it been able to adhere to and support the following joint working modalities?:
 - ✓ With the Ecuadorian Red Cross.
 - ✓ Within the IFRC (country/regional/Geneva level). Coordination between regional and global levels
 - ✓ Within the wider IFRC membership.
 - ✓ With ICRC.
- b) Decision making process and coordination for mobilizing regional and global tools.
- c) What coordination has there been with non-Movement actors at national and regional levels? How has this worked in relation to the National Society's auxiliary role with the Government.
- d) What systems for communication and information management have been used to improve IFRC and Movement coordination?

4. To what extent is the intervention taking into consideration long-term needs?

- a) How is the response building, in an inclusive way, on the capacity of local organisations and structures including the ERC?

³⁹ SA/SM and SMCC report/PoA to serve as reference, particularly PoA recommendation 1 to document applications of Seville *"in a spirit of inclusiveness and trust thanks to relevant implementation mechanisms, preparedness and training."*

- b) How is the intervention building on and preserving the structures and systems in place prior to the earthquake?
- c) How has the response resulted in enhanced institutional capacity of ERC?

Additional questions: It is recognized that emerging questions related to those framed above may arise in the course of the RTE.

5. Evaluation methodology & process

The methodology will adhere to the [IFRC Framework for Evaluations](http://www.ifrc.org/Global/Publications/monitoring/IFRC-Framework-for-Evaluation.pdf)⁴⁰, with particular attention to the processes upholding the standards of how evaluations should be planned, managed, conducted, and utilized.

An **IFRC evaluation management team** will manage and oversee the evaluation and, with the evaluators, ensure that it upholds the IFRC Management Policy for Evaluation. The evaluation management team will consist of three people not directly involved with the operation. One member is from the IFRC PMER team in Geneva, one from the Americas Regional office and one from the Disaster and Crisis Prevention, Response and Recovery in Geneva (DCPRR).

The **evaluation team** will consist of up to three/four people: one external evaluator as team leader and two or three partner National Society evaluation practitioners who will also provide the interface with the IFRC offices in country and will help to clarify internal processes and approaches for the team. The team will be gender balanced. The team leader should have regional knowledge / experience and ideally all candidates will have experience with evaluation practices and the IFRC disaster response systems.

The **external evaluator** will provide an independent, objective perspective as well as technical experience on evaluations, and will be the primary author of the evaluation report. S/he will not have been involved or have a vested interest in the IFRC operation being evaluated, and will be hired through a transparent recruitment process, based on professional experience, competence, ethics and integrity for this evaluation. The RTE team leader will report on progress or challenges to the management team and will be the primary author of the evaluation report.

The **National Society staff and volunteers** will work with the external evaluator in the evaluation process, and will be able to provide perspectives on the RCRC actors and interactions in the operation. It is expected that the team will be able to conduct a reliable and informed evaluation of the emergency operation that has legitimacy and credibility with stakeholders.

The specific **evaluation methodology** will be detailed in close consultation between the RTE team and IFRC, but will draw upon the following primary methods:

1. **Desktop review** of operation background documents, relevant organizational background and history, including prior IFRC RTE evaluation reports, and any relevant sources of secondary data, such exist surveys from IFRC participants in the operation.
2. **Field visits/observations** to selected sites and to the Country / Regional offices.
3. **Key informant interviews** (institutional and target population as appropriate).
4. **Focus group discussions**, (institutional and target population) as time and capacity allow.

The RTE team will meet with and interview key Red Cross Red Crescent stakeholders in the ERC, Partner National Societies, and the relevant IFRC offices. The team will also consult with other partners and

⁴⁰ <http://www.ifrc.org/Global/Publications/monitoring/IFRC-Framework-for-Evaluation.pdf>

organizations such as Governments, the UN, INGOs / NGOs as appropriate to the evaluation's objectives, including the target population.

The team will be briefed in Geneva and Panama.

Initial findings will be shared through a findings workshop with the Ecuadorian Red Cross and the Partner Operational Response teams in Ecuador.

Consultancy Timeframe

The evaluation is expected to last a maximum of 30 days

Consultants' Activities	Due dates	Deliverables
Initial meetings with management team		Briefing
Develop inception report		Inception plan
Review background documents and data collection		Secondary data collection
Field visits		Primary data collection
Debriefing/feedback of preliminary findings to management at all levels		Preliminary findings
Submit draft report with annexes,		Draft report
IFRC submits any requests for clarifications, corrections, changes		Comments received on draft report
Submit final report with annexes		Final report

A draft report will be prepared for **review**. This review process should occur within 4 weeks of submitting the draft report to the evaluation management team, and will involve the following stakeholders in the following order:

- **Week 1-2 post review:** The evaluation management team to check content is in line with this TOR and IFRC evaluation standards. Stakeholders who participated in the evaluation to provide feedback on any inaccuracies or clarifications (differences of opinion should not be put forward here but outlined in the management response). Following this, a final draft is prepared.
- **Week 3-4 post review:** an evaluation management response team from within the IFRC will review the report and a management response will be compiled by POD to be included as an appendix to the final published RTE report.

The draft IFRC Real-time Evaluation Management Guide will be used for this RTE and made available to the evaluation team.

6. Evaluation deliverables

Inception Report – The inception report will be a scoping exercise for the RTE and will include the proposed methodologies, data collection and reporting plans with draft data collection tools such as interview guides, the allocation of roles and responsibilities within the team, a timeframe with firm dates for deliverables, and the travel and logistical arrangements for the team.

Debriefings / feedback to management at all levels: The team will report its preliminary findings to the field and IFRC in Panama (Regional Office). The team or team leader will debrief in Geneva in a timely manner and will adhere to the above mentioned review process.

Draft report: A draft report identifying key findings, conclusions, recommendations and lessons for the current and future operation, will be submitted by the team leader within two weeks of the evaluation team's return from the field.

Final report: The final report will contain a short executive summary (no more than 1,000 words) and a main body of the report (no more than 10,000 words) covering the background of the intervention evaluated, a description of the evaluation methods and limitations, findings, conclusions, lessons learned, clear recommendations. Recommendations should be specific and feasible. The report should also contain appropriate appendices, including a copy of the ToR, cited resources or bibliography, a list of those interviewed and any other relevant materials. The final RTE report will be submitted one week after receipt of the consolidated feedback from IFRC.

All products arising from this evaluation will be owned by the IFRC. The evaluators will not be allowed, without prior authorization in writing, to present any of the analytical results as his / her own work or to make use of the evaluation results for private publication purposes.

The preliminary and final reports will be submitted through the RTE management group, who will ensure the quality of the report providing input if necessary. The management group will submit the report to the IFRC Secretariat stakeholders interviewed for review and clarifications. The final report will be submitted to the USG, POD along with the proposed management response for approval. The USG POD will ensure subsequent dissemination and follow-up.

7. Evaluation quality and ethical standards

The evaluators should take all reasonable steps to ensure that the evaluation is designed and conducted to respect and protect the rights and welfare of the people and communities involved and to ensure that the evaluation is technically accurate and reliable, is conducted in a transparent and impartial manner, and contributes to organizational learning and accountability. Therefore, the evaluation team should adhere to the evaluation standards and applicable practices outlined in the IFRC Framework for Evaluation.

The IFRC evaluation standards are:

1. **Utility:** Evaluations must be useful and used.
2. **Feasibility:** Evaluations must be realistic, diplomatic, and managed in a sensible, cost effective manner.
3. **Ethics & Legality:** Evaluations must be conducted in an ethical and legal manner, with particular regard for the welfare of those involved in and affected by the evaluation.
4. **Impartiality & Independence:** Evaluations should be impartial, providing a comprehensive and unbiased assessment that takes into account the views of all stakeholders.
5. **Transparency:** Evaluation activities should reflect an attitude of openness and transparency.
6. **Accuracy:** Evaluations should be technical accurate, providing sufficient information about the data collection, analysis, and interpretation methods so that its worth or merit can be determined.
7. **Participation:** Stakeholders should be consulted and meaningfully involved in the evaluation process when feasible and appropriate.
8. **Collaboration:** Collaboration between key operating partners in the evaluation process improves the legitimacy and utility of the evaluation.

It is also expected that the evaluation will respect the seven Fundamental Principles of the Red Cross and Red Crescent: 1) humanity, 2) impartiality, 3) neutrality, 4) independence, 5) voluntary service, 6) unity, and 7) universality. Further information can be obtained about these Principles at:

www.ifrc.org/what/values/principles/index.asp

8. Qualifications

Selection of the external evaluation consultant will be based on the qualifications outlined below:

1. Demonstrable experience in leading evaluations of humanitarian programs responding to major disasters, with specific experience in RTEs preferred;
2. Knowledge of strategic and operational management of humanitarian operations and proven ability to provide strategic recommendations to key stakeholders;
3. Strong analytical skills and ability to clearly synthesize and present findings, draw practical conclusions, make recommendations and to prepare well-written reports in a timely manner;
4. Experience in qualitative data collection and data analysis techniques, especially in emergency operations;
5. Knowledge and experience working with the Red Cross Red Crescent Movement and knowledge of the IFRC's disaster management systems;
6. Demonstrated capacity to work both independently and as part of a team;
7. Must be fluent in Spanish (verbal and written);
8. Excellent English writing and presentation skills, with relevant writing samples of similar evaluation reports;
9. Knowledge of and experience working in the Americas region;
10. Minimum qualification of a master's degree or equivalent combination of education and relevant work experience;
11. Immediate availability for the period indicated.

The IFRC would also look for the two to three NS team members to have relevant evaluation and disaster response experience. The profile of the NS team members is as follows:

1. Experience in assessment/review of the emergency operations (preferably of similar scale).
2. Experience in qualitative data collection and data analysis techniques, especially in emergency operations useful;
3. Experience of a major humanitarian response.
4. Knowledge and experience working with the Red Cross Red Crescent Movement and knowledge of the IFRC's disaster management systems.
5. Strong operational experience, but also analytical abilities.
6. Knowledge of the Americas region, but not involved in the operation.
7. English and Spanish (reasonable working level of written and verbal skills).
8. Immediate availability from end June to end of July 2016.
9. Completed IFRC security training.

9. Application procedures

Interested candidates should submit their application material by **Friday 24 June 2016** to the following email: **pmer.support@ifrc.org**. Application material is non-returnable, and we thank you in advance for understanding that only short-listed candidates will be contacted for the next step in the application process.

Application materials should include:

1. **Curriculum Vitae** (CV) in English and Spanish
2. **Cover letter** clearly summarizing your experience as it pertains to this RTE, your daily rate, and three professional references.
3. At least one example of an evaluation report most similar to that described in this TOR.

Annex 4- List of interviewed stakeholders

	Name	Organization/Position	Interview Time
	Ecuador		
1	Alberto Monguzzi	IFRC - Head of Emergency Operations	110
2	Marco Franco	IFRC- Coordinador de Terreno	50
3	Benedicto Mateo	IFRC -Manta-Regional Intervention Team (PMER)	50
4	Michele Detomaso	IFRC-Head of Delegation, South America Cluster Coordinator	55
5	Raoul Bittel	ICRC- Head of Mission Quito	40
6	Dr. Juan Cueva	ERC-Presidente	50
7	William Parra	ERC-Secretario General	90
8	Roger Zambrano	ERC-Director de Salud y Socorros	120
9	Paola Lopez	ERC-Especialista de Salud y Socorros	75
10	Diego Castellanos	ERC-Director Departamento Comunicación e Imagen	60
11	Dr. Galo Acosta	ERC-Jefe de los servicios sociales y de salud	65
12	Lic. Betty Moreno	ERC-Directora Departamento Captación de Fondos y Financiero	45
13	Mariuxi Arevalo	Responsible for ERC Logistics	20
14	Daniel Arteaga	ERC-Coordinador de Terreno	90
15	Jaime Diaz	ERC-Gerente de Desarrollo Local y Planificación	60

16	Sonia Cardenas	ERC Medio de Vidas	50
17	Javier Sotomayor, Dr Victor Fuentala	ERC-Instituto Superior Tecnologico	120
18	Ronaldo Rodriguez (Tecnico Nacional de Voluntariado)/Maria Jose (Directora Departamento Voluntariado y Desarrollo Local)	ERC-Departamento de Voluntariado	55
19	Juan Carlos Lopez	ERC Manta-Presidente CRE cantonal	50
20	Gerardo Cevallos	ERC Pedernales-Presidente CRE cantonal	45
21	Jose Luis Drouet	ERC Pedernales-Coordinador de la Unidad Operativa	45
22	Deivin Bone	ERC Atacames-Presidente CRE Cantonal	50
23	Edmundo Duran–Jefe Politico, Zoila Chele-SGR, Mayor Carrera - policia	Manta autoridades locales	120
24	Denys Maigua	Government-MIES	45
25	Gustavo Clier Alarcon, Dr Kleber Francisco Guevara	Government-Secretario tecnico y director provincial SETEDIS	45
26	Jose Claudio	Government: Portoviejo-Coordinador Salud Minsa COE	30
27	Ricardo Cabrera	Government: Portoviejo-Coordinador Salud Minsa COE	45
28	Felipe Bazan	Government-Sub Secretario de Gestión de Riesgo	70
Other Countries			
29	Cesar Urueña, Juan Jose Castro, Edwin Armenta, Margarita de Fex, Marinson Salinas	Government-Director General de Socorro Nacional, Cruz Roja Colombiana	90
30	Pabel Angeles	IFRC-Regional DM Coordinator- South America	50
31	Helen Welch - Jonathan Garro	American Red Cross-SIMS focal point	40
32	Paul Rebman	American Red Cross Representative (HQ and global tools perspective)	30

33	Nathalie Cornet	American Red Cross-CTP Expert	30
34	Kareem Ahmed	British Red Cross-Information Management	45
35	Emma Strurrock - Stephane Michaud	Canadian Red Cross-Operations Manager, International Emergency Directorate	60
36	Anna Dobai	Evaluator RRU project for CRC	90
Geneva			
37	Garry Conille	IFRC-Under Secretary General for Programmes and Operations	55
38	Panu Saaristo	IFRC-Senior Officer, Emergency Medical Services	45
39	Sandra Durzo	IFRC-Senior Officer, Shelter (Africa/MENA)	50
40	Sune Bulow	IFRC-Team Leader Emergency Operations, Data and Information Management	50
41	Simon Ecchleshall	IFRC-Former Team Leader Emergency Operations and Information Management	40
Panama			
42	Santiago Luengo	IFRC-Emergency Shelter Officer	50
43	Andra Gulei	IFRC-Livelihoods Officer	50
44	Jan Gelfand	IFRC-Deputy Regional Director Americas	60
45	Diana Medina	IFRC-Communications Manager	60
46	Lorenzo Violante	IFRC-Coordinator (a.i.) - Policy, Strategy and Knowledge	50
47	Walter Cotte	IFRC-Regional Director Americas	100
48	Omar Robinson	IFRC-Acting Head of Emergency Operations - Disaster and Crisis Prevention, Response and Recovery Department (DCPRR)	50
49	Alberto Cabrera	IFRC-Surge Capacity and Information Management Delegate	20

50	Ligia Burkett (Snr. Financial Analyst) /Jorge Asprilla (Comtador Financiero)	IFRC-Finance Department	55
51	Mauricio Bustamante/Stephany Murillo	IFRC-Logistics	40
52	Priscila Gonzalez	IFRC-PMER Coordinator	60
53	Felipe del Cid	IFRC-Regional DM Coordinator	55
54	Paula Ameijera/Alejandra VanHensbergen	IFRC -Snr. Relationship Management Officers	55
55	Iñigo Barrena	IFRC-America's Regional Office Acting Coordinator of DCPRR	60
56	Nicolas Alexandre Bonvin	ICRC-Head of Mission	45
57	Dario Alvarez	OCHA-Regional Response Disaster Advisor	40
58	Roberto Brito	American Red Cross-Regional Representative	55

EFICACIA

- 1 ¿Qué resultados lograron con la respuesta al terremoto y como lo lograron?
- 2 En una escala del 1 (minimo) al 5, que nota da a la actuación del Movimiento de la CR en la respuesta al terremoto?
- 3 ¿Qué falta para darle una nota más alta?
- 4 ¿Quién y como se llevaron a cabo la evaluación de las necesidades de las poblaciones afectadas?
- 5 ¿Participaron las poblaciones afectadas en la identificación en la planificación de las operaciones de respuesta al terremoto?
- 6 ¿Conocen las directrices de la FICR sobre identificación de necesidades? ¿Caso afirmativo, fueron usadas? De que manera?
- 7 ¿Cómo se decidio la cobertura de las operaciones (numero de personas atendidas y localización geográfica)? ¿Porqué?
- 8 ¿De qué manera se tomo en cuenta las capacidades de la CRE a nivel de las filiales y a nivel local para la respuesta?
- 9 ¿Hasta que punto se han logrado los resultados detallados en el EPoA de la FICR, en una escala de 1 al 5?
- 10 ¿Qué falta para darle una mayor nota?
- 11 ¿Conocen los Principios y Normas de la CR y Media Luna Roja para la Asistencia Humanitaria? (si o no)?
- 12 ¿Caso afirmativo, ¿cuales principios o normas fueron utilizados y de qué manera?

Ejemplo:

- 13 ¿Consideran que la producción de directrices, documentos estratégicos, notas de concepto, resoluciones, iniciativas y demás documentos normativos por la FICR es:

bajo - medio - normal - elevado - excesivo

Alternativa

- ¿Hasta que punto la página web de la FICR les proporciona información útil para la respuesta al terremoto?
- 14 ¿Cuál fue la importancia de la ERU de la CRC en la respuesta en una escala de 1 al 5?
- 15 ¿Hasta que punto fue la respuesta al terremoto oportuna en cuanto a la linea de tiempo necesaria para brindar la respuesta? (timeliness)?
- 16 ¿Hasta que punto la documentación (llamamientos, planes, etc.) se preparó de forma oportuna y en el lapso de tiempo adecuado? Escala de 1 al 5?
- 17 ¿Qué falta para darle una mejor nota?
- 18 ¿Hasta que punto corresponde la asistencia brindada a las necesidades? Escala de 1 al 5?

- 19 ¿Qué falta para darle una mejor nota?
- 20 ¿Cuáles son los factores contextuales que afectaron el desarrollo de las operaciones (elementos no técnicos)?
- 21 ¿Hay alguna manera de resolver esas dificultades?
- 22 ¿Hasta que punto la respuesta brindada se hace de manera integrada y coordinada entre los diferentes sectores - escala 1 a 5?
- 23 ¿Qué falta para darle una mejor nota?
- 24 ¿Hasta que punto fueron la cooperación y la coordinación existosas entre miembros del Movimiento - escala 1 a 5?
- 25 ¿Qué falta para darle una mejor nota?
- 26 ¿Hasta que punto lograron una colaboración existosa con las autoridades nacionales y los actores internacionales - escala 1 a 5?
- 27 ¿Qué falta para darle una mejor nota?
- 28 ¿Hasta que punto tuvieron en cuenta las necesidades a mas largo plazo en la respuesta - escala de 1 a 5?
- 29 ¿Qué falta para darle mejor nota?
- 30 ¿Qué actores se encargaran de responder a las necesidades después de la fase de ayuda humanitaria?
- 31 ¿Qué rol tiene en Movimiento en participar en operaciones en una fase de desarrollo?
- 32 ¿Cuales son los mecanimos de la FICR que han utilizado en este respuesta, y con que resultado?

Annex 6-List of Reference Documents

IFRC

- MDREC012-Operations Update 1-Emergency Appeal Operations Update-Ecuador
1 Earthquake (16 April 2016)
- MDREC012-Operations Update 2-Emergency Appeal Operations Update-Ecuador
2 Earthquake (16 April 2016)
- MDREC012-Operations Update 3-Emergency Appeal Operations Update-Ecuador
3 Earthquake (16 April 2016)
- MDREC012-DREF-Emergency Plan of Action (EPOA)-Ecuador Earthquake (16 April
4 2016)
- 5 Information Bulletin 1-Ecuador Earthquake (17 April 2016)
- 6 Information Bulletin 2-Ecuador Earthquake (19 April 2016)
- 7 Information Bulletin 3-Ecuador Earthquake (21 April 2016)
- 8 Earthquake in Ecuador Infographic Appeal
- 9 Earthquake in Ecuador Update (21 April 2016)
- 10 MDREC012EA-Emergency Appeal-Ecuador Earthquake (22 April 2016)
- 11 Ecuador Earthquake SitRep 2 (Pedernales, 21 April 2016)
- 12 Ecuador Earthquake SitRep 3 (Pedernales, 23 April 2016)
- 13 Ecuador Earthquake Red Cross Response (22 April 2016)
- 14 MDRCL006: Emergency Appeal Final Report-Chile Earthquake (29 July 2013)
Baker, Jock; Palkovits, Klaus; Abeywickrama, Tissa; Lee, Chris and Keen Paul. Real Time
15 Evaluation of the Nepal Earthquake Response Operation, October 2015.
Gestión de desastres: Estrategia para la reforma del sistema-Oficina Regional para América
16 2016
- 17 Terms of Reference for Regional Response Unit Deployment Order
Terms of Reference for the Deployment of a Developing Head of Emergency Operations
(DHEOps) as Operation Manager for Ecuador Earthquake Emergency Response (7 July
18 2016)

- Terms of Reference for a Head of Emergency Operations (HEOps) to lead the IFRC
19 Support to the ERCS response to the Ecuador Earthquake (11 May 2016)
- Terms of Reference for a Head of Emergency Operations (HEOps) to lead the IFRC support
20 to the ERCS response to the Ecuador Earthquake (22 April 2016)
- Terms of Reference for Senior Officer Sandra D'Urzo in support of the operational shelter
21 needs of the Ecuador Earthquake Response.
- Terms of Reference for SIMS onsite deployment to support the Ecuadorian Red Cross and
22 IFRC in their response to EQ (22 April 2016)
- Terms of Reference for SIMS onsite deployment to support the Ecuadorian Red Cross and
23 IFRC in their response to EQ (10 April 2016)
- 24 Email from Alberto Cabrera for a SIMS request (21 April 2016)
- Mission Report of Mariela Moronta, DM Caribe/PADRU from 13 June to 2 July 2016 (6
25 July 2016)
- 26 Outline of the Shelter Sector Strategy in Ecuador (9 May 2016)
- Handover Notes from Daniel Ladesma and Santiago Luengo covering the period of 13 May
27 to 13 June 2016)
- 28 Vivienda Progresivas: Dossier Fichas técnicas
- 29 Anexo 1 EDAN Jama
- 30 Anexo 2 EDAN Pedernales (21 April 2016)
- 31 A Short Guide to Emergency Response Units
- 32 ERU Deployment Value Template
- 33 Regional Disaster Response Team (RDRT)
- 34 RDRT Deployment Statistics(8 July 2016)
- 35 RDRT Deployment Procedures
- 36 Regional Intervention Team Reference Manual
- 37 Guidelines for assessment in emergencies (March 2008)
- 38 IFRC Recovery programming guidance (2012)

- 39 Operational guidance: initial rapid multi-sectoral assessment (July 2014)
Guidance on Emergency Plan of Action (for IFRC Staff) including accessing DREF and
40 emergency appeal as funding mechanisms
Guidance on the Emergency Plan of Action (for National Societies) including accessing
41 DREF and emergency appeal as funding mechanisms
- 42 Matriz de priorización de comunidades (8 mayo 2016)
- 43 Mapa de Manabí, Ecuador
D'Urzo, Sandra. Reporte detallado de alojamiento-región de Pedernales y Jama, Ecuador
44 (mayo 2016)
Principales elementos estrategia Alojamiento (fases de emergencia y recuperación)-
45 Respuesta terremoto Ecuador
- 46 Shelter Assessment Household Survey Template
Procedures for Emergency Plan of Action, Emergency Appeal and related reporting tools
47 (October 2013)
Strengthening Humanitarian Leadership: Pool of Developing Heads of Emergency
48 Operations (HEOPs)
- 49 Protect. Promote. Recognize. Volunteering in Emergencies
Minimum standard commitments to gender and diversity in emergency programming: Pilot
50 Version
- 51 IFRC Plan and Budget 2016-2020
- 52 S2020 Mid-Term Review of Strategy 2020 (3 August 2015)
- 53 IFRC Framework for Evaluation (February 2011)
- 54 DRAFT RTE Guidance
- 55 DCPRR Organigram (18 April 2016)

ICRC

- 56 ICRC. *Ecuador tras el terremoto: restablecer el contacto entre familiares para aliviar la angustia*. 13 May 2016.
- 57 ICRC RFL: <http://familylinks.icrc.org/es/Paginas/inicio.aspx>

Ecuadorian Red Cross

- 58 Situation Report-Ecuador Earthquake 18: 18 to 24 June 2016 (27 June 2016)
- 59 Situation Report-Ecuador Earthquake 20: 2 to 8 July 2016 (11 July 2016)
- 60 Letter to Presidents and Director Generals on earthquake in Ecuador (16 May 2016)
- 61 Resumen EDAN (21 April 2016)
- 62 Map: Terremoto Ecuador: Areas priorizadas y líneas de intervención (1 July 2016)
- 63 Map: Terremoto Ecuador: Acciones de la Cruz Roja Ecuatoriana (11 July 2016)
- 64 Map: Terremoto Ecuador: Area priorizadas y líneas de intervención (28 July 2016)
- Cruz Roja Ecuatoriana: Estatuto-Reglamento General de la Sociedad Nacional de la Cruz
- 65 Roja Ecuatoriana (2012)
- Cruz Roja Ecuatoriana: Resultados Encuesta de Satisfacción a Beneficiarios Banco
- 66 Interamericano de Desarrollo-Operación Terremoto Ecuador 16 (Julio 2016)
- Cruz Roja Ecuatoriana: Resultados Encuesta de Satisfacción a Beneficiarios -Operación
- 67 Terremoto Ecuador 16 (Junio 2016)
- 68 Estrategia de Comunicación 2015

Movement

- 69 Principles and Rules for Red Cross and Red Crescent Humanitarian Assistance
- Seville Agreement: Agreement on the Organization of International Activities of the
- Components of the International Red Cross and Red Crescent Movement (Council of
- 70 Delegates, 1997)
- Supplementary measures to enhance the implementation of the Seville Agreement (Council
- 71 of Delegates, 2005)
- Strengthening Movement Coordination and Cooperation (SMCC): optimizing the
- Movement's humanitarian response-Progress Report (Council of Delegates, 7 December
- 72 2015)
- Strengthen Movement Coordination and Cooperation (SMCC): optimizing the Movement's
- 73 humanitarian response-resolution (Council of Delegates, 7 December 2015)
- 74 Surge Information Activation Flow v2 (March 2016)
- 75 Johnson, Simon. **50 Humanitarian IM Tips**

76 SIMS Menu of Services

77 SIMS Review Process

78 SIMS One Pager

Other Documents

79 MIRA Evaluación Rápida Multisectorial Inicial-Ecuador Terremoto (8 de mayo de 2016)

DRAFT