



## TERMS OF REFERENCE

8 February 2024

Consultancy : Technical consultant for Evaluation of the ASEAN-ERAT system and Development of the ASEAN-ERAT Strategic Plan  
Period of contract : 8 April 2024 – 31 December 2024

### BACKGROUND

1. As one of the most disaster-prone regions in the world with long historical records of natural disasters and the impetus of the devastated Indian Ocean Tsunami in 2004, the ten (10) ASEAN Member States (AMS) signed the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) in Vientiane, Lao PDR, on 26 July 2005. The agreement has set the foundation of regional cooperation in all areas of disaster management. Under Article 2 of the AADMER, the agreement aims to reduce disaster losses in lives and social, economic, and environmental assets and respond to disaster emergencies through regional and international cooperation<sup>1</sup>.

2. Three (3) years after the signed AADMER, ASEAN established the Standard Operating Procedure for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Response Operations (SASOP) and ASEAN Rapid Assessment and Response Team (ASEAN-ERAT). Myanmar Cyclone Nargis in 2008 was the first deployment mission of the ASEAN-ERAT and managed by the ASEAN Secretariat as the Interim ASEAN Coordinating Centre for Humanitarian Assistance on disaster management (AHA Centre) before it was officially established by the ten (10) AMS in 2011. Following Article 20 of the AADMER and Article 2 of the Agreement on the Establishment of the ASEAN Coordinating Centre for Humanitarian Assistance on disaster management, the AHA Centre facilitates cooperation and coordination among the AMS and international organisations in promoting regional collaboration in disaster management and emergency response. Since its establishment, the AHA Centre has managed and coordinated the ASEAN-ERAT and continued the ASEAN-ERAT deployment mission for another catastrophic disaster, the Philippines Typhoon Haiyan, in 2013. Three years later, the ASEAN Leaders declared "One ASEAN One Response: ASEAN Responding to Disasters as One in the Region and Outside the Region". The One ASEAN One Response declaration affirms the critical role of the AHA Centre with a commitment to increase the speed, scale, and solidarity in the delivery of humanitarian assistance to the affected AMS. The One ASEAN One Response declaration also endorses the ASEAN-ERAT as the official resource of the ASEAN under AADMER, managed and coordinated by the AHA Centre.

3. The ASEAN-ERAT is rapidly deployable within 24 hours upon request/approval from the affected AMS and can be mobilised to support the initial phase of an emergency. The objective of ASEAN-ERAT is ASEAN-ERAT aims to support the affected National Disaster Management Organisation (NDMO). The core functions of the ASEAN-ERAT are to conduct a rapid needs and damage assessment, facilitate incoming relief assistance, and coordination. To date, there are 384 ASEAN-ERAT members, mainly from NDMO and ministries from AMS, including Non-Governmental Organisations, Civil Society Organisations, and Red Cross-National Societies. 116 of these 116 members have been trained with at least one of ASEAN-ERAT specialisations

<sup>1</sup> Source: <https://ahacentre.org/publication/asean-agreement-on-disaster-management-and-emergency-response-aadmer/>

in Rapid assessment, Information management, Humanitarian logistics, and Civil-Military coordination, and 11 members have been trained as Team Leaders (**Infographic 1**).

4. Since its initial response in 2008, 106 ASEAN-ERAT have been deployed to 30 national-led disaster responses in seven (7) AMS and the ASEAN Joint Needs Assessment in Myanmar (**Infographic 2**). Since its birth in 2008, the ASEAN-ERAT has transformed through responding to large-scale natural disasters, particularly the five (5) consecutive natural disaster responses in 2018<sup>2</sup>. In addition to that, the ASEAN-ERAT were also deployed to support non-natural disasters in 2017-2019 based on the request of the AMS and ASEAN Leaders. In 15 years, the ASEAN-ERAT has been through large-scale natural disasters and human-induced disaster responses and then challenged by the COVID-19 pandemic that impeded the physical deployment of ASEAN-ERAT.

5. ASEAN-ERAT deployment, both for preparedness and response missions, is enabled through the development and strengthened ASEAN-ERAT system (**Table 1**), which focuses on five (5) components: personnel, training, equipment, deployment procedure, and management<sup>3</sup>. The ASEAN-ERAT system was paved by the five (5) years strategic plan called the ASEAN-ERAT Transformation Plan (2015-2020). Based on this strategic plan, the capacity building of ASEAN-ERAT has been invested into three (3) phases of a project, mainly through the delivery of ASEAN-ERAT Induction Courses (Generalist), Level 2 Courses (Specialist), and Level 3 Courses (Team Leader), Refresher Courses, regional exercises, and equipment since 2017 with involvement of NDMOs of the AMS and partners such as UNOCHA, UNHRD, WFP, IFRC, ICRC, RHCC, Center for Excellence in Disaster Management and Humanitarian Assistance (CFE-DM), HELP Logistics, RedR, MapAction, and Télécoms Sans Frontières (TSF), amongst others.

6. Considering the trend in increased local capacity to respond, advanced information, communication, and technology (ICT), and increased disaster events while keeping the ASEAN-ERAT relevant to the potential change of needs and future humanitarian landscape, the ASEAN-ERAT system needs to be evaluated. Therefore, the AHA Centre is seeking a professional consultant firm to evaluate the ASEAN-ERAT system and develop the 5-year ASEAN-ERAT Strategic Plan based on the system evaluation results.

## OBJECTIVES & OUTPUTS

7. Objectives of the evaluation of the ASEAN-ERAT system are as follows:

- 1) To measure the outcomes of the strengthened ASEAN-ERAT system (effectiveness).
- 2) To measure the relevance of the ASEAN-ERAT system with the current and future of the humanitarian landscape (relevance).
- 3) To measure the coherence of the ASEAN-ERAT capacity-building strategy (coherence).

8. Outputs of the evaluation:

- 1) Evaluation report, which includes actionable recommendations for enhancing the ASEAN-ERAT system.
- 2) A document of the ASEAN-ERAT Strategic Plan (2025-2030), which includes at least a set of objectives, indicators, and a list of activities.

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<sup>2</sup> Source: <https://ahacentre.org/publication/aar2018/>

<sup>3</sup> Source: <https://ahacentre.org/publication/asean-erat-guidelines/>

## EVALUATION CRITERIA

9. The main evaluation question: **"To what extent does the ASEAN-ERAT system enable the ASEAN-ERAT deployment, relevant to the current and future humanitarian landscape, and coherently build the ASEAN-ERAT capacity?"**

To answer the main evaluation question and the evaluation objectives, the suggested but not limited to, evaluation criterion and questions are summarised in **Table 2**.

**Table 2. Evaluation Criteria**

<b>Criteria 1: Effectiveness</b>	
<b>Criteria question</b>	<b>Supporting question</b>
1.1 To what extent has the ASEAN-ERAT system enabled the ASEAN-ERAT deployment mission?	1.1.1 To what extent does the ASEAN-ERAT system prepare and support ASEAN-ERAT for preparedness and response in and outside the region? 1.1.2 To what extent has the ASEAN-ERAT deployment added value to the AMS and potentially for response outside the region? 1.1.3 To what extent have partners and donors are involved in strengthening the ASEAN-ERAT system? 1.1.4 What is the recommended ASEAN-ERAT system that better enables and sustain the ASEAN-ERAT deployment for preparedness and response missions in the region and the ASEAN-ERAT response outside the region?
<b>Criteria 2: Relevance</b>	
<b>Criteria question</b>	<b>Supporting question</b>
2.1 To what extent has the ASEAN-ERAT system been relevant to the current and future trends in the humanitarian landscape?	2.1.1 To what extent are the role, function, and mandate of the ASEAN-ERAT relevant to the current and future needs of AMS and future trends in the humanitarian landscape? 2.1.2 How can the role and function of the ASEAN-ERAT be feasibly relevant to the current and future needs of AMS and future trends in the humanitarian landscape? 2.1.3 To what extent has the ASEAN-ERAT system coped with AMS's current and future needs for ASEAN-ERAT deployment and future trends in the humanitarian landscape? What would be the recommended and sustainable ASEAN-ERAT system?
<b>Criteria 3: Coherence</b>	
<b>Criteria question</b>	<b>Supporting question</b>
2.1 To what extent has the ASEAN-ERAT capacity-building strategy been synergised with the AMS and the AHA Centre capacity-building strategy/program?	2.1.1 To what extent has the ASEAN-ERAT capacity-building strategy met the current and future capacity needs for ASEAN-ERAT response in and outside the region? 2.1.2 To what extent has the ASEAN-ERAT capacity-building strategy synergised with the AMS and AHA Centre capacity-building strategy/ program? 2.1.3 What are recommendations for the ASEAN-ERAT capacity-building strategy to synergise with the AMS and AHA Centre capacity-building strategy/program?

## EVALUATION METHODOLOGY

10. The AHA Centre expects a robust evaluation plan consisting of an evaluation design, an evaluation matrix that informs the evaluation measurement strategy, a sampling frame, an analysis plan, evaluation tools, and a technical implementation plan with a timeframe. The

evaluation design must justify the proposed evaluation methodology with the suggested measurement strategy and its maximum benefits for the high quality of the evaluation process and results, analysis, and measures to reduce possible bias. The proposed evaluation design must explain the application of the evaluation methodology in responding to the evaluation criteria and questions with details on sampling and how to implement such as how many interviews, focus group discussions, etc. Please avoid theoretical explanations for methodology such as surveys, interviews, and focus group discussions, which can be read in a textbook. The AHA Centre expects mixed methodologies of evaluation with key respondents from ASEAN-ERAT members from the ten (10) AMS, NDMOs, partners, and donors. Candidates must show a sampling frame with justification in the evaluation design.

## SCOPE OF EVALUATION

11. The audiences of the evaluation of the ASEAN-ERAT system and the ASEAN-ERAT Strategic Plan (2025-2030) are as follows:
  - 1) ASEAN Committee on Disaster Management Working Group on the Preparedness, Response, and Recovery Working Group (ACDM WG on PRR).
  - 2) ASEAN-ERAT Advisory Group.
  - 3) AHA Centre.
  - 4) Partners such as UNOCHA, WFP, IFRC etc.
12. Supporting projects for the ASEAN-ERAT system:
  - 1) The ASEAN-ERAT Transformation Project (2016-2019) – Phase I.
  - 2) Strengthening ASEAN's Collective Response Capacity through the Enhancement of the Capacity Building of the Regional ASEAN Emergency Response and Assessment Team (ASEAN-ERAT) (2020-2022) – Phase II.
  - 3) Strengthening the Capacity of the ASEAN Emergency Response and Assessment Team (ASEAN-ERAT) (2023-2025) – Phase III.

## CONSULTANT SCOPE OF WORK & DELIVERABLE

13. The selected consultant will be responsible for ensuring that the evaluation adheres to the evaluation protocol. **The consultant's scope of work includes:**

### A. Evaluation of the ASEAN-ERAT System:

- 1) **Conduct document study.** The selected consultant must conduct a comprehensive document study to prepare a robust evaluation plan.
- 2) **Develop an Evaluation plan.** The AHA Centre will provide a template of the Evaluation plan and a standard evaluation protocol for quality assurance. The expert must work with the AHA Centre to draft and finalise the evaluation plan that includes minimum essential contents such as evaluation objectives, evaluation criterion and questions, evaluation design and matrix, deliverables, and tools.
- 3) **Develop evaluation matrix and tools** in accordance with the agreed evaluation design (methodology, measurement strategy, and sampling framework).
- 4) **Lead data collection and coordinate with the AHA Centre throughout the evaluation process and strategic plan development.** Arrangement of interviews, group discussions, surveys, meetings, and possible visits to the ASEAN Member States must be discussed and proceeded in close coordination with the AHA Centre.
- 5) **Perform data management, quality assurance, and data analysis.** The consultant must ensure the quality of data collection and perform data verification

and triangulation for internal validity. The consultant is expected to update progress based on the agreed evaluation work plan.

- 6) **Conduct preliminary results, report writing, and presentation of evaluation results** to the audience of the final evaluation. The AHA Centre will provide a template for the final evaluation report.
- 7) **Develop the evaluation report**, which includes actionable and contextual recommendations. The AHA Centre will provide a template for the evaluation report.

#### **B. Develop ASEAN-ERAT Strategic Plan (2025-2030):**

- 1) Based on the evaluation results and recommendations, **update or develop a new ASEAN-ERAT system**, as the foundation in formulating the ASEAN-ERAT Strategic Plan in short, medium, and long term.
  - 2) **Develop a work plan for developing the ASEAN-ERAT Strategic Plan (2025-2030)**. This plan should explain methods/steps to develop the ASEAN-ERAT Strategic Plan, implementation strategy, and a list of activities from the preparation, into implementation and completion in developing the strategic plan with a table of timeframe.
  - 3) Conduct the **ASEAN-ERAT Strategic Plan Workshops**.
  - 4) **Develop the ASEAN-ERAT Strategic Plan (2025-2030)**. The strategic plan must include a clear statement of a set of objectives, SMART indicators and the indicators' definition, and a list of actionable activities within a timeframe. The strategic plan must reflect the pathway in fulfilling the One ASEAN One Response, ASEAN-ERAT responding in and outside the region.
14. Based on the expected consultant's scope of work above, **the consultant's deliverables** are as follows:
- 1) Evaluation plan,
  - 2) Evaluation matrix and tools,
  - 3) Data collection and progress updates,
  - 4) Filled out evaluation matrix,
  - 5) Records of data collection (relevant verbal or written transcript that is sealed or summary of records, signed informed consent), including all materials, data, and information gathered and analysed throughout the evaluation,
  - 6) Draft and final evaluation report, including all annexes,
  - 7) Work plan for developing ASEAN-ERAT Strategic Plan (2025-2030),
  - 8) Draft and final ASEAN-ERAT Strategic Plan (2025-2030), and
  - 9) Financial, logistical, and administrative arrangements and settlements.

#### **ETHICAL GUIDELINE & FUTURE USE OF EVALUATION**

15. All parties involved throughout the project evaluation, especially the consultants, must adhere to the ethical guidelines outlined in the Ethical Guidelines for Evaluation<sup>4</sup>. Below is the summary of ethical principles that are relevant to the conduct of the project evaluation:

##### **1) Integrity**

Align with ethical principles, truthful and open communication, professional conduct of evaluation, competence, and avoidance of conflict of interest.

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<sup>4</sup> Source: <http://www.unevaluation.org/document/detail/2866>

**2) Accountability**

Manage ethical complaints, demonstrate professional evaluative judgements, cost-effective and time-efficient evaluation, be aware of ethical misconduct, responsible data management, and adherence to ethical principles.

**3) Respect**

Inform consent seeking, maintain confidentiality, be inclusive and non-discrimination, and show empathy.

**4) Beneficence**

Maximise potential benefits to the evaluation, address power imbalance and do no harm.

16. All materials, data, information, and reports collected and produced throughout the evaluation and strategic plan will be the sole property of the AHA Centre.

## APPLICATION PROCEDURE

17. Candidates are expected to **submit the evaluation proposal** with minimum contents that include:

**1) Consultant profile**

This section includes a summary of the consultancy firm and a summary of the team leader and members. Details of each consultant personnel should be summarised in their CVs. **Please include relevant information only.**

**2) Evaluation plan**

Please provide your evaluation plan based on the information provided in this Term of Reference (ToR). Please briefly explain the evaluation design, including the **proposed methodology** with justification, analysis plan, and evaluation. The proposal should show its **robust design, feasibility, high quality, and contextuality**. Please provide a table of technical plan that shows your activities, estimated days of implementation, and the person in charge of each activity. The technical plan should also show the level of task divisions between the team leader and members.

**3) Data management and quality control**

This section should explain how the candidates plan to maintain the quality of data, data security, confidentiality, and proper data management according to the proposed evaluation design.

**4) Budget plan**

Please provide the budget plan based on the technical plan. The budget plan should inform the consultancy service and operational fee that reflects the level of effort of each personnel member for the entire evaluation and strategic plan.

**5) Reference**

Please provide at least three references with information about the referees' name, position, organisation, mobile phone number, email address, and working relationship.

**6) Sample of evaluation reports and strategic plan documents**

Please provide a sample of evaluation reports in English that show the quality of the Executive Summary (two pages), analysis results and key findings (four pages), conclusion (one page), and recommendation (two pages). If any, please also provide a sample of the strategic plan (five pages). Samples from different parts of the evaluation reports with sealed personnel or organisation identity information are encouraged.

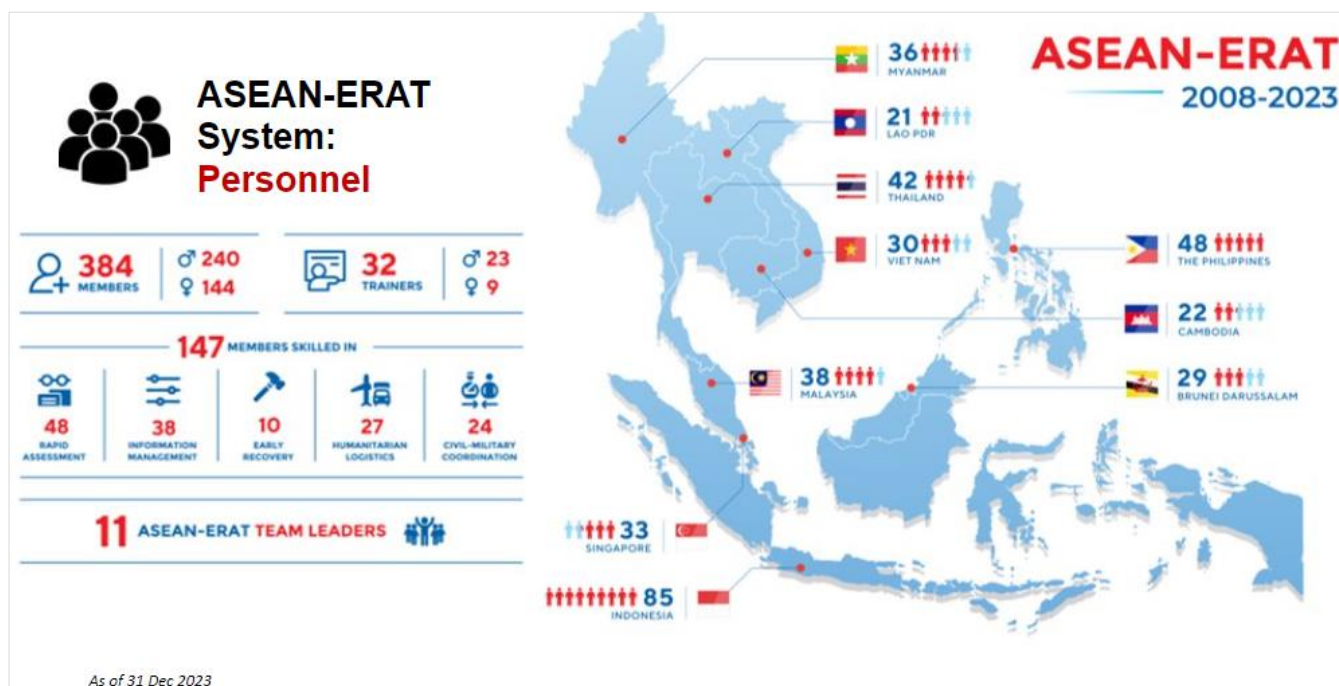


18. The proposal must be written in English and submitted to [procurement@ahacentre.org](mailto:procurement@ahacentre.org) no later than **11 March 2024** with the title **ASEAN-ERAT System Evaluation & ASEAN-ERAT Strategic Plan** in the subject line. Please label the proposal, CV, and sample of the evaluation reports with your name and document type in the file names. Only short-listed candidates will be notified and contacted for an interview.

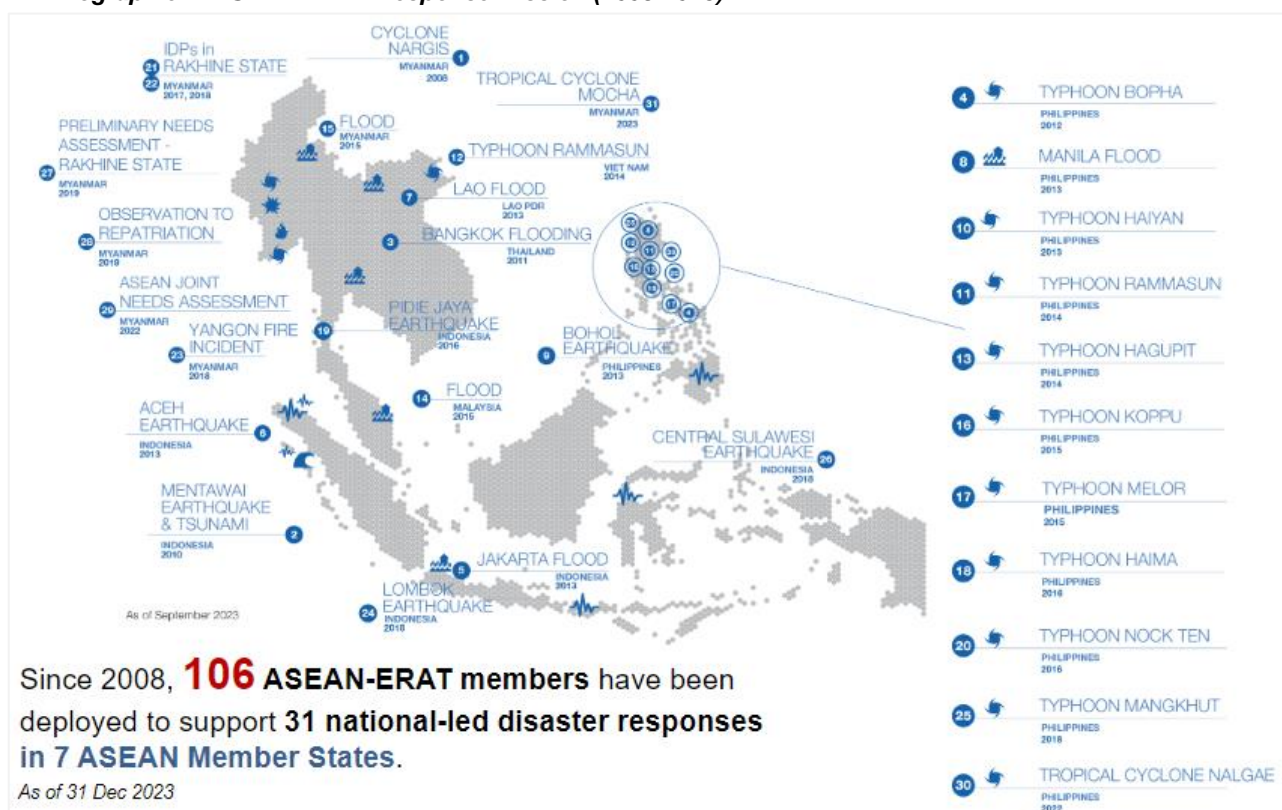
## REQUIRED QUALIFICATION & SELECTION CRITERIA

19. Required qualifications for the consultant are:
- 1) At least seven (7) years of experience leading and conducting evaluations, five of which should be with international organisations.
  - 2) At least ten (10) years of experience in disaster management, particularly in disaster preparedness and response.
  - 3) Have excellent knowledge and skills in evaluation. Demonstrate evaluation expertise and experience in designing robust evaluations in a complex setting, managing evaluation with diverse stakeholders, and data analysis.
  - 4) Have expertise in strategic planning with a sound understanding of system and design thinking or systemic capacity building.
  - 5) Have a solid understanding of ASEAN and experience in implementing evaluation across the region would be an advantage.
20. Selection criteria for the consultant:
- 1) Qualification – 25%
  - 2) Quality of proposal – 35%
  - 3) Quality of the sample of evaluation reports & strategic plan – 10%
  - 4) Interview – 25%
  - 5) Rational budget – 5%

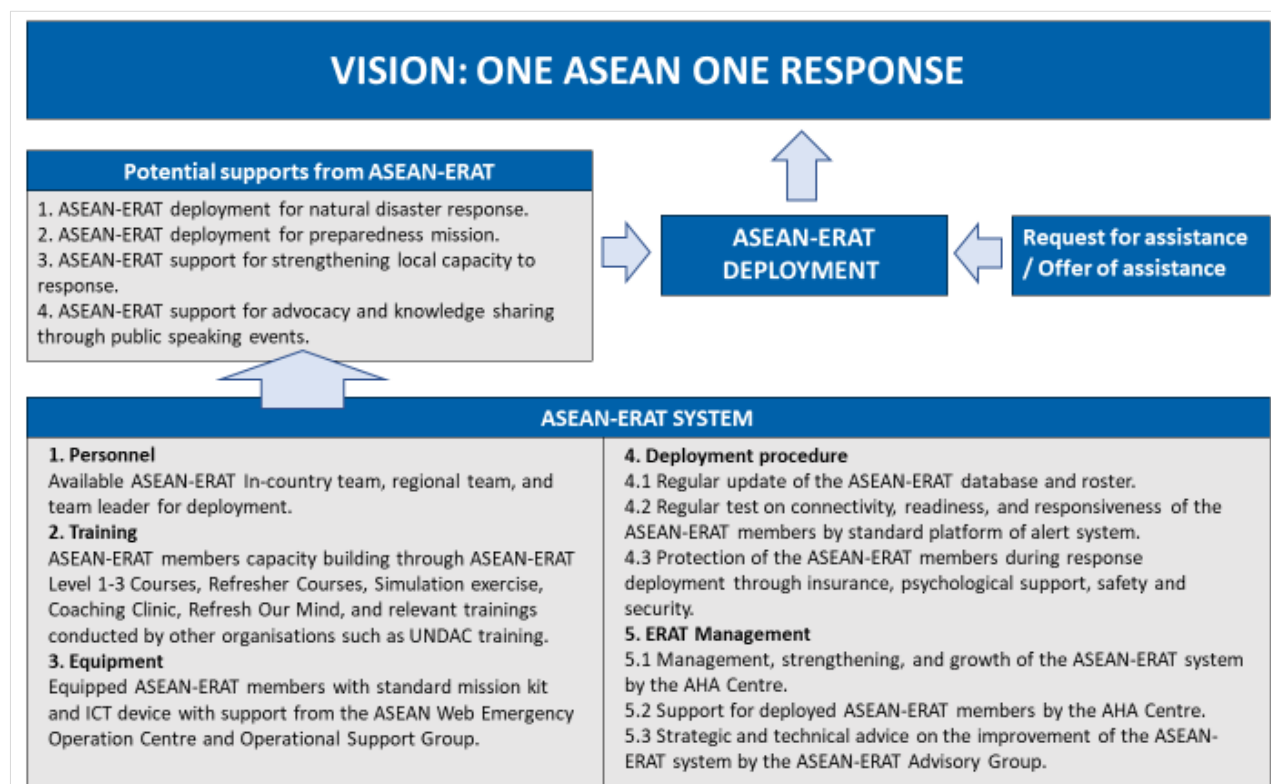
*Infographic 1. Distribution of ASEAN-ERAT*



**Infographic 2. ASEAN-ERAT Response Mission (2008-2023)**



**Table 1. ASEAN-ERAT System**



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