

# **TATA DISASTER RESPONSE GUIDELINES**

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## GLOSSARY OF KEY TERMS

Coordination Unit	<i>This coordinates the rescue phase of a response from the TSG Central Office (currently Army Navy Building, 2<sup>nd</sup> Floor, M G Road, Fort, Mumbai 400 001).</i>
Disaster	<i>An event or series of events that result/s in death and damage beyond the capacity of the affected community to cope.</i>
Disaster Response Office	<i>This is set up with the Second Mandate and manages the relief and rescue phases of a response.</i>
Emergency Services	<i>These constitute the latter part of the rescue phase, beginning after all survivors have been rescued and continuing up to 45 days after a disaster.</i>
First Mandate	<i>The approval that allows a response to a disaster and releases INR 2.5 million for rescue phase activities.</i>
Lead Tata Company	<i>This is the Tata Company that has been identified to take a lead role in the response to any disaster within a particular state.</i>
Project	<i>This refers to a specific initiative within the overall parameters of a Response. Each Project will have a beginning and an end, specific objectives, activities, expected outputs and outcomes, and a budget.</i>
Project Adviser	<i>S/he is an eminent person from the region where the disaster has struck with relevant experience and reputation, who plays an advisory role in the Disaster Response Office.</i>
Project Manager	<i>S/he leads the Disaster Response Office and is the point-person for the response in its relief and rehabilitation phases.</i>
Rehabilitation Phase	<i>This begins once the relief phase is over and continues for 3 years.</i>
Rehabilitation Strategic Note	<i>This makes the case for continuation of a response into its rehabilitation phase. It is prepared within 6 months of the disaster.</i>

Relief Phase	<i>This begins once the rescue phase is over and provides relief services for a maximum of 6 months.</i>
Relief Mission Note	<i>This makes the case for continuation of a response into its relief phase. It is prepared within 30 days of a disaster.</i>
Rescue Phase	<i>This is the initial phase of response to a disaster and consists of rescuing people and providing emergency services in the disaster affected area.</i>
Rescue Services	<i>This consists of rescuing people and providing medical aid and trauma counselling services to the victims of the disaster in its immediate aftermath.</i>
Response	<i>The conducting of operations in the aftermath of a disaster to support the recovery of affected people. This consists of phases (rescue, relief and rehabilitation) and Projects.</i>
Second Mandate	<i>The approval that allows the response to continue into its relief phase</i>
Steering Committee	<i>This body oversees the response in its relief and rehabilitation phase.</i>
Technical Support Tata Company	<i>A Tata company with specialized skills in disaster response</i>
Third Mandate	<i>The approval that allows the response to continue into its rehabilitation phase</i>
Values	<i>The principles that guide the conduct of a response</i>

## CHAPTER I: INTRODUCTION

The Tata group's core purpose is 'to improve the quality of life of the communities it serves through long term stakeholder value creation'. Responding to disasters that befall communities, and enabling their recovery and betterment, is a component of this purpose.

A Tata group disaster response should be a force for change for the affected community and region, one that makes the post-disaster situation significantly and sustainably better. Its experiences should light the path of best practise for the corporate sector and drive thinking in the field of disaster management.

To be a leader in the field, the Tata group needs enabling disaster response systems and capabilities. This document is a set of guidelines for disaster response – it outlines systems that enable decision-making so as to respond effectively and efficiently to disasters and to bring about lasting change for the better for the communities and areas that are affected.

### I. I. Disasters – Definition and Categories

A **disaster** can be seen as an **event** or **series of events** that give rise to **casualties** and/or **damage** to or loss of properties, infrastructure, environment, essential services and means of livelihood **on a scale that is beyond the capacity of the affected community to cope** with.

Disasters are usually classified as per the listing in Table I.1.

Table I.1: Classification and Types of Disasters	
Classification	Type of Disaster
<b>Natural Disasters</b>	
Geophysical	Earthquake, Volcano, Rock fall, Landslide, Avalanche
Meteorological	Cyclone, Storm
Climatological	Heat wave, Cold wave, Drought, Wildfire
Hydrological	Flood, Rock fall, Landslide, Avalanche
Biological	Epidemic
<b>Man-made Disasters</b>	
War and Civil Strife	War, Riot, Ethnic conflict
Industrial Accidents	
Accidents / Fires / Explosions	Road, Rail, Boat, Stampede, Building or bridge collapse, Structural failures in mines or dams
Environmental Contamination	Air pollution, Radiation
Terrorism	

### I. II. The Tata Group and Disasters

The Tata group's activities in the field of disaster response are not new – it was involved in providing basic services to refugees at the time of Indian independence. More recently, in the years between 1990 and 2012, the group has responded to more than 50 disasters across India. It has also responded to disasters outside India, though on a few occasions and in a limited manner.

The group has worked in collaboration with governments to meet immediate needs and ensure long-term benefits. It has rushed volunteers and emergency supplies such as food rations, transitional shelters, medicines and medical services, and safe drinking water into disaster-affected regions. It has rebuilt homes and rehabilitated livelihoods of disaster-affected communities.

The Tata group's responses to disasters has historically been coordinated by Tata Relief Committee, which in its institutional form as a non-profit organisation is presently nested within Tata Steel and based in Jamshedpur in eastern India. Going forward, the Tata Sustainability Group (TSG) will be responsible for driving the thinking on community relations within the Tata group. As disaster response broadly falls within this field, the responsibility for this will also transfer to TSG. This will enable efficacious Tata group responses to the disasters of the future coordinated across skills and expertise from across the group and other organizations.

### **I. III. Guidelines for a Response**

This document contains guidelines for the Tata group to respond to disasters in the future. While the focus of these guidelines will be India because that is where the bulk of the experiences, resources and vulnerabilities lie, it will also cover responses in the other geographies where the Tata group has a presence.

Any such guidelines face two important challenges.

The first is India's size and diversity, and that it is on the receiving end of many disasters of a kaleidoscope of types and intensities. The guidelines need to be general enough to apply to many different disaster scenarios and yet specific enough to be relevant in a particular disaster scenario.

The second is that the Tata group is large, well known, diverse, spread out across the country (and the world) and focussed upon benefitting the country and the localities and communities within which it operates. It has the ability and capacity to commandeer resources of a magnitude and variety that other institutions do not. At the same time, it does not have the luxury of doing something 'wrong' in its response to a disaster, or of making mistakes.

The guidelines need to encourage boldness, imagination, agility and innovation, and enable the group to use its considerable resources so that a response reflects and is indicative of the ambition, vision, capacity and reach of the Tata group. They have to simultaneously be conservative, with sufficient checks and balances within, so that a response meets its objectives completely and in a timely and efficient manner.

### **I. IV. The Values that Underpin a Response**

The guidelines first outline a set of values (chapter II) that underpin and provide a foundation to a Tata group disaster response. The values serve as a guide to decisions on whether to respond and, if yes, what to do, how, where, when and for whom to do it, who to involve in it, and what to achieve by responding. They set limits and boundaries for the response, enable choices on available options, and make a basis for 'what not to do'. It is important that there is broad agreement among those involved in the response, at all levels, on these values so that there is necessary coherence between the policies, strategies and activities that make up a response.

### **I. V. The Phases of Disaster Response**

The guidelines observe the standard division of a disaster response into three distinct phases.

1. **Rescue**, consisting of two distinct parts –
  - a. **Rescue services**, which are when rescue operations are on and survivors are still being found, and usually last for up to seven days after the disaster has struck. They consist of:
    - Rescuing those who are trapped, stuck, etc.
    - Making arrangements for the casualties and the injured
    - Trauma counselling
    - In addition, the Tata group will discourage anyone without specialist skills in rescue from visiting the region
  - b. **Emergency services**, which begin during or after the rescue services and can go on for up to 45 days, and which consist of:
    - Distributing emergency relief
    - Clearing rubble and debris
    - Restoring communications infrastructure (such as, for example, repairing telephone towers and re-opening roads)
    - Restoring basic public services (such as, for example, electricity and water supply)
2. **Relief**, which continues from the rescue phase and can go on for 6 months, and which broadly includes:
  - a. Distributing relief material as per needs of affected communities
  - b. Building temporary shelters
  - c. Continuing work on restoring communications infrastructure and basic public services from the previous phase
3. **Rehabilitation**, which continues from the relief phase, goes on for up to 3 years, and broadly includes:
  - a. Rebuilding homes and public infrastructure
  - b. Rebuilding livelihoods

Operations in the rescue phase of a disaster response are normally conducted under chaotic conditions with severe information lacunae. The relief and rehabilitation phases are relatively planned and would normally have articulated objectives and a strategy for achieving these.

There are three ways by which the Tata group will respond to a disaster, depending upon the requirements of the situation, the resources available, and the profile the group wishes to maintain. These are:

1. Provide funds to partner organizations
2. TSG leads the response by being physically present at or near the disaster affected area
3. A local Tata company leads the response, with TSG providing coordination and support. This is likely to be the case when a group response is not felt necessary or when TSG feels this is the most effective way to respond.

Table I.2 identifies default strategies for response for different disasters.

Table I.2: Default Response Strategies by Type and Phase of Disaster						
Category	Type of Disaster	Type of Response	Phase of Disaster Response (Lead Organization)			
			Rescue Services	Emergency services	Relief	Rehabilitation
Natural	Earthquakes, landslides, droughts, floods, cyclones, et al	Group Led	Partnerships	TSG	TSG	TSG
		Company Led	Partnerships	Lead Tata Company	Lead Tata Company	Lead Tata Company
Man-made	Riots, ethnic conflict, civil strife, et al	Group Led	No response	Partnerships	Partnerships	TSG
		Company Led	No response	Partnerships	Partnerships	Lead Tata Company
	Accidents, building collapse, mine collapse, et al	Group Led	Partnerships	TSG	TSG	TSG
		Company Led	Partnerships	Lead Tata Company	Lead Tata Company	Lead Tata Company
	Environmental contamination	Group Led	Partnerships	TSG	TSG	TSG
		Company Led	Partnerships	Lead Tata Company	Lead Tata Company	Lead Tata Company

In addition, every response would consist of a series of projects, each with its own specific objectives, activities and budgets that also fall within the broad objectives of the response.

## I. VI. The Decision to Respond

The decision to respond to a disaster is discussed in chapters III, IV and V of these guidelines. They outline the factors that contribute to a decision and also state that such a decision needs to be a subjective one that is more than a clinical exercise in weighing, scaling and prioritizing the outlined factors. They suggest that a decision be taken at distinct stages. These include:

- A **'First Mandate'** (Chapter III) that enables an immediate response in the form of:
  - Rescue and initial relief activities
  - The setting up of a Coordination Unit within the Tata Sustainability Group (TSG), with a specific financial commitment, a limited timeframe, and the involvement of the Lead Tata Company in the affected area, the Tata Trusts, and others.
  - The preparation of a Relief Mission Note that describes the disaster situation and makes a case for deeper and longer response commitment by the Tata group (or not).
- A **'Second Mandate'** (chapter IV) that commits the Tata group to setting up an institutionalized response over at least the next 5-6 months and requests resources for this from the Tata companies and the individuals associated with them. This includes the setting up of a Steering Committee to oversee the response, and a Disaster Response Office (institutionally nested within TSG) to manage it. The Disaster Response Office will also prepare a Rehabilitation Strategic Note that explores the possibility of the response continuing into a Rehabilitation phase.



- A **'Third Mandate'** (chapter V) that commits the Tata group to a longer-term response and to rehabilitation activities. This could include a request for more resources from the Tata group. Chapter V looks at the continuation of the response into a rehabilitation phase.

These chapters also list out the activities that can be undertaken at each phase of the response, and the organizations and entities that these can be done with. Appendix I.1 depicts a typical Tata group response to a disaster divided across its phases, with examples of types of projects in each phase.

## **I. VII. Other Issues Relating to a Response**

### **I. VII. A. An Institutional Framework**

Chapter VI describes an institutional framework for a Tata group disaster response. It outlines the setting up of a Steering Committee, a Coordination Unit and a Disaster Response Office to oversee, manage and advise on the response, and the roles, responsibilities, and requirements of each of these.

### **I. VII. B. Disasters outside India**

The Tata group is a global conglomerate with operations across the world. The commitments it makes to communities, including those related to supporting them in the aftermath of a disaster striking and enabling their recovery, apply to all the communities within which it works.

These guidelines are written with the Indian context in mind. There is a need to ensure that the thinking on disaster response extends to all the countries in which the Tata group has a presence. Chapter VII addresses this matter.

### **I. VII. C. Working with Others**

Every disaster response is different, depending upon –

- The type and intensity of the disaster
- The economic, social and political context of the area and communities it has affected,
- The resources available for the response

The Tata group may adopt different strategies for response depending upon –

- The other organizations involved (especially the Tata Trusts' NGO partners in the area)
- Their skills, capacities and systems
- The particular needs of the affected area and communities, and
- The level of visibility the group wishes to maintain

Each response will have differing levels of involvement of different organizations within it, with TSG playing a coordinating role. Working in partnership with other entities and coordinating with a variety of institutions with different values and objectives will be an important part of the way the Tata group responds to future disasters. Chapter VIII discusses the issues involved in working with others.

### **I. VII. D. Disaster Response Preparedness**

To respond effectively to disasters, the Tata group needs to be prepared; to inculcate the necessary skills, capabilities and systems within, and to develop the necessary relationships with other actors in the field of disaster response. Chapter IX goes into the issue of disaster preparedness.

### **I. VII. E. Monitoring and Evaluation**

Chapters X and XI discuss monitoring and evaluation of a response respectively, and of the interventions that make up a response. Those responsible for guiding, managing and implementing the response need to know that it is relevant, effective and efficient, and need to make timely corrections in case it is not best meeting the needs of affected communities.

### **I. VIII. More on the Guidelines**

The guidelines recognize that there are many commonalities in responses to different disasters, especially in the initial phases. They are more detailed for the rescue phase and less so as time passes and each response takes its own course.

They also recognize that TSG's role is to steer, navigate and coordinate a coherent response to the disaster, both within the Tata group and with other entities involved in the post-disaster situation, and that traditional hierarchical management methods are of limited use for this purpose.

It is important that the guidelines are 'live', and are updated regularly on the basis of the experiences in different disaster responses, new thinking in the field of disaster response, and latest techniques and technology available for responding to disasters. The responsibility for reflecting upon and updating the guidelines should remain with TSG.

It is also important that all Tata group disaster responses serve as examples to the corporate sector; that its practises be the best, that its use of technology be innovative, appropriate and effective, and that the responses themselves be leaders for others and drivers in the field of disaster response. These guidelines need to enable TSG to make this happen.

## CHAPTER II: TATA DISASTER RESPONSE VALUES

Disasters globally are diverse in term of types and intensities and are further complicated by the ability (or inability) of the state to respond to them. Disaster response requires the ability to work in a particularly challenging environment, which is characterised by –

- Urgency – the human cost of delay is high
- Adverse scenarios
- Varying, changing and conflicting objectives
- Incomplete and deficient information
- Simultaneous pressures from multiple sources
- Need to align with other private and state respondents, and
- Differing levels of administrative control over the situation

Such an environment throws up complex problems for a response to address.

A Tata group response operates with the additional constraint of not being able to make a mistake or to do something ‘wrong’. This environment provides unique challenges to those who are entrusted with a response – it has to be cost efficient, speedy and visible, and also have solid foundations and meet real needs of affected communities in an effective and sustainable way.

The Tata Disaster Response Values are a set of principles that guide the conduct of a response and provide a foundation for decisions around whether to respond and, if yes, what to do, how, where, when and for whom to do it, who to involve in the response, and what to look to achieve by responding. They,

1. Enable choices on use of resources for available options, set limits and boundaries for the response and make a basis for ‘what not to do’.
2. Are common to all Tata group responses to disasters, including the projects that make up the responses, and are shared by all those involved in the response from within the Tata group, whether in the affected area or in the central offices, and whether within TSG or in the many Tata companies that involve themselves directly in the response.
3. Are developed from the principles laid down in the Tata Code of Conduct, especially –
  - a. Clause: 1 – the Tata group is committed to benefitting the economic development of the countries in which it operates and will respect the country’s culture, customs and traditions.
  - b. Clause: 7 – the Tata group shall be committed to and support the constitution and governance systems of the countries within which it operates, and shall not support any specific political party or candidate for political office.
  - c. Clause: 10 – a Tata company will actively assist in the improvement of quality of life of the people in the communities within which it operates.
  - d. Clause: 12 – the Tata group honours the information requirements of the public and its stakeholders.
  - e. Clause 17: Tata employees shall exhibit culturally appropriate deportment in the countries they operate in.
4. Apply as well to projects undertaken in partnership with other institutions and entities that the Tata group works with in the course of a response.

**Value 1: We want to do 'good'**

The Tata group will respond to a disaster for the purpose of doing 'good', and as a part of its commitment to assist in improving the quality of life of people in the communities in which it operates (clause: 10, Tata Code of Conduct). The objectives of the response will always have a public interest priority. We will not respond for the purpose of promoting our business interests, or for PR value, though these may occur as a positive consequence of the response, and we will not seek quid pro quos of any sort in any aspect of the response.

**Value 2: We will try to focus our response upon the worst affected by the disaster**

The Tata group will expend effort and resources into identifying the individuals, households and communities that have been worst affected by the disaster, especially including the following categories of people, and will try to ensure that the response benefits them.

- Widows, orphans and the permanently disabled
- Undocumented migrants
- Ethnically marginalized groups such as Dalits, Adivasis and religious minorities, and
- Those who have been unable to avail of or benefit from others' relief and rehabilitation activities

We will be sensitive to the particular problems that such categories of people face in the aftermath of a disaster, and will make special efforts to involve them in planning and implementing projects.

We recognize that the worst affected can be particular individuals and households within affected communities, and can also be entire communities within particular geographies. We also recognize that who the worst affected are can change in the course of a response, depending upon government policies, other actors' response to the disaster, and other factors.

We will be willing to build systems into our response so that they enable us to work effectively with those we wish to work with. Our systems should suit the requirements of what needs to be done, rather than vice-versa. If we are not working with an individual, household or community that we should be working with, there should be strong reasons for this.

Support to Tata employees and entities / individuals associated with the Tata value chain (such as contract workers, suppliers, distributors, et al) who are affected by a disaster will not fall within the purview of a group response. Such support, and the resources required for it, will be made available at the discretion of the respective companies they are associated with.

**Value 3:** The projects that make up our response should contribute towards communities, families and individual beneficiaries being more resilient in the long term, and we want to know that this is happening.

The Tata group will build relationships with the affected communities from the rescue phase of the response onwards, and this phase too will focus to the extent possible on the worst affected areas and communities. We will also look to continue the relationships developed

with the beneficiaries of our projects beyond specific project periods, and be open to meeting subsequent needs and requirements in order to enable long term resilience.

Our monitoring systems will include financial monitoring, monitoring for activities and outputs, and monitoring for outcomes, and we will retain the flexibility to make course corrections in the projects that make up our response. We will be open to learning from our experience via evaluations. We will also document our experiences so that those involved in subsequent projects and responses can learn from them.

**Value 4:** Our interactions with affected communities will be such that they maintain dignity.

The Tata group will neither collect nor distribute inappropriate (such as used clothes in poor condition or damaged goods) or un-required items in its relief efforts. We will use processes for relief distribution that are orderly and enable the recipient to receive material as a right rather than as a hand out, and in a manner that enables him/her to maintain dignity and self-respect.

**Value 5:** We will be religion blind and politically neutral.

The Tata group will not support or make donations to any political (clause: 7, Tata Code of Conduct) or religious party or group in its response.

We will not work with or through any entity that is using the disaster to promote its religious or political affiliations in the relief and rehabilitation phases. We will also not work with or through any entity that is identifying beneficiaries on the basis of their religious or political affiliations. In addition, we will not pay 'taxes' in any form to non-state actors.

**Value 6:** We will be accountable for our activities and policies in the course of a disaster response to those who support us with resources, and to affected communities we work with.

By being accountable, the Tata group means that we will be transparent with information including that related to activities, policies and finances, and we will be responsive to direction from stakeholders.

We will see the affected communities that we work with (the 'beneficiaries' of our response) as the primary stakeholders of our projects and we will involve them in planning, implementing and monitoring our relief and rehabilitation activities. We will work with panchayat institutions such as Gram Sabhas, Ward Sabhas and Mahila Sabhas, for this purpose, and will use planning tools and social audit mechanisms in our processes. At the same time, we recognize that there are power differentials within beneficiary communities and we will try not to perpetuate them. Towards this, we will make special efforts to ensure that vulnerable groups and communities, including the women, children and disabled within them, are not excluded from our processes as outlined in Value 2.

We will put up signage at every location at which we work that clearly indicates the nature and purpose of the project, the financial provision (including material and labour break ups and the community contribution), the project's starting and ending dates, and the involvement of the Tata group and any other partner or party in the work.

We will recognize the contributions of those who provide us with resources for our endeavours, and will enable them to benefit in the form of signage and branding. We will encourage them to visit and see the work they have supported, will facilitate these visits, and will be open to their suggestions and feedback. In addition, should any donor wish their contribution to be used for a specific activity within the broad objectives of the response, we will expend all efforts to make this happen.

We will be open with information on our response, and make available details such as resources raised and expended, description of projects undertaken and their effects, plans, challenges, inter alia, to all stakeholders.

All expenditure, in all projects and phases of all our responses, will be undertaken so that it is auditable to the highest standards.

**Value 7:** We will seek to work with other groups and entities so as to best serve the interests of the affected communities.

The Tata group will look for partnerships with appropriate NGOs, CBOs, panchayats, government institutions, defence organizations, companies, and company associations, in addition to working itself.

We will also contribute to and be involved in efforts to coordinate the responses of different entities to the disaster.

**Value 8:** We will be responsible in our use of resources.

The Tata group commits to ensuring that the coordination costs of a disaster response will not exceed ten percent of total financial contributions received in the rescue and relief phases, and in each year of the rehabilitation phase, and we will monitor for and report on this. Exceptions to this will need formal approval from appropriate authorities. The coordination costs do not include salaries of Tata staff paid directly by their respective parent Tata companies.

We will seek to leverage resources from other entities, including the government, for the activities that we undertake and support. In addition, we commit that all monies collected for a particular disaster will be spent on responding to that particular disaster.

**Value 9:** We will leverage the expertise and capabilities within the group to develop innovative solutions to problems faced by disaster-affected communities.

The Tata group commits to using its technological resources and managerial know-how to innovate on the ground and to address problems. We will also study innovations and best practices developed in other places in the field of disaster response, around the world, and enable their replication in the disaster-affected areas in which we work.

**Value 10:** Our disaster response teams will be adequately qualified, trained and oriented so as to be effective in their work in the aftermath of a disaster.

The Tata group will ensure that all Tata volunteers involved in a group response to a disaster are prepared for the situations that they are likely to face in the course of their work.

They will be selected for their attitude, knowledge, and suitability to the particular requirements of the response, including for physical fitness, language skills and ensuring an appropriate gender balance in the team. They will be oriented to personal safety issues, to working with affected communities, and to working in partnerships with other entities such as NGOs, panchayats, defence agencies and government institutions.

## CHAPTER III: DISASTER RESPONSE - RESCUE PHASE

Which disasters should the group respond to, and which should it not? This chapter addresses these questions and defines a process by which the initial decision to respond can be taken.

Section II begins at the point at which a disaster has struck, or is striking, and moves from a request for a decision to the point at which such a decision is made. It also identifies the factors affecting a decision to respond and some issues that may affect such a decision. Section III outlines the procedures for a 'First Mandate', or an approval to initiate rescue and initial relief activities and to explore whether the Tata group should commit to, and raise resources for, longer-term relief and rehabilitation activities in the disaster affected area (or a 'Second Mandate'). The procedures are drawn out in Diagram III.1.

This chapter therefore sets guidelines for a response for up to 45 days after a disaster, after which the Second Mandate takes over. It also includes winding down procedures in case the Tata group decide against a Second Mandate.

### III. I The Decision to Respond

An initial decision to respond would follow a request to the Tata group, or to a company or entity of the Tata group, to respond to a disaster, or an enquiry as to whether the group is responding to a disaster. Such a request or enquiry could be from the following sources –

- From within the Tata group
  - From TSG
  - From one or more of the Tata companies
  - From one or more of the Tata Trusts or other Tata entities
  - From employees within the Tata group
- From the affected state or district governments, or the central government
- From people's representatives in the national Parliament, in the affected state's legislative assembly, or from local governments in the affected area
- From civil society organizations
- From concerned individuals
- From the media

The request or enquiry would be forwarded to TSG for follow-up action. Follow-up action would take the following forms on the basis of discussion within TSG and possible enquiries with the Tata Trusts and the Tata entities that have a presence in the affected area:

- TSG recommends that a group response is not required. The request may be passed on to the SPOCs of the designated Lead Tata Company of the region and to the Tata Trusts to respond as they respectively see fit.
- TSG sees fit to conduct an initial enquiry. It will then depute a person to undertake this and suggest the suitability of a group-level response. This involves no commitments except of time and possible travel costs, and a decision to do this can be taken by the Head of TSG. This leads to one of the preceding or following options.
- TSG recommends limited intervention at the rescue and initial relief phase. This is referred to as a First Mandate and is detailed out in section III.



**Factors affecting a decision:** Five factors would guide a decision to respond. These are –

- The magnitude of the disaster
  - Deaths and injuries
  - Damage or loss of:
    - Properties
    - Infrastructure
    - Environment
    - Essential services
    - Means of livelihood
- The media coverage of the disaster – this is often, but not always, correlated with magnitude and is therefore mentioned separately.
- The disaster's declaration as a national disaster – again often but not always correlated with magnitude.
- The location of the disaster and the extent of the group's interest in the affected area.
- A request for an intervention from:
  - The central, state or district government
  - A group company
  - The employees of the group or its companies and entities

Table III.1 lists these factors, situates them in the context of some earlier disasters, and looks at the actual response from the Tata group.

Table III.1: Disasters, Factors, and Past Tata Responses							
<i>Scenarios / Factors</i>	<b>Gujarat Riots (2002)</b>	<b>Tsunami (2004)</b>	<b>Kashmir Earthquake (2005)</b>	<b>Assam Ethnic Conflicts (2012)</b>	<b>Uttarakhand Floods (2013)</b>	<b>Odisha Cyclone Phailin (2013)</b>	<b>J&amp;K Floods (2014)</b>
<b>Response</b>	<b>Group, short term</b>	<b>Group, long term</b>	<b>No response</b>	<b>No response</b>	<b>Group, long term</b>	<b>Company Led, long term</b>	<b>Group, short term</b>
<b>Magnitude</b>	High	High	High	Medium	High	Low	Medium
<b>Media Coverage</b>	High	High	High	Medium	High	High	High
<b>Government Declaration</b>	Low	High	High	Low	High	Medium	High
<b>Tata Presence</b>	Medium	Low	Low	Low	Low	High	Low
<b>Request</b>	Low	Medium	Low	Low	High	High	Medium

While these factors may guide the decision to respond, the decision itself needs to be a subjective one that is more than a clinical exercise in weighing, scaling and prioritizing the outlined factors. The decision should be taken in stages; an immediate 'First Mandate' would

enable rescue and emergency services in the affected area, a 'Second Mandate' would enable carrying out relief activities, and a 'Third Mandate' would enable the response to continue into a longer-term rehabilitation phase.

The request for a First Mandate should be supported by a basis as outlined in Table III.2 below.

Table III.2: Information for an Initial Decision to Respond		
Factor	High/Medium/Low	Remarks
Magnitude		
Media Coverage		
Government Declaration		
Tata Presence		
Request for Response		
<b>Approval Request</b> ( <i>Code Red for a request to respond, Code Green for no response recommended and Lead Tata Company alerted</i> )		

#### Some additional issues regarding the decision to respond:

**Man-made disasters related to conflict:** These include wars (such as the Kargil conflict in 1999), terrorist attacks (such as Mumbai 29/11 of 2008), ethnic clashes (such as Kokrajhar 2012 and 2014) and communal riots (such as Gujarat 2002 and Muzaffarnagar 2013). The Tata group has responded to some of these disasters in the past, and will continue to do so. The decision to respond should be made based on the five factors identified above and keeping in mind the situation of the worst affected victims as per its espoused values of disaster response, the widows, orphans and disabled, those who have lost property and livelihoods and those who are internally displaced, rather than the causes of the disaster. That being said, the response itself may need to proceed cautiously, or in a low-key manner, depending upon the sensitivities of the situation.

**Disasters that we know are coming:** In some cases, we have advance notice of an impending disaster. Cyclones usually enable a few days' time to prepare, and droughts and famines can be predicted a few months in advance. While TSG would normally respond only while a disaster is striking or after it has struck, and not in advance of it striking, in the case of impending disasters TSG may additionally –

- Monitor the situation in preparation of a response
- Support a government order to evacuate an area
- Seek a First Mandate to stock supplies based upon a government request

**Disasters where there are safety issues for Tata personnel:** Sometimes, disasters occur in places that are considered 'dangerous' from a security point of view. As in conflict related disasters, a decision to respond should be made based upon the five factors identified above and keeping in mind the situation of the worst affected victims, rather than the location of the disaster. The response itself may need to proceed differently, using a partnership approach that precludes direct involvement and a full-time presence on the ground.

**Disasters where we work through a partner:** There are disasters that are contentious and where we want to maintain a low profile in our response (such as communal riots), those that have occurred in regions that are difficult to maintain a direct presence in (such as Kashmir, the North East, or the Nicobar Islands), or those for which we do not have the necessary skills to respond effectively (such as an environmental hazard or a terrorist attack). In such cases, we will choose to support a partner who is best equipped to respond and has a strong presence on the ground.

**Disasters abroad:** The Tata group has interests in many countries, and these countries too experience disasters that may require a response – such as the earthquake in Chile in 2013. In such cases, the Tata company with the strongest presence in the affected country will play a lead role in deciding upon and coordinating a response (the model that TCS used in Chile). TSG will play a supportive role, if required, in such endeavours.

### **III. II The First Mandate**

The First Mandate provides permission to ‘look around and figure out what’s happening’, undertake rescue and initial relief activities, and prepare a basis for further involvement in relief and rehabilitation (or not). It is a low commitment initial mandate with the following characteristics:

- The Chairman, TSG, approves the First Mandate on the basis of a request (including a telephonic one) by the Head of TSG, whether in anticipation of (for predictable events, like cyclones) or within 24 hours of the request from the Head of TSG.
- It releases a sum of INR 2.5 million for:
  - Rescue and emergency services (a listing of the activities is available in Appendix III.1)
  - Setting up a Coordination Unit in the TSG Central Office
  - Travel in the affected region and setting up a temporary presence within, should the need for this be seen.
  - Initiating communications with the Tata Trusts, Tata companies, the state and district governments, NGOs, international organizations and other actors (see Appendix III.2)
- It has a validity of approximately up to 45 days

### **III. III Activities during the Rescue Services Stage**

The Coordination Unit will do the following –

- Map the affected area
  - Map deaths, destruction and livelihood loss
  - Map facilities (hospitals, shelters, etc.) available
  - Map Tata points of presence in the affected area
  - Map ongoing rescue and relief efforts
  - Sources of information include local Tata companies and points of presence in the area, the media, the Tata Trusts, NGOs / CBOs, the NDMA and other government sources
- Set up communication facilities and establish contact with
  - Lead Tata Company in the area through the designated SPOC

- Technical Support Tata Companies through designated SPOCs
- Tata vendors in the area through the various Tata companies
- TSG's disaster response partners with specialized skills
- The Tata Trusts and their NGO partners in the area
- The affected state and district administrations
- The NDMA
- UN disaster management teams and those from other international agencies
- Other companies working in the area
- Make necessary arrangements with the disaster response partner(s) that the Tata group will work with in the rescue phase
- Initiate and coordinate rescue and emergency services in the disaster-affected area with the partners. This will involve:
  - Clearing rubble
  - Conducting rescue operations
  - Conducting emergency relief operations
    - Purchase and preparation of relief packages
    - Identification of needy areas
    - Distribution of relief
  - Counselling services
  - Medical support
    - Setting up field hospitals
    - Setting up medical outreach teams
    - Connecting patients to referral services
  - Services for children and adolescents
    - Facilities for orphans and those who have lost a guardian
    - Making common safe spaces for children and adolescents.

TSG will discourage people from visiting a disaster-affected area while rescue operations are on unless they have specialist skills in rescue.

### **III. IV Activities during the Emergency Services Stage**

Once rescue operations are over (usually after the first 7 days of the disaster striking), a TSG team consisting of a coordinator and an administrator will visit the area. They will travel across the affected area and understand its requirements and logistics, establish contact with the state and district governments and the agencies involved in relief, and may even establish a temporary base for relief coordination.

As a part of its duties, this team will represent the Tata group in the disaster-affected area during the rescue phase of the response. It will be present at coordination meetings with other actors, especially those organized by the state and district administrations, will communicate specific requirements to the Technical Support Tata Companies (Tata companies with skills) via the Coordination Unit, and will volunteer the services of the Technical Support Tata Companies to meet these requirements.

The Lead Tata Company for disaster response for every state will be decided upon as part of TSG's disaster response preparedness strategy. The Tata companies with specialist skills in disaster response, including rescue and emergency services, will also be identified as part of

a resource mapping exercise. These issues are discussed further in the chapter 'Disaster Response Preparedness' (Chapter IX).

### **III. V Closing the Rescue Phase of the Response**

The TSG team in the disaster-affected region will also be responsible for preparing a Relief Mission Note that makes the case to the Tata group for further involvement in a relief phase of the disaster or not. The Relief Mission Note would necessarily consist of -

- An assessment of the situation
  - An initial assessment of the damage
  - A description of the actors involved in the initial response phase, and an outline of what has been done so far
  - An initial listing of the major relief gaps
  - An indication of the state government's seriousness in its likely approach to the disaster in the future
- An assessment of the possibilities and challenges for relief efforts, a suggestion as to whether the Tata group should be involved in this, a listing of the critical skills the group would need to bring in from the companies and elsewhere, and an approximate budgetary requirement.
- A very initial assessment of the need for the group to be involved in long term rehabilitation activities based upon:
  - Extent and spread of death and damage
  - Attitude of state government towards rehabilitation
  - Involvement of other actors in the response and the possibility of coordination and partnership
  - Risks to the group
- It should address the following questions:
  - Who are the worst-affected communities, families and individuals (the likely beneficiaries of an involvement)
  - What are their likely relief and rehabilitation requirements
  - What are the likely challenges in reaching them
  - What could be done
  - How would the relief phase of the intervention work
    - DIY
    - Partnerships with other actors
    - Grant-making vs. implementation
  - How should the relief phase of the response be institutionalized
    - Where would a Disaster Response Office be located
    - Who could be placed within it
- It could include a SWOT analysis

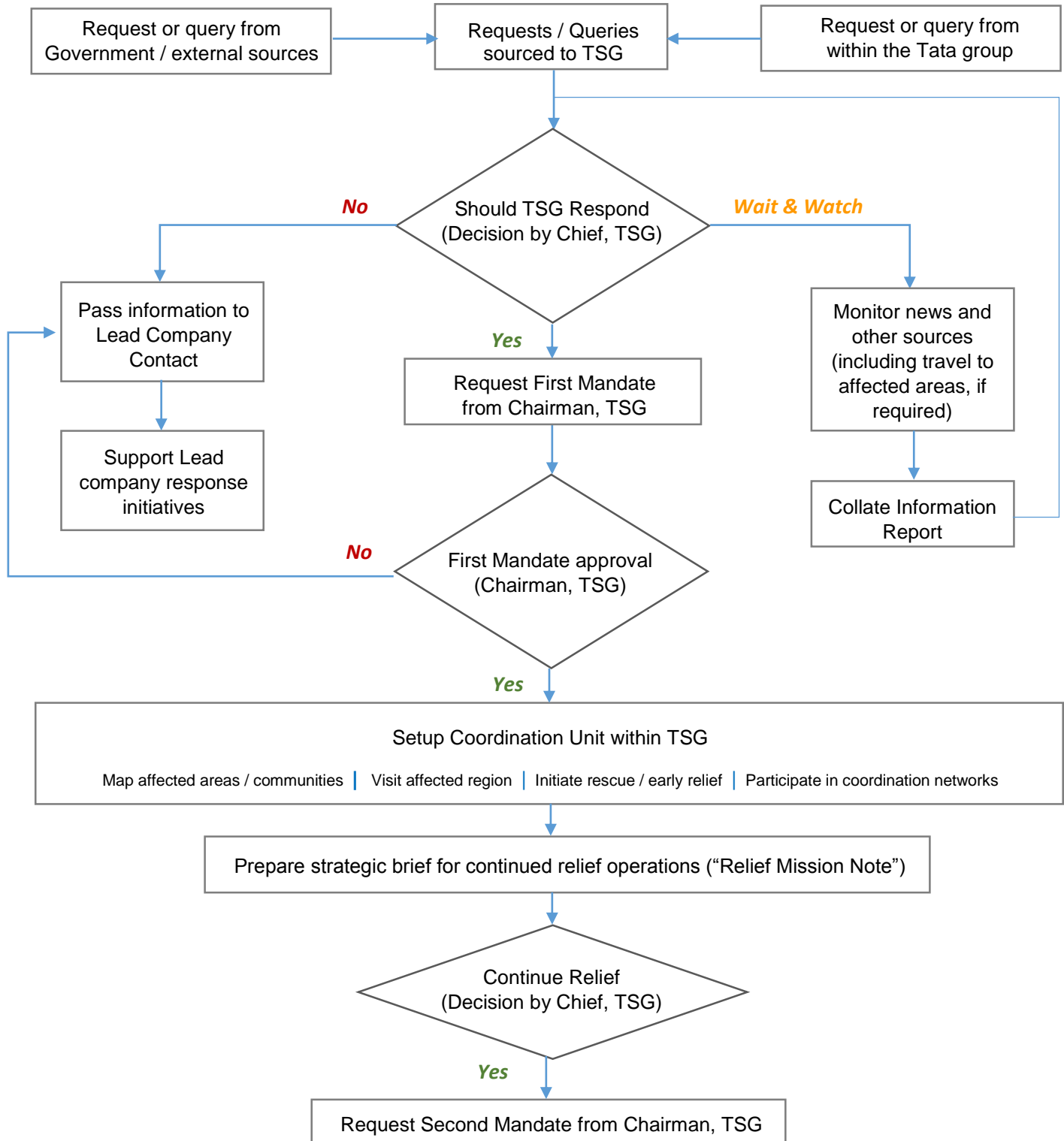
This Relief Mission Note will be passed on to the Chief, TSG, to take forward for a decision on continuation of the response into the relief phase, with a larger Tata group commitment in the form of money, people and other resources, or what is referred to as a 'Second Mandate'.

In the case of the TSG team not seeing the need for continuation of the response, or of the Second Mandate not being approved, the response and its constituent interventions need to be closed. This would involve:

- Closing of support to initial relief efforts
- A financial audit
- An evaluation of the response (see the Evaluation Guidelines)
- Closing the temporary base and the Coordination Unit
- Assessing the need to support ongoing Tata company or Tata Trust initiatives in the area
- Documenting the response

All this, except for the withdrawal procedures, will be done within the first 45 days of a disaster striking.

**Diagram III.1 - Immediate Response (First Mandate)**



A disaster has struck, and the following activities have been undertaken in the relief phase:

1. Rescue and emergency services have been organized in response.
2. A Coordination Unit has been established within the TSG office.
3. A temporary base may also be functional in the affected area, possibly within a Tata Trust entity or one of its NGO partners or one of the Tata points of presence.
4. TSG personnel have visited the affected area and met affected communities, are participating in the various coordination forums operational within, and are in direct contact with the affected state and district administrations, the international agencies, the NGOs, and the other actors that are involved.
5. A Relief Mission Note that outlines the disaster's extent, describes the various agencies active in the area, and suggests a future course of action, has been prepared.

Time has passed, and there is better information on deaths and damage, and on the severely affected populations and geographies. The Tata group has to decide whether to commit to a longer and deeper response – to move from the rescue to the relief and maybe the rehabilitation phases of disaster response, to work for at least the next six months (and possibly for the next three years) on the response, and to raise the resources required for this from the Tata companies and the individuals within them.

This decision is referred to as the 'Second Mandate'.

### IV. I The Second Mandate

The Second Mandate needs to be decided upon at a time when the fog around the disaster has cleared somewhat, and there is hard information available as to the extent of the disaster and therefore the need for (and some indication of the willingness of, as well) the group to be involved in a response to it. Inputs into the decision can be from the following sources –

- TSG's Relief Mission Note from the disaster's ground zero
- Chairman, TSG and Chief, TSG's discussions within the Tata group and with Tata Trusts
- Requests, queries or information from the government, the media and other entities

The Chairman, TSG, will take a decision on the Second Mandate.

An approval for a Second Mandate enables a committed and coordinated Tata group response to the disaster over a period of 5-6 months, or the relief phase of the response. It requests Tata companies and employees to make financial contributions to TSG for this purpose, and asks the companies to make other resources available such as manpower and expertise, depending upon the perceived need, for the response.

The activities included within the Second Mandate, or the relief phase of the response, are –

- Institutional activities (described in detail in the chapter 'Institutional Framework')
  - Forming a Steering Committee
  - Setting up a Disaster Response Office
- Coordinating the relief phase of the response
  - Conducting relief activities



- Supporting others to conduct relief activities
- Sitting in coordination committees at different levels
- Raising and managing resources
- Exploring opportunities and possibilities for the rehabilitation phase in a Rehabilitation Strategic Note

These are pictorially depicted in Diagram IV.1.

Activities in the relief phase are expected to end within 6 months of the decision for a Second Mandate. The phase itself will conclude with an evaluation, a financial audit, a documentation of the work, and the preparation of a Rehabilitation Strategic Note which should include, in the event of TSG wishing to continue the response into a third (or rehabilitation) phase, a proposal making the case for this.

## **IV. II Institutional Activities in the Relief Phase**

### **IV. II. A Formation of Steering Committee**

Upon approval of a Second Mandate, TSG's Advisory Committee on Disasters will form a Steering Committee to oversee the response. The Steering Committee will –

- Authorize all appeals and fund raising efforts for the response
- Appoint a Project Manager and a Project Adviser (if required) to manage the response, and enable them to set up a Disaster Response Office
- Approve all external formal arrangements, either directly or by delegation
- Determine the delegation of power
- Oversee the activities and direction of the Disaster Response Office

### **IV. II. B Setting up a Disaster Response Office**

A Disaster Response Office will be formed as per the direction of the Steering Committee to manage the response and all the resources raised for the response. It will be institutionally nested within TSG, though it may draw upon human resources from across the Tata group.

The location of the Disaster Response Office depends upon several factors, including –

- The nature of the disaster
- The nature of the response, and the location of the transactions that the office will be making in its coordination efforts
- Availability of communication and other facilities such as airport, hotels, office space, etc.

It may be, therefore, that the Disaster Response Office is located –

- In a town within the disaster affected area, or in a nearby large town or district headquarter – especially when there is such a town available and/or when most transactions are within the affected area.
- In the state headquarters – especially when this is the closest city and/or most transactions are with the state government and with other actors located here.
- In the TSG Central Office – especially when the response is mostly through partnerships with entities and/or the Tata group particularly wishes to maintain a low profile.

- It may also be that the office is nested within a Tata Trust partner's office, or in another NGO – especially when there is such a facility available and there is less need for a distinct office (and its related expenses).

#### **IV. II. C Team at the Disaster Response Office**

The Disaster Response Office will initially consist of a Project Manager and an Administrator, with a Project Adviser where required. The Project Adviser and Project Manager will be appointed by the Steering Committee.

The Project Manager will be a manager from within the Tata group, and will be selected from a pool of volunteers who have undergone training in disaster response (see the chapter on 'Disaster Response Preparedness') depending upon availability and suitability (local language skills, etc.). The project manager will lead the response. His/her duties will include –

- Coordinating with the Steering Committee and TSG
- Coordinating with the Tata companies and the Tata Trusts within the disaster affected area
- Planning and execution of the response and its projects

The Project Adviser will be an eminent person from the affected state, and may be a senior employee of the Lead Tata Company in the affected area. S/he will undertake high-level liaison within the state and district administrations, and provide overall advice to the Project Manager on execution of the response. S/he will also bring in local knowledge to the response team. Assuming that the Project Adviser is not from within the Tata group, s/he will be on a six-month extendable contract.

The Administrator will be responsible for providing administrative back-up and accounting support to the response under the supervision of the Project Manager. It is preferred that s/he is from the place where the Disaster Response Office is located.

#### **IV. III Conducting Relief Activities**

##### **IV. III. A Relief Activities**

The following activities may be conducted within the relief phase of a response, either directly or through partnerships with others. A detailed listing of activities and other organisations is available in Appendix IV.1.

1. Advocacy on relief policies – informing policy makers and other actors of gaps in the relief effort and pointing them towards areas of need.
2. Building temporary shelters for those who have lost their homes
3. Conducting relief operations – distributing relief supplies to affected communities
4. Counselling services – providing trauma counselling to affected communities
5. Damage assessment – undertaking surveys to assess the nature and extent of damage caused by the disaster and to identify the worst-affected individuals, households and communities
6. Information and coordination support
  - a. Identifying areas and communities in need
  - b. Identifying possible partners in relief efforts

- c. Getting involved in government, UN and NGO coordination efforts
- 7. Logistical support – supporting other organizations, including Tata companies, the Tata Trusts, and the Trusts’ NGO partners, in their relief efforts and enabling these to be effective
- 8. Medical support – connecting patients to referral services and addressing public health issues.
- 9. Restoring communications such as connectivity, roads, etc.
- 10. Restoring essential services such as water supply, electricity, etc.
- 11. Restoring public infrastructure
- 12. Services for children and adolescents
  - a. Facilities and support for orphans and those children who have lost a guardian
  - b. Making common safe spaces in affected areas for children and adolescents.
  - c. Restoring educational services for children.

#### **IV. III. B Relief Projects and Proposals**

All the projects that make up a response, all activities that are undertaken within them, and all expenditure incurred for them, will be based upon project proposals that have been approved by the Steering Committee.

Every project in the relief and rehabilitation phases must have an approved project proposal. Project proposals will, at the minimum, include the following details –

1. Introduction
2. Problem Description – this section must describe the problem that the proposed project seeks to address.
  - a. It should address the questions –
    - i. What is the problem that the project will address?
    - ii. Who are the people being affected by the problem?
    - iii. What is already being done about the problem?
    - iv. Why is this a problem that the Tata group should address?
  - b. It should be analytical and provide data from the damage assessment and other credible sources to back up its observations.
3. Background of the Implementing Organization – this section must describe the organization/s that will be implementing the proposed project.
  - a. It should address the question – does the organization have the skills, systems and inclination to successfully implement the project?
  - b. It should describe the financial and human resource capacities of the organization and its past record in undertaking similar projects.
4. Aims and Objectives of the Project
5. Strategy, Activities and Timeframe of the Project
6. Outputs and Outcomes of the Project
7. Budget
8. Reporting Requirements

9. Monitoring and Evaluation – this section should include the means by which the Tata group will know that the project is on track and is achieving the results that it is expected to.
10. Post-Project Scenario – this section should describe what happens after the project is completed.

#### **IV. IV Deciding upon the Rehabilitation Phase**

In some disasters, the scale of the damage is such that the need for a response to continue into a rehabilitation phase is obvious early. In such cases, the initial appeal for resources (in the aftermath of the second mandate) may include the requirements for a longer-term commitment in the disaster-affected area. In other disasters, the need for a rehabilitation phase may be felt during the relief phase. Either way, the decision to continue a response into a rehabilitation phase would require the Steering Committee to approve a Third Mandate.

To enable this decision, the Project Manager in the Disaster Response Office will explore the possibility of continuing into the rehabilitation phase (or not) during the relief phase of the response. This will depend upon –

- The need for a rehabilitation phase, which can be discerned from –
  - The damage assessment report
  - The documentation and evaluation of the rescue phase
  - Gaps in the work being undertaken by others
  - Requests from the affected community
  - The experience of the Disaster Response Office team
- The affected state government's policies regarding rehabilitation
- The availability of resources for rehabilitation work, or the likelihood of it
- The possibility of the Tata group doing relevant and effective work in rehabilitation

The Project Manager will prepare a Rehabilitation Strategic Note for the Steering Committee that takes into account the above and advises on this matter. The members of the Steering Committee will also interact across the Tata group and with contacts in the affected state government and in other organizations while deciding upon possible courses of action for continuation. The Steering Committee should make a decision on continuation and its direction before the relief phase of the response winds down – at the latest, 7 months after the disaster has struck.

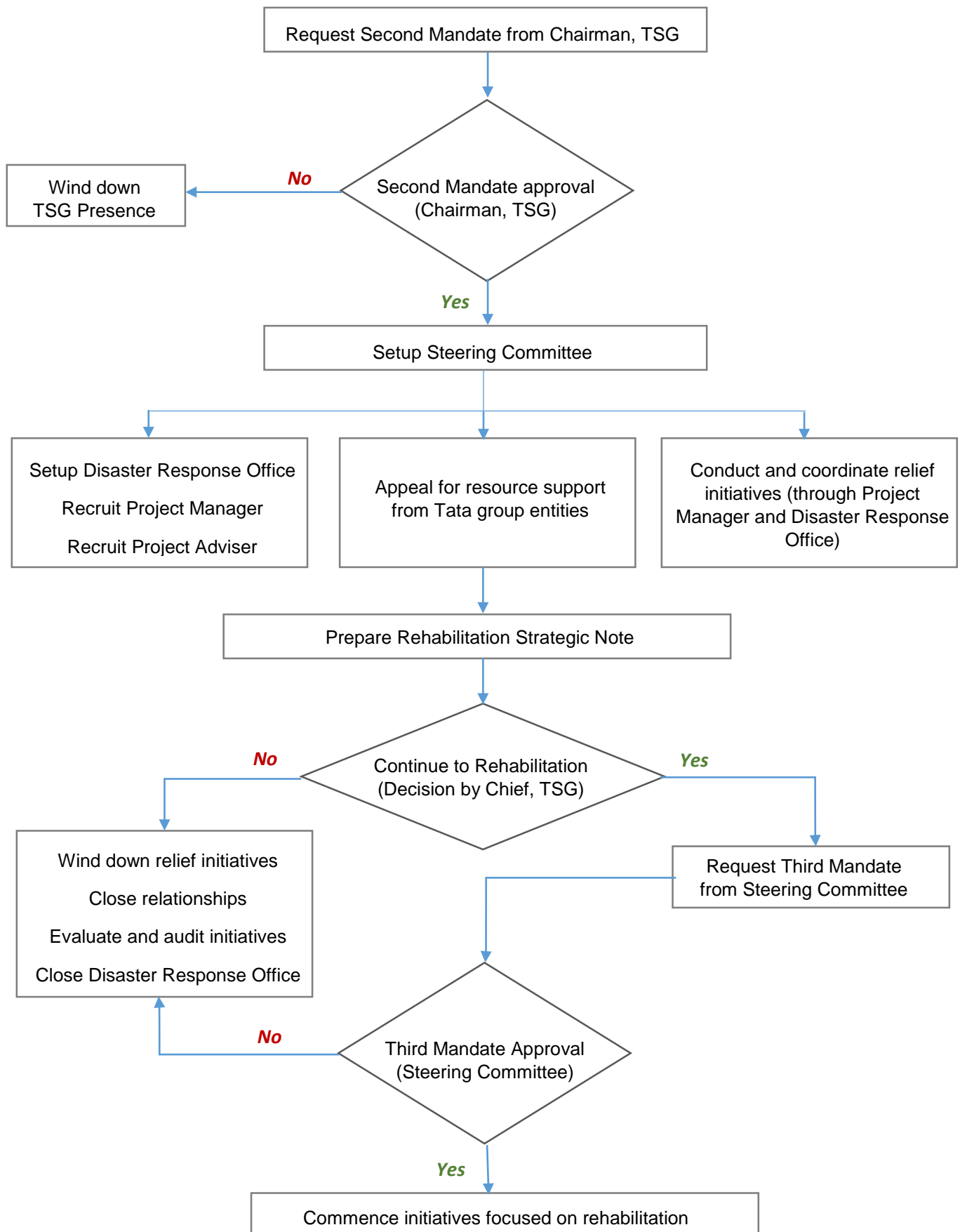
#### **IV. V Winding Down the Relief Phase**

The relief phase needs to be concluded within six months of its beginning, after which the response would either wind down or continue into the rehabilitation phase. In both cases, the following activities would need to be undertaken –

- A closure of all projects within the relief phase
- An evaluation and documentation of the relief phase
- An audit of expenses incurred during the relief phase

In the case of the response winding down, the Disaster Response Office too would need to be closed.

**Diagram IV.1 - Relief and Rehabilitation (Second and Third Mandates)**



## CHAPTER V: DISASTER RESPONSE - REHABILITATION PHASE

The rehabilitation phase is the longest and most resource intensive part of a disaster response, and requires the most commitment from the Tata group. It involves the recovery and rebuilding of lives and livelihoods of affected communities and individuals, including:

- Resettlement of communities to new areas in case their original locations are deemed as unsafe
- Reconstruction of private assets such as houses
- Reconstruction of public infrastructure such as schools and health centres
- Introduction of public services such as health, education
- Rebuilding of livelihoods

The rehabilitation phase typically begins towards the end of the relief phase, i.e. from about 4 to 6 months after the disaster has struck, and can continue for 3 to 5 years. The phase also requires the affected state government's policy for recovery and rehabilitation to be in place.

### V. I The Decision on Rehabilitation

Some disasters are of a magnitude that makes the need for a long-term response obvious in the early stages of its aftermath. In these cases, the initial appeal for resources (the 'first ask' by the Steering Committee) can include a commitment to a response that is long term and includes a rehabilitation phase. In other disasters, the need for continuing a response into a rehabilitation phase may be seen later, even while implementing the later stages of the relief phase of the response.

Either way, the decision to take the response into a rehabilitation phase should be made during the relief phase, between 3 and 6 months after the disaster. This decision is referred to as the Third Mandate.

Such a decision may be based upon –

- The factors that enabled the First Mandate –
  - The magnitude of the disaster, the extent of casualties and damage, and declaration as a national disaster
  - The extent of Tata presence in the area
  - Media coverage of the disaster
  - Requests from the government and others for the Tata group to respond at scale
- Additional factors, including –
  - The Tata group response's experience in the rescue and relief phases
  - Government policies that make space for and support a continued Tata group response
  - Gaps in the overall response effort in the aftermath of the disaster that the Tata group is particularly capable of filling
  - The likely exclusion of communities from the overall response effort that the Tata group has a particular focus upon (see Value #2)

A Rehabilitation Strategic Note advising the Steering Committee upon the requirement of a Third Mandate will take these factors into account. If its advice is to continue into the response into a rehabilitation phase, it should include a proposal for rehabilitation (Section V. II).

TSG will take a request for a Third Mandate to the Steering Committee for approval. If approved, the Steering Committee would then, depending upon need, generate a 'second ask' or another appeal for resources from the Tata group for a rehabilitation phase.

The decision to continue a Tata group disaster response into a rehabilitation phase should be a careful one given the commitment of time, effort, and human, technological and financial resources that rehabilitation requires.

The Tata group will go into rehabilitation only if it is confident of making the communities, households and individuals it works with in its response significantly better off compared to where they were before the disaster.

## **V. II. Proposal for Rehabilitation**

If the Rehabilitation Strategic Note advises continuation into a rehabilitation phase, it will include a proposal for rehabilitation for the Steering Committee to assess. This will include –

- A vision for the future of the disaster affected area and communities
- Aims and objectives of the Tata group's rehabilitation phase
- Strategies, possible activities, outputs and expected outcomes
- A description of the financial resources required
- Critical skills and capabilities that the Disaster Response Office will need to bring in to manage the rehabilitation phase

Some important rehabilitation requirements arise later in the rehabilitation phase and are therefore not discernable at the time of the relief phase concluding. The proposal for rehabilitation will recognize this and build in flexibility so as to meet such requirements when they arise.

A decision on continuation and its direction should be made before the relief phase of the response winds down, i.e. within 6 months of the disaster.

## **V. III Institutional Issues**

While the institutional structure of the response, with a Steering Committee overseeing it and the Disaster Response Office managing it, will continue into the rehabilitation phase, the following issues may need consideration.

- First, and most importantly, will the response require a new Project Manager?
  - A senior manager from within the Tata group may not be available for a three-year period, as a rehabilitation phase requires.
  - The leadership qualities for a rehabilitation phase may be significantly different from those required in relief.
  - By this time, the response should have gained sufficient momentum and trust for a new person to come in to this critical position.

- A professional from the field of disasters or development may be able to handle the responsibility with support from TSG.
- Is there a role for a Project Adviser? If not, the position should be terminated.
- Is there a need for a person to manage the operations side of the response?
  - Managing field operations may require a dedicated person. If so –
    - A person may be recruited for this role
    - S/he should report to the Project Manager
  - This will free up the Project Manager and enable his/her attention on other aspects of the response.
- Will the Disaster Response Office need to recruit sector specialists?
- Will the support functions within the Disaster Response Office, such as administration, HR and accounts, need to be strengthened?
- Should the location of the Disaster Response Office change so as to best meet the requirements of its responsibilities in the rehabilitation phase?

#### **V. IV Projects and Activities in the Rehabilitation Phase**

The projects that make up the response in its evaluation phase may be outlined in the proposal for evaluation. However, each project will require its own detailed proposal in the format outlined in section IV. IV. B. All project proposals would require Steering Committee approval before they are implemented.

The broad range of projects and possible implementing partners are outlined in Appendix V.1.

#### **V. V Closing the response**

The end of the rehabilitation phase signals the conclusion of the Tata group response to a particular disaster. This would require the following activities –

- An evaluation of the response that examines the extent to which it has succeeded in achieving its intended objectives.
- A documentation of the response that serves as a historical record for future responses to disasters.
- A financial audit of the response

Closure of the Disaster Response Office and termination of employment contracts of all employees not deputed from the Tata group



## CHAPTER VI: INSTITUTIONAL FRAMEWORKS FOR DISASTER RESPONSE

The Tata group will respond to a disaster in three phases –

1. The rescue phase that includes rescue and emergency services, begins at the time of deciding to respond (via the 'First Mandate'), and continues for 15 to 45 days after the disaster striking with a budget of INR 2.5 million
2. The relief phase that commits the Tata group to continue the response for at least the next 5-6 months via the 'Second Mandate'
3. The rehabilitation phase that begins with the relief phase winding down and can commit the Tata group to continuing the response for up to 3 more years via the 'Third Mandate'.

The Tata Sustainability Group will coordinate the Tata group's response, interfacing in the process with the Tata group management, the Tata companies (especially the lead Tata company in the disaster affected area and the companies specialized in aspects of disaster response), and the Tata Trusts and their NGO partners from the affected area.

Such a response, with the resources that have been entrusted for it, with a time period that ranges from 15 days to more than 3 years, and with the range of challenges that it has to take into account, requires an institutional framework that enables direction, rigour, effectiveness and accountability.

This chapter outlines the characteristics of such a framework. Section II looks at the framework in the rescue phase, section III the relief phase, and section IV the rehabilitation phase. The institutional framework is diagrammatically depicted in Diagram VI.1.

### VI. I The Rescue Phase

The Tata group's rescue and initial relief efforts in the aftermath of a disaster will be coordinated from within TSG. To do this, TSG will set up a Coordination Unit within its Central Office. The coordination unit will:

- Map the disaster
- Set up communications with others
- Initiate and coordinate rescue and initial relief efforts

A team from TSG consisting of a coordinator and an administrator will also visit the affected area so as to:

- Understand the logistics of response
- Establish communications with others involved in the response, especially the Tata lead company, the Tata Trusts, the Trusts' NGO partners, and the state and district administrations
- Establish a temporary base for relief coordination
- Explore the possibility of continuing the response into the relief phase

All financial transactions at this stage will be handled from the Coordination Unit at TSG's Central Office.

## **VI. II The Relief Phase**

The Second Mandate provides impetus for the response to move from the rescue to the relief phase. Institutionally, this involves the formation of a Steering Committee for the response and the setting up of a Disaster Response Office.

### **VI. II. A The Steering Committee**

Upon receiving a Second Mandate, TSG's Advisory Committee on Disasters will form a Steering Committee to oversee the response. The Steering Committee will –

- Authorize all appeals and fund raising efforts for the response
- Appoint a Project Manager and a Project Adviser to manage the response, and enable them to set up a Disaster Response Office
- Approve all external formal arrangements, either directly or by delegation
- Determine the delegation of power
- Provide vision and direction to the response
  - Ensure that the response has a broad strategy that it is adhering to
  - Guide and support the Disaster Response Office
- Approve expenditure
  - Approve broad response budgets
  - Approve every project that makes up the response
- Connect the response to the Tata group
  - Ensure accountability of the response to the Tata group
  - Ensure adequate resources (money and expertise) for the response
- Liaison with other entities at a high level
  - Government
  - International community, international agencies
  - Other companies and corporate associations
  - The media
- Ensure the response's adherence to statutory norms

### **VI. II. B The Disaster Response Office**

A Disaster Response Office will be formed as per the direction of the Steering Committee to manage the response. It will be institutionally nested within TSG, though it may draw upon human resources from across the Tata group.

**The Make-Up of the Office:** The Disaster Response Office will initially consist of a Project Manager and an Administrator, with a Project Adviser where required. The Project Adviser and Project Manager will be appointed by the Steering Committee

The position of Project Manager is most critical to the success of the response. Initially, and at least for the duration of the relief phase, the Project Manager will be a manager from within the Tata group, and will be selected from a pool of volunteers who have undergone training in

disaster response (see the chapter on ‘Disaster Preparedness’) depending upon availability and suitability (local language skills, etc.).

The Project Manager will lead the response. His/her duties will include –

- Coordinating with the Steering Committee and TSG
- Coordinating with the Tata companies and the Tata Trusts within the disaster affected area
- Planning and execution of the response and its projects

S/he will need to be networked into the Tata group and its constituent companies, and s/he will need to have personal credibility with these entities.

The Project Adviser will be an eminent person from the affected state, and may be a senior employee of the lead Tata company in the affected area. S/he will undertake high-level liaison within the state and district administrations, and provide overall advice to the Project Manager on execution of the response. S/he will also bring in local knowledge to the response team. Assuming that the Project Adviser is not from within the Tata group, s/he will be on a six-month extendable contract.

The Administrator will be responsible for providing administrative back-up and accounting support to the response under the supervision of the Project Manager. It is preferred that s/he is from the place where the Disaster Response Office is located.

The ultimate size of the Disaster Response Office, and the number of people it employs, will be a function of –

- The nature of the response
- The volume of resources raised
- The extent, magnitude and variety of the activities undertaken

The nature of transactions involved in coordination

**The Location of the Office:** The location of the Disaster Response Office depends upon several factors, including –

- The nature of the disaster
- The nature of the response, and the location of the transactions that the office will be making in its coordination efforts
- Availability of communication and other facilities such as an airport, hotels, office space, etc.

It may be, therefore, that the Disaster Response Office is located –

- In a town within the disaster affected area, or in a nearby large town or district headquarter – especially when there is such a town available and/or when most transactions are within the affected area.
- In the state headquarters – especially when this is the closest city to the disaster affected area and/or most transactions are with the state government and with other actors located here.
- In the TSG Central Office – especially when the response is mostly through partnerships with other organizations and/or the Tata group particularly wishes to maintain a low profile.
- It may also be that the office is nested within a Tata Trust partner’s office, or in another NGO – especially when there is such a facility available and there is less need for a distinct office (and its related expenses).

## VI. III The Rehabilitation Phase

A Third Mandate (and, if required, a 'second ask' for financial resources) provides the necessary impetus to continue a response into its rehabilitation phase. A Rehabilitation Strategic Note prepared between 3 and 6 months after the disaster outlines the need for such a continuation and a proposal for rehabilitation outlines the objectives and strategies of the response in its rehabilitation phase.

The institutional framework of the response will not be significantly different between its relief and rehabilitation phases. The Steering Committee will continue to oversee the response, and the Disaster Response Office (institutionally nested within TSG and led by a Project Manager) will continue to manage it.

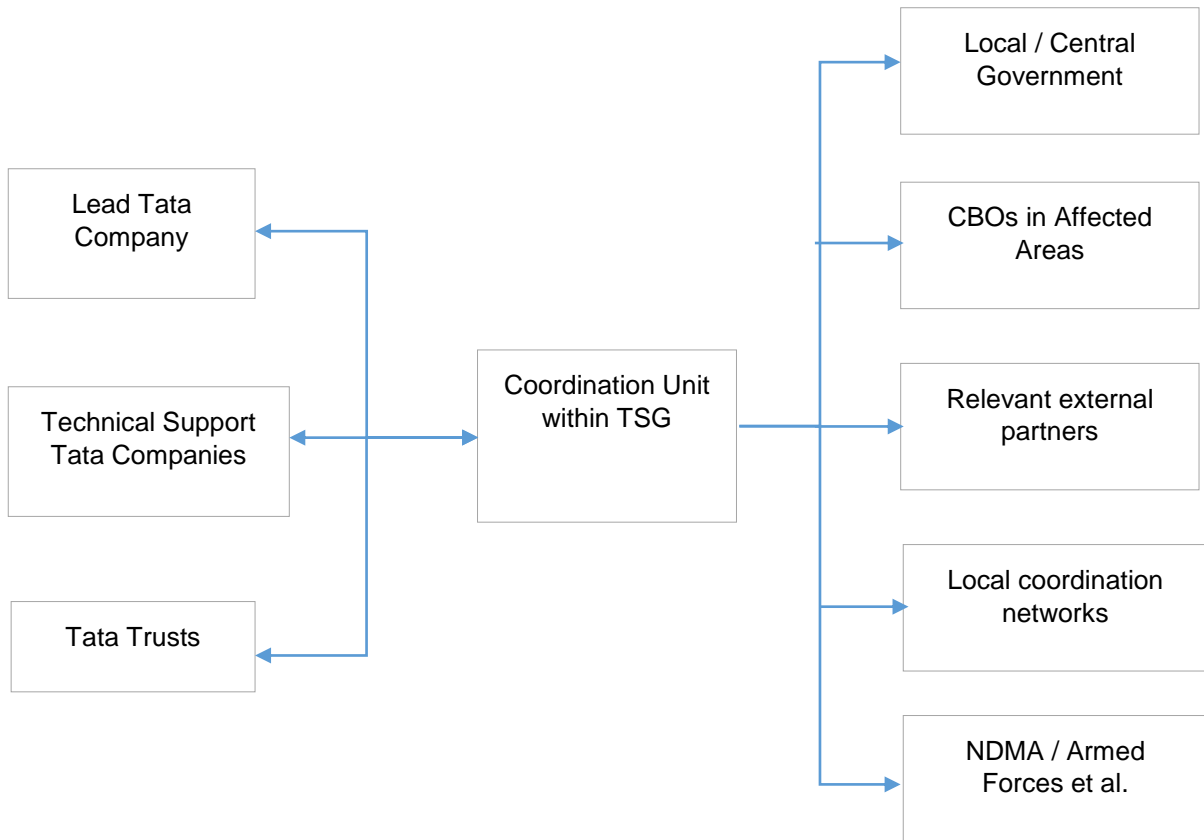
The Disaster Response Office may need significant changes within, depending upon:

- The intensity of involvement in rehabilitation
- The strategies being adopted
- The nature of projects being undertaken
- The resources available for rehabilitation
- Other factors

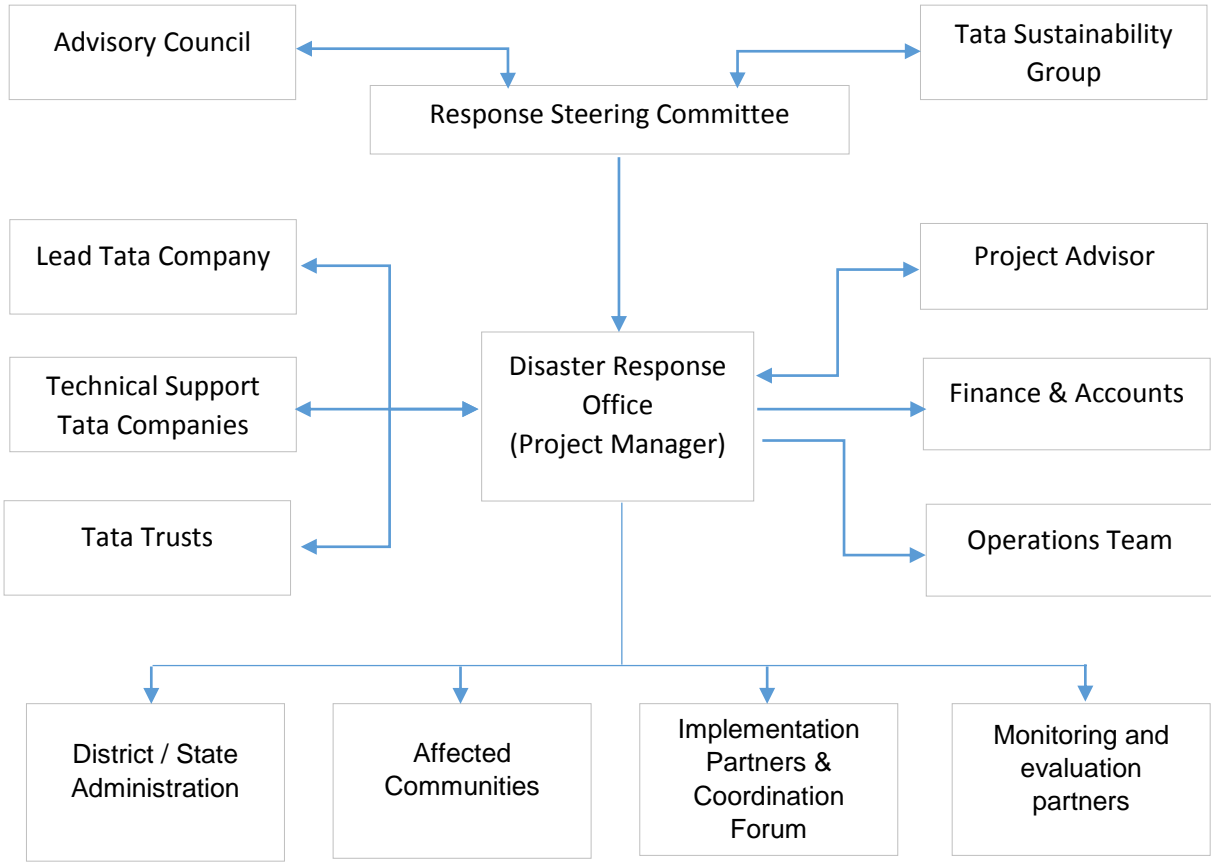
These changes could include –

- Most importantly, the rehabilitation phase may require a new Project Manager
  - A senior manager from within the Tata group may not be available for a three-year period, as rehabilitation requires.
  - The leadership qualities for a rehabilitation phase may be significantly different from those required in relief.
  - By this time, the response should have gained sufficient momentum and trust for a new person to come in to this critical position.
  - A professional from the field of disasters or development may be able to handle the responsibility with support from TSG.
- The rehabilitation phase may not require a Project Adviser. If not, the position should be closed.
- The rehabilitation phase may require a dedicated person to manage the operations side of the response. If so –
  - A person reporting to the Project Manager may be recruited for this role. S/he should handle the field side of the Disaster Response Office's work.
  - This will free up the Project Manager and enable his/her attention on other aspects of the response.
- The Disaster Response Office may need to recruit sector specialists, depending upon the nature of its work in rehabilitation.
- The support functions within the Disaster Response Office, such as administration, HR and accounts, may need to be strengthened so as to meet the requirements of the rehabilitation phase.
- The location of the Disaster Response Office may need to change so as to best meet its responsibilities in the rehabilitation phase.

**Diagram VI.1A - Institutional Diagram (Rescue Phase)**



**Diagram VI.1B - Institutional Diagram (Relief and Rehabilitation Phases)**



## CHAPTER VII: DISASTERS OUTSIDE INDIA

The Tata group is a global conglomerate with operations across the world. The commitments it makes to communities, including those related to supporting them in the aftermath of a disaster and enabling their recovery, apply to all the communities within which it works.

These guidelines are written with the Indian context in mind. Some components, such as the values of a Tata group disaster response, apply across the world. Others relating to systems and procedures are more difficult to transfer to the international context. There is a need to ensure that the Tata group's thinking on disaster response extends to all the countries in which the group has a presence. Towards this, these guidelines suggest the following steps:

### VII. I Identifying Lead Tata Companies in Countries

A Lead Tata Company in every country in which the Tata group works should be identified. Ideally, this would be the Tata company with the largest presence in the country. The Lead Tata Company would:

- Prepare a set of guidelines for disaster response that takes into account the context of the concerned country, including –
  - The nature of disasters that strike in the country
  - The capacity of the state to respond
  - The other entities with skills and capabilities in disaster response
  - The likely demands for a Tata group response in the event of a disaster
- Coordinate with TSG for training in disaster response tailored to the specific requirements of the particular country
- Coordinate a Tata group response in the event of a disaster, including –
  - Request the services of Technical Support Tata Companies for specialized aspects of response such as restoring power and water supply or rebuilding basic infrastructure
  - Host volunteers from Technical Support Tata Companies and coordinate their activities

### VII. II Build Capacities within TSG

TSG will retain an international orientation to enable effective disaster response in other countries in which the Tata group works. This includes:

- Knowledge of disasters and disaster response across the world
  - The main international actors in disaster response
  - The latest techniques and practices
  - The training facilities available
- The ability to transfer skills and knowledge acquired in one response to another response in a different context
- The capacity to support a Lead Tata Company in a country in coordinating a response and in building skills and capacity to respond effectively.

In addition, TSG would need to play a role in connecting the Lead Tata Company and the group centre in the event of a disaster.

## CHAPTER VIII: PARTNERSHIPS FOR DISASTER RESPONSE

Historically, the Tata group's response to disasters has been one of 'do it yourself'. A look at the 51 disaster responses of TRC between 1990 and 2012 reveals that it has, as a strategy, operated on its own – implementing and monitoring its activities itself, and only obtaining advice from others, such as the affected state and district governments, in the planning phase.

This changed with the response to the Uttarakhand floods of 2013, wherein it has included a variety of different projects within its response and has coordinated extensively with others to implement them. It has worked with several Tata companies and the Tata Trusts (and their NGO partners) in the rescue and relief phases, and is considering further partnerships in the future as a part of its rehabilitation agenda.

The need for working with others arises from the many different situations and requirements in the aftermath of a disaster, the different skills, capabilities and reaches that different institutions bring into a response (which no one institution can have), and the values of working with the worst affected and meeting their real needs. Notwithstanding the extent of the Tata group's preparation and capability and the scale of its resources, it would meet a greater diversity of needs of larger numbers of affected people more efficiently by mixing it up – working directly and working with others.

This chapter looks at how the Tata group can work with others in a disaster response. The appendices III.2, IV.1 and V.1 list out other entities in disaster response and the activities that can be undertaken with them in the rescue, relief and rehabilitation phases respectively. Section II of this chapter identifies the types of relationships and the levels of engagement with others, and Section III discusses guidelines for grant making.

### VIII. I The Possibilities with Others

The Tata group has the ability to engage with others at five levels:

1. Seeking advice while planning and implementing projects.
2. Coordinating with other entities in deciding locations, priorities and activities, and ensuring no overlaps or repetitions. This could also include coordinating to implement distinct projects with common objectives, or even distinct components of a common project.
3. Pooling in resources to implement a project, with common financial systems and monitoring mechanisms.
4. Making grants to other organizations for the purpose of implementing projects that they, the organizations, want to do and are particularly capable of doing, which also fall within the broad objectives of the Tata group's response.
5. Contracting out projects and activities that it particularly wishes to see undertaken to other organizations.

### VIII. II Guidelines for Grant Making

An important component of a Tata group's response to a disaster may be making grants to other organizations for projects that it sees as important but is unable to undertake itself. The Disaster Response Office will be in touch with many organizations that are active in the disaster-affected area, from a variety of backgrounds and with different skills, capabilities and interests. It is possible that it may attain its objectives more effectively and efficiently by



providing financial support to selected organizations to do what they do well, rather than building up the expertise to do everything itself.

Additionally, there are no legal or statutory barriers for this, given that most of the funds the Tata group raises for a response is from within India. It can work with whom it chooses, whether it is an NGO, a CBO, a military organization, the government, a panchayat, or any company, entity, or individual.

Such a strategy may be particularly relevant for responses to disasters that are contentious and where the Tata group may want to maintain a low profile (such as communal riots), those that have occurred in regions that are difficult to maintain a direct presence in (such as Kashmir, the North East, or the Nicobar Islands), or those for which it does not have the necessary skills to respond effectively (such as an environmental hazard or a terrorist attack).

Making financial grants to others requires careful selection of organizations and a clear understanding of the Disaster Response Office's fiduciary responsibilities.

## **VIII. II. A Selection of Organizations**

Any organization that the Tata group chooses to work with in the aftermath of a disaster should meet three basic criteria.

1. The organization should have credibility in its domain, and enjoy a reputation for integrity.
2. The organization's financial and operational systems should be transparent.
3. The project being supported should be compliant with the Tata group's disaster response values.

The criteria will apply to any organization that receives and uses resources from the Tata group. In the case of the response adopting a strategy of working with many organizations through a nodal organization, it will be the Disaster Response Office's responsibility to ensure that all downstream users of Tata group resources meet the above criteria.

In the case of the Tata group supporting NGOs for disaster response, an additional criterion will be that the concerned NGO is board-owned (and not an individual or family-run enterprise).

The Tata group would prefer to support NGOs that have self-imposed and self-implemented policies on honesty and transparency in their finances and operations that are of the highest standard.

## **VIII. II. B. Project Proposals**

All relationships that involve another organization receiving and spending financial resources from the Tata group for a project will be based upon a project proposal that has been approved by the Steering Committee. Project proposals to the Tata group should be written in English and should include four components – a narrative, a budget, appendices and supporting documents.

**The Narrative:** At the minimum, this component should contain the following information:

1. Introduction
2. Problem Description – this section must describe the problem that the proposed project seeks to address.

- a. It should address the questions –
    - i. What is the problem that the project will address?
    - ii. Who are the people being affected by the problem?
    - iii. What is already being done about the problem?
    - iv. Why is this a problem that the Tata group should address?
  - b. It should be analytical and provide data from the damage assessment and other credible sources to back up its observations.
3. Background of the Implementing Organization – this section must describe the organization/s that will be implementing the proposed project.
- a. It should address the question – does the organization have the skills, systems and capacity to successfully implement the project?
  - b. It should describe the financial and human resource capacities of the organization and its past record in undertaking similar projects.
4. Aims and Objectives of the Project
5. Strategy, Activities and Timeframe of the Project
6. Outputs and Outcomes of the Project
7. Reporting Requirements
8. Monitoring and Evaluation, including the means by which the Tata group will know that the project is on track and is achieving the results that it is expected to.
9. Post-Project Scenario, describing what happens after the project is completed. Which are the benefits that will continue to accrue after the project, and which will not?

**Budget:** The budget should be in detail in a separate Excel sheet, with the basis for the amounts clearly explained. The following five budget categories should be used –

- Salaries: This lists out all salaries paid as a part of the proposed project, including part-time salaries, honorariums, etc., and a staff welfare component, if any.
- Programmes: This lists out all the activities within the proposed project and the basis for their costs.
- Trainings: This lists out all trainings for the organisation's staff and the basis for their costs.
- Administration: This lists all administrative costs, including all costs not directly related to the proposed project.
- Capital: This lists out all capital items proposed to be purchased as a part of the project and the costs for these.

**Appendices:** The following details, at the minimum, need to be attached as appendices to the project proposal.

- Organisation fact sheet – contact details, bank details, governance details, etc.
- Table of grants obtained in the previous three financial years. For example

Table VIII.1: Funds Received in Past Three Years			
Name of Donor	Year 1	Year 2	Year 3
Donor 1			
Donor 2 and so on			

Total			
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- Chart depicting organisation's structure
- Chart relating the proposed project's objectives with expected outcomes, indicators and targets. For example –

Table VIII.2: Project's Objectives, Outcomes, Indicators, Baselines and Targets				
Objectives	Expected Outcomes	Indicators	Baseline	Target
Objective 1	Outcome 1.1	Indicator 1.1.1	Baseline 1.1.1	Target 1.1.1
		Indicator 1.1.2	Baseline 1.1.2	Target 1.1.2
	Outcome 1.2	Indicator 1.2.1	Baseline 1.2.1	Target 1.2.1
Objective 2	Outcome 2.1	Indicator 2.1.1	Baseline 2.1.1	Target 2.1.1
		Indicator 2.1.2	Baseline 2.1.2	Target 2.1.2

- Chart linking proposed project's objectives with activities, outputs, indicators and budgets. For example –

Table VIII.3: Linking an Project's Objectives with Activities and Finances					
Objectives	Activities	Outputs	Indicators	Targets	Funds Allocated
Objective 1	Activity 1.1	Output 1.1.1	Indicator 1.1.1	Target 1.1.1	Rs.
		Output 1.1.2	Indicator 1.1.2	Target 1.1.2	Rs.
	Activity 1.2	Output 1.2.1	Indicator 1.2.1	Target 1.2.1	Rs.
Objective 2	Activity 2.1	Output 2.1.1	Indicator 2.1.1	Target 2.1.1	Rs.
		Output 2.1.2	Indicator 2.1.2	Target 2.1.2	Rs.

**Supporting Documents:** In the case of NGOs, the project proposal should have a copy of the following documents attached.

- Latest consolidated audited financial statements
- Registration certificate under Societies/Trusts Act and Articles of Association
- Registration under Sections 12A and 80G of the IT Act

## VIII. II. C. Fiduciary Responsibilities

**Grant Letter:** Upon the Steering Committee's approval of a project proposal, the Disaster Response Office will send a letter to the concerned organization outlining the terms of the relationship. The letter will include a fund disbursement schedule. The relationship will be deemed to have begun upon receipt of a copy of the grant letter accepting the terms and signed by an appropriate authority within the organization.

**Monitoring:** The Disaster Response Office will monitor all projects that receive resources from the Tata group. This will include –

- Financial monitoring – seeing that the expenditure is taking place correctly and according to plans.

- Implementation monitoring – seeing that activities are being undertaken according to plans, and that outputs are being achieved as per targets.
- Results monitoring – seeing that the project is achieving its intended objectives.

The monitoring guidelines (chapter X) delve into the details.

**Evaluation:** The Steering Committee may require a project to undergo an evaluation for any of the following reasons –

- The performance of the project is significantly different from its plans.
- A decision needs to be taken about continuation of support.
- The project is a large one and requires an evaluation.

The evaluation guidelines (chapter XI) delve into the details.

**Financial Audit:** The Tata group will audit all use of all its financial resources, whether by the Disaster Response Office directly, by Tata companies involved in the response, and by other organizations.

All expenditure from a Tata group grant should be auditable to the highest standards. Chaotic rescue and relief environments will not be acceptable as a reason for laxity on this front.

## CHAPTER IX: DISASTER PREPAREDNESS

Much of these guidelines focus upon disaster response, and how the Tata group can react, and what it can do, once a disaster has struck. However, for the group to effectively respond to disasters, a degree of organization and preparedness is necessary.

In addition, the Tata group's experience in disaster response should feed into, and even drive, the thinking within the field of disaster management and enable the emergence of theories and best practices.

This chapter explores these aspects of disaster response. It begins with the organizational aspect of disaster response (section II) and continues into preparation (section III).

### IX. I Organizational Aspects

The responsibility for driving a Tata group response to a disaster will remain with TSG. To do this effectively, TSG will have a distinct department that is specialized in disaster response. This department will have the following characteristics –

- It will be flexible and have the ability to react quickly and take on responsibilities at short notice.
- It will have skills in steering and coordination so that it enables others to work effectively in the aftermath of disasters.
- It will have administration and accounting systems that enable remote operations.
- It will have the capacity to coordinate three disasters responses (each in different phases) simultaneously.
- It will be able to identify and draw upon resources from across the Tata group.
- It will be able to represent the Tata group in disaster related forums in business, in the government, in academia and in the consulting sector.
- It will have the intellectual capacity to organize, collate and analyse disaster evaluations and draw broad conclusions on disaster response.
  - It should be able to discern what works and what doesn't.
  - It should connect practise with theory and enable the development of new theories and best practices.
  - It should be a driver of the thinking on disaster response.

### IX. II Preparedness Aspects

These guidelines focus upon 4 aspects of disaster preparedness for the Tata group:

- a) Building a cadre of project managers
- b) Developing disaster related knowledge among Tata companies
- c) Resource Mapping
- d) Developing relationships with key service providers

## **IX. II. A Building a Cadre of Project Managers**

The critical resource in the Tata group's model of disaster response is the Project Manager. S/he will –

- Lead the response at the disaster's ground zero and be responsible for all aspects of its operation
- Represent the Tata group to the concerned state and district governments and other agencies operational in the response
- Represent the response to Tata companies and individuals within

The Project Manager will need to be a middle level manager in the Tata group with basic knowledge of disaster response and with extensive contacts and credibility across the group.

TSG will need to identify potential Project Managers within the Tata group and enable access to training in disaster response. It will explore the possibility of using the Tata Engage (Tata group volunteering program) for identification of potential volunteers for this role. The training will include one foundation course on disaster management and annual refresher courses.

TSG will thereby seek to develop a cadre of potential Project Managers so that, once a disaster strikes and a Second Mandate is received, a person with local language skills and the ability to relocate for a minimum of 6 months can be placed in this critical position. The cadre should be developed across Tata companies and regions, with every identified Lead Tata Company having at least one potential Project Manager within.

## **IX. II. B. Developing Disaster related Knowledge among Tata Companies**

Not all disasters require a Tata group response. Tata companies may wish to respond to smaller disasters in areas where they have a major interest, and to requests from state and district administrations for support.

To enable this, TSG will identify Lead Tata Companies for every state based on proximity, size and relevance of presence in the states. The engagement with these companies will include support from TSG in identification of company level SPOCs for disaster response and developing requisite skills and capacities in disaster response for such SPOCs. TSG will identify training support providers such as TISS and develop suitable training programs for this purpose.

## **IX. II. C Resource Mapping**

TSG will map the skills and resources within the Tata group for a disaster response so as to:

- Identify Lead Tata companies for disaster response for every Indian state
- Identify Technical Support Tata companies for specialized skills in disaster response
- Identify resources available to the Tata Trusts

The resource mapping exercise will identify Lead Tata Companies in every state, as mentioned in section IX.II.B. These companies will play a critical coordinating role in the disaster responses in which they are involved. They will –

- Be a source of information to the Coordinating Unit and the Disaster Response Office on the magnitude and extent of the disaster and the needs of the affected communities and the affected area
- Provide coordination facilities, including possibly space for a base or a Disaster Response Office to operate out of
- Provide contact with the state and district administrations
- Provide personnel to the response, depending upon availability
  - Project Manager
  - Project Adviser
  - Administrator
  - Coordinators
- Provide oversight to the response, possibly by deputing a senior employee as a member of the Steering Committee

Selected personnel from Lead Tata Companies will also undergo training programmes in disaster management. TSG will identify suitable training programmes for this purpose.

The resource mapping exercise will make a note of all the resources available within the Tata group for disaster response – Table IX.1 provides an indicative outline of the map and examples of resources. The Tata companies with specialized skills in disaster response will be identified as Technical Support Tata Companies. These skills and resources are then available to TSG's Coordination Unit (for the rescue phase of a response) and Disaster Response Office (for the relief and rehabilitation phases) as and when the need arises.

Table IX.1: Indicative List of Technical Support Tata Companies			
Company	Phase	Resource	Skills
Tata Steel	Rehabilitation	TRC	Experience in temporary shelters and relief organization
Tata Tele	Rescue	Communications	Can repair mobile towers that have been damaged in a disaster
TCS	Rescue and Relief	IT Services	Can support a district control room with software for relief distribution
Tata Communications	Rescue	Satellite Phones	Short term usage of satellite phones for rescue operations
Tata Steel, Tata Chemicals, Tata Steel, Titan	Rescue and Relief	Medical Services	Availability of in-house doctors and medical staff for deployment at short notice
Tata Motors	Rescue and Relief	Vehicles	Organize vehicles for transporting relief material through vendor network
Tata Power / Tata Power DDL	Rescue	Electrical Equipment and Services	Restoration of electricity lines in affected areas

Before a Technical Support Tata Company engages on the ground in a disaster-affected area, its volunteers will undergo an orientation programme that will enable them to prepare for the situation that they are likely to face (Value 10). TSG will be responsible for developing such orientation programmes. It will also ensure that all Tata volunteers and employees of company contractors who are part of volunteer teams undergo an orientation programme before setting foot into a disaster-affected area.

TSG will also map the locations, operational areas and capacity in the field of disaster response of all NGOs supported by the Tata Trusts across India.

## IX. II. D Developing Relationships with Service Providers

TSG will identify organizations with specialist skills in disaster response, and develop relationships with them so as to enable their effective participation in the event of a disaster. Some illustrative examples of such organizations are listed in the table below.

Table IX.2: Organizations with Specialist Skills in Disaster Response	
Organization	Specialist Skill
NIMHANS Bangalore	Trauma counselling
St. John's Hospital, Bangalore	Immediate medical services
IIT Roorkee	Geological surveys and civil engineering issues
Kutch Navnirman Abhiyan	Owner driven reconstruction
TARU	Damage assessment

Development of relevant capabilities within the Tata group will be the key enabler towards ensuring preparedness at the right levels. In this context, the capacity building initiatives for the relevant respondents envisaged across the group are summarized in table IX.3 below.

Table IX.3 - Capacity Building Initiatives for Key Resources				
	Project Manager	Emergency Services / Relief Volunteers	Technical Support Volunteers	
Nature of Resource	Existing Cadre	Volunteers (Lead company / Tata Engage)	Technical Support Company Personnel	Technical Support Company Vendors
Managerial / Technical Programs	Project management aspects of disaster response	Exposure to principles of relief distribution (and other relevant trainings)	-	-
Periodicity	Yearly sessions (refreshers) with periodic knowledge sharing	Yearly sessions (refreshers) with periodic knowledge sharing	-	-
Orientation Programs	Building attitudes and mind set for disaster response (including disaster response values)	Attitudes and precautions during emergency / relief operations (including disaster response values)	Attitudes and precautions during emergency / relief operations (including disaster response values)	
Periodicity	Yearly sessions with periodic knowledge sharing	Prior to specific operations	Prior to specific operations	



## CHAPTER X: MONITORING FRAMEWORKS

Is the response proceeding smoothly? Is it meeting its targets? Is it achieving its intended objectives? What has it done, and how has it made a difference? These questions are on the minds of those overseeing the response and those who have provided resources for it. Monitoring enables answers to these questions.

A good monitoring system has the following characteristics –

- It provides information about performance
- It provides a view, over time, about the status of a response
- It promotes credibility and public confidence
- It helps formulate and justify financial requests
- It identifies potentially promising projects and practises
- It provides timely and frequent information to managers and enables them to identify and take action to correct weaknesses
- It enables accountability to stakeholders

The Tata group disaster response model requires two levels of monitoring –

- Monitoring of the response by the Steering Committee
- Monitoring of the projects that constitute the response by the Disaster Response Office

In addition, three different types of monitoring will be undertaken –

- Implementation monitoring – ensuring that activities are as per plans and outputs are as per targets.
- Financial monitoring – ensuring that expenditure is correct and according to plans.
- Results monitoring – ensuring that objectives are being achieved.

### **X.1 Monitoring in the Rescue and Relief Phases**

Monitoring systems in the rescue phase will focus upon the following:

- Implementation monitoring
  - Rescue and relief activities being undertaken
    - Which organization has done what, where
  - Relief material distributed by household, village and region
  - Relief requirements that have not been met
- Financial monitoring
  - Description of expenses for rescue and relief activities by participating organizations divided into material, travel and other costs
  - Audited financial statements for all projects

Monitoring systems in the relief phase will be similar, with the following additional features:

- The performance of the response will be compared against the objectives outlined in the Relief Mission Note

- The performance of projects within the response will be compared against their respective approved proposals
- The expenditure will be compared against budget

In both phases, monitoring for results will not be attempted. The evaluation of the phases will provide information regarding outcomes of the projects and the extent to which objectives have been achieved.

## X. II Monitoring in the Rehabilitation Phase

Monitoring systems in the rehabilitation phase will be more sophisticated. The key documents for developing monitoring systems in this phase will be:

- The Rehabilitation Strategic Note
- The proposal for the continuation into rehabilitation
- The budget
- Approved project proposal
- The monitoring systems will include the following:
- Implementation monitoring
  - For the response –
    - Summation of progress in the ongoing projects
  - For the projects –
    - Narrative reports that describe, against each objective as per the project proposal, (see Table X.1)
      - Activity
      - Target
      - Achievement

Table X.1: Implementation Monitoring				
	Objective	Activity	Target	Achieved
Project One	Enhance livelihood security of affected family	Bee-keeping training for youth	5 trainings	5 trainings

- Financial monitoring
  - Quarterly financial utilisation statements against budget for both the Disaster Response Office and the various projects being undertaken
  - Reasons for variance reports for budget line items where the actual expenditure is significantly different from budget
  - Financial audits
- Results monitoring – narrative reports that describe achievement against objectives articulated for the response and the projects (see Table X.2)

Table X.2: Results Monitoring
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	Objective	Outcome	Indicator	Baseline	Target	Achieved
Project One	Enhance livelihood security of affected family	Increase household income	Total monthly income from all sources	INR 3,000	INR 10,000	INR 12,000

## CHAPTER XI: EVALUATION GUIDELINES

The need to evaluate the work done in rises from the Tata disaster response values, in which value #3 says that ‘the projects that make up our response should contribute towards communities, families and individual beneficiaries being more resilient in the long term, and we want to know that this is happening’ and makes the case for learning from experiences via evaluations. Value #6 requires the sharing of information regarding the effectiveness of the response’s policies and activities, and this too requires evaluations.

The Tata group proposes to make extensive use of evaluations in its response to disasters. At the minimum, all disaster responses will be evaluated at the end of their respective rescue, relief and rehabilitation phases, and selected projects that make up the response may also be individually evaluated as per the directions of the response’s Steering Committee. This chapter outlines the processes and procedures for evaluations. It addresses the questions:

- What is an evaluation?
- What does the Tata group want to achieve through an evaluation?
- What are the minimum standards expected from an evaluation?
- How should evaluation findings be disseminated and shared?

Section I of this chapter provides a conceptual backdrop to evaluations, section II describes the evaluation process and section III discusses post-evaluation issues. In addition, a draft ‘terms of reference’ for an evaluation, a generic table of contents for an evaluation report, a checklist of evaluations and a pictorial depiction of the evaluation process are included in the appendices.

### XI. I Conceptual Backdrop

#### XI. I. A. What is an Evaluation?

In the context of the Tata group and disasters, an evaluation is a systematic and objective assessment of a planned, on-going or completed project or response – its design, implementation and results – to determine its relevance, efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the lessons learnt to feed into decision-making processes of both the Tata group and its partners, if any.

The term **review** is used for an evaluation conducted during a project or response, and **appraisal** for an evaluation conducted ex-ante.

The term **relevance** means – the extent to which the objectives of the response or project are consistent with the beneficiary community’s requirements.

The term **efficiency** means – the measure of how economically resources/inputs are converted into results.

The term **effectiveness** means – the extent to which the project or response’s objectives were/are being or can be achieved.

The term **impact** means – positive and negative, primary and secondary long-term effects of a project or response, directly or indirectly, intended or unintended.

The term **sustainability** means – the probability of continued benefits after the project or response's time period.

Evaluation is distinct from, but complementary to, monitoring. Monitoring is a continuous process of collecting and analysing information to compare how well a project or response is performing against expected results. Evaluation is a one-time activity with a strong analytical component. The attached table demonstrates the complementarities.

Table XI.1: Monitoring and Evaluation	
Monitoring	Evaluation
Clarifies objectives	Analyses why intended results were or were not achieved
Links activities and resources to objectives	Assesses causal contribution of activities to results
Translates objectives into performance indicators and targets	Examines implementation process
Routinely collects data on indicators and compares actual results with targets	Explores unintended results
Reports progress to management and alerts them to problems	Provides lessons, highlights accomplishments or potential and offers recommendations for improvement

Good evaluation exercises have the following characteristics:

- Impartiality
- Technical adequacy
- Usefulness
- Stakeholder involvement
- Value for money
- Feedback/dissemination

## XI. I. B Why Evaluation?

The Tata group requires evaluations for four reasons.

1. To learn: There are lessons to be learnt from every project and response – within the Tata group, for the beneficiary communities, and for the wider disaster response community, and future policies and activities can gain from these lessons.
2. To know: It is important to know the efficacy of the projects and responses undertaken and the extent to which results are being achieved and desired change is being driven.

3. To support decision-making processes: Decisions concerning continuation of a response from the relief to the rehabilitation phase require supporting information, as do decisions regarding the use of limited resources for different projects within a response.
4. To document: Evaluation reports serve as documentation of a project or response's design, its implementation and processes, and its outcomes.

It is therefore a requirement that, at the minimum, all responses will be evaluated at the end of their rescue, relief and rehabilitation phases. In addition, selected projects that make up a response may also be evaluated as per the direction of the Steering Committee.

### **XI. I. C Evaluation Requirements**

For an evaluation to be useful, the project or response being evaluated needs to be conceptualized with clarity.

- There has to be adequate information on its expected achievements
- It needs to have in-built monitoring systems to measure performance consistently and reliably.

For a response, the strategic documents that provide a basis for the decision to continue into the relief and rehabilitation phases, with the objectives of the proposed response clearly articulated within, should serve as an important background document for its evaluation.

Similarly, all projects will be based upon approved proposals that can serve as the basis for evaluation. Proposals should therefore clearly articulate objectives, activities, outputs and expected outcomes. The systems to monitor performance should include indicators to measure outcomes, baseline data for each indicator, and systems for regular data collection, collation and analysis and for dissemination of monitoring information to relevant stakeholders.

In addition, all phases of a response and all projects should have a budget earmarked for evaluation.

## **XI. II The Evaluation Process**

The Tata group evaluation process will include three stages; conceptualising the evaluation, undertaking the evaluation, and disseminating the evaluation findings. The stages apply for evaluations of both an entire phase of a response, and for its component projects. Diagram XI.1 pictorially depicts the process.

### **XI. II. A Conceptualising the Evaluation**

**Forming an evaluation committee:** Once it is decided to evaluate a phase of a response or a project, the Disaster Response Office will form a committee to drive the evaluation process and see it through. This can be internal, or can include representation from other stakeholders to the response or project. The committee members will:

- Identify and negotiate with possible evaluators
- Make arrangements for the evaluation's logistical requirements
- Approve expenditure

- Support the evaluation process
- Ensure that the evaluation meets standards
- See to follow-up action

At the minimum, an evaluation committee for the evaluation of a response should include –

- A member of the Steering Committee as Chair
- The Project Coordinator
- A member of coordination unit staff who is responsible for making administrative arrangements for the evaluation team

Similarly, an evaluation committee for the evaluation of a particular project could include –

- The Project Manager as Chair
- The member of the Disaster Response Office staff responsible for making administrative arrangements for the evaluation team
- A representative from the beneficiary community
- In the case of a project that is implemented by another entity, a representative from the implementing entity should be part of the committee

**Forming the evaluation questions:** All responses and projects have multiple stakeholders (such as, for example, in the case of a response, the Disaster Response Office, the beneficiary community, Tata companies, the implementing organization, local government, etc.) and it is a useful first step to get everyone to articulate the questions they want the evaluation to address.

The evaluation committee can then streamline these into a set of questions that will provide direction to the evaluation. Identifying and articulating evaluation questions is critical – there is little benefit from evaluations in which important questions are overlooked or trivial ones allowed to consume resources.

**Identifying an Evaluator and an Evaluation Team:** The Tata group would prefer an external evaluator for the following reasons:

- The likelihood of impartiality and distance from the response or project.
- Credibility to internal and external audiences.
- This enables drawing upon evaluation expertise beyond that possessed within the Tata group.
- A fresh outside perspective.

External evaluators can be individuals or organizations, with the following characteristics –

- Impartiality – the ability to handle the politics of the evaluation and the pulls and pressures of the stakeholders while maintaining rigour and intellectual honesty.
- Technical adequacy – the ability to focus the evaluation and use the methodologies and techniques that may be required.
- Credibility and stature with stakeholders and outside audiences.
- Communication skills – both written and oral. The final outputs need to be of acceptable standards to meet their purposes.
- Management skills to administer the evaluation, and to ensure that it is within time and budget constraints.

Identifying the evaluator/s would be the responsibility of the evaluation committee. TSG would, in time, build up a list of evaluators who evaluation committees can call upon.

**Designing the evaluation:** The evaluator and the evaluation committee need to determine what information is needed to answer each evaluation question, and then work out a structure that will collect, collate, analyse and report this. This would lead to a detailed methodology, a time frame and a budget.

These guidelines do not look to suggest evaluation types and methodologies – each response and project being evaluated is unique and it is the responsibility of the evaluation committee and the evaluator to define this. However, the following suggestions may be noted:

- Evaluations need to have an appropriate mix of quantitative and qualitative methods, and not be one or the other.
- The response or project's monitoring information (baselines and performance measures against indicators) should provide inputs into its evaluation and raise issues that require further enquiry.
- Evaluations must deal with money matters such as – has money been spent appropriately and has the response or project provided value for money?
- The review of background information, including strategic documents, proposals, monitoring and financial information, other evaluations and documents relating to disasters and to the area within which the response or project operates, etc., needs to be thorough.
- Sampling techniques need to be logical and thought through.
- There should be scope for the evaluators to exercise their own judgement and use their own experience and knowledge throughout the evaluation.
- Case studies should be used purely for illustrative purposes.

**Arriving at a Terms of Reference (ToR):** Conflicts can (and do) happen in the course of an evaluation, and it is important to have a well-documented agreement between the evaluator and the Disaster Response Office spelling out lines of authority, responsibility and answerability on procedures, time, outputs and budget. Payment matters and milestones should also be addressed here. A note detailing the possible contents of a ToR is available as Appendix XI.1.

## **XI. II. B Undertaking the Evaluation**

The actual acts of collecting, collating and analysing information and arriving at conclusions on the performance of a response or project will always throw up surprises, and it is therefore important to have:

- Clear lines of communication between the evaluation committee and the evaluation team throughout the duration of the evaluation.
- The flexibility to address new questions that come up in the course of the evaluation and to return to the field to further enquire into matters.

## **XI. II. C Dissemination of Evaluation Findings**



For the Tata group, the evaluation process needs to disseminate findings, conclusions and recommendations in at least three stages. These are –

- Presentation and discussion with stakeholders – this can (but need not) be in two separate stages, an internal presentation to the evaluation committee and another one to a larger group of stakeholders and interested parties. The purpose would be to share findings, conclusions and recommendations and obtain feedback on the evaluation findings and the response or project.
- Presentation of an interim report – this would be to the evaluation committee and may or may not be shared with other stakeholders.
- Presentation of a final report –
  - The report should be less than 40 pages in length. All additional matter can be included in annexure.
  - The report should be accompanied by an executive summary (2 to 4 pages in length depending upon the complexity of the evaluation) that encapsulates why and how the evaluation was conducted and what important information it yielded.
  - The language should be correct, concise and understandable to the report's audiences. Jargon should be avoided! Detailed technical analysis can be in annexure.
  - The report should be clean and well packaged.
  - Last but not least, the report should avoid being boring.

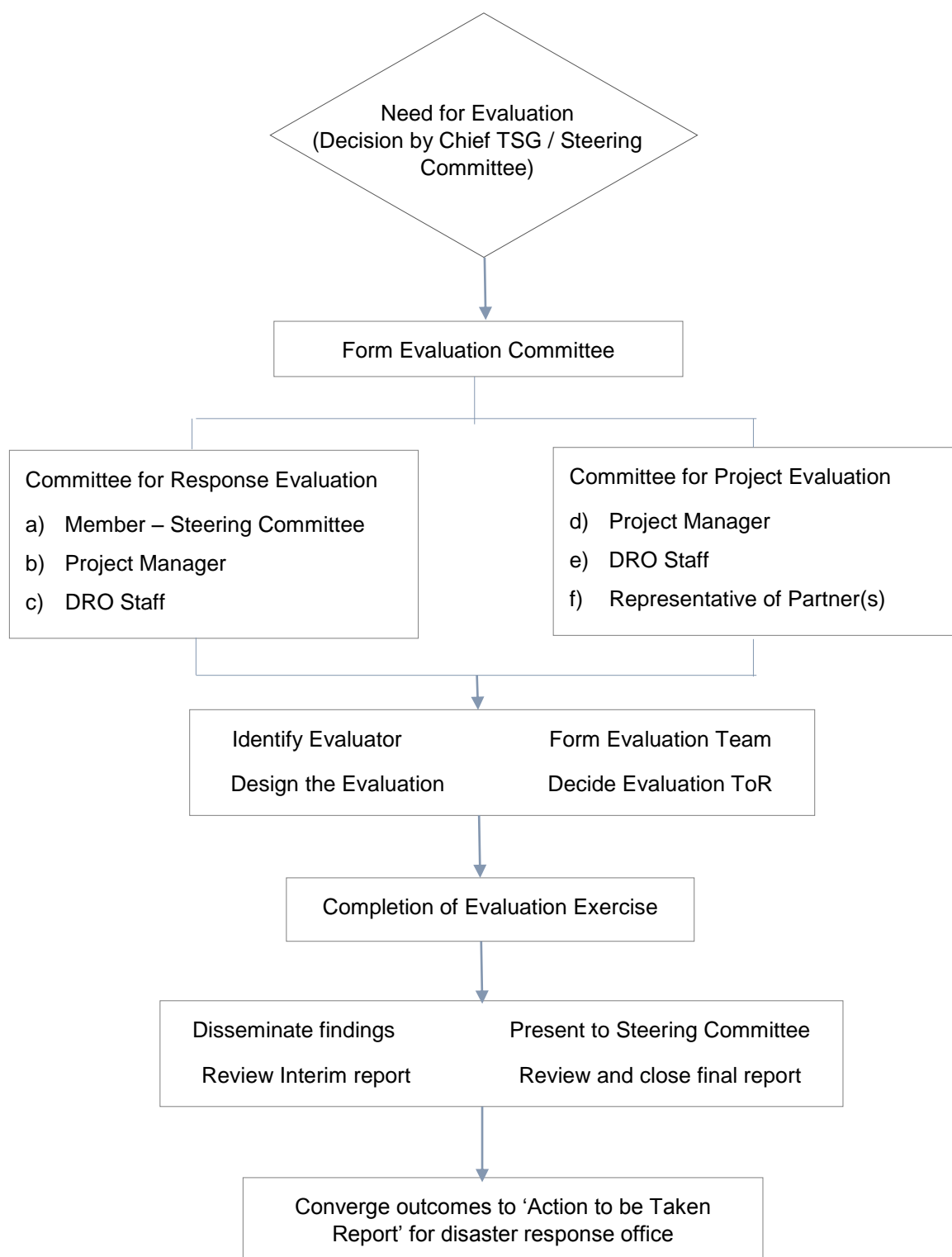
A possible table of contents for a final report is detailed in Appendix XI.2.

### **XI. III After the Evaluation**

#### **The Disaster Response Office or Implementing Organization's report on the evaluation:**

The above parties may or may not agree with all the final findings and recommendations of the evaluation. If, despite the discussions in the dissemination phase, there are important areas of disagreement, these should be included in a report that outlines the evaluated party's thoughts on the evaluation process and findings, and the action it plans to take on the recommendations.

**Diagram IX.1 - Evaluation Process Flow**



## CHAPTER XII: METHODOLOGY FOR DEVELOPING GUIDELINES

These guidelines have been prepared over the months of March, April and May 2014. A consultant was identified and contracted to prepare the guidelines. The consultant, Ajit Chaudhuri, is a student of policy and has some previous experience in the field of disaster response.

A core team from the Tata Sustainability Group consisting of Shankar Venkateswaran, Sudhakar Gudipati and Sourav Roy, with administrative back up from Lucas Saldhana, supported him. The support included outlining the task and then discussing, working and re-working the guidelines through the entire process of preparing them.

Inputs to the guidelines have come from the following sources –

1. The consultant visited the current Tata group disaster response at Uttarakhand and saw its operations both at its coordination office in Dehradun and in the field at locations in Rudrapur district. He had discussions with the Tata team at the office and in the field, with the state and district administrations, with UN personnel, and with beneficiaries and members of the disaster-affected communities.
2. The consultant visited TRC in Jamshedpur to understand the history of the Tata group's response to disasters. He met key functionaries in Tata Steel and TRC, and perused documents of the institution's disaster response activities from 1990 onwards.
3. The consultant met and spoke telephonically with key functionaries within Tata companies and the Tata Trusts, including Himmatan in Dehradun, to get a picture of their perspective on the guidelines for response.
4. An academic perspective was obtained from a meeting with TISS.
5. The consultant met and spoke telephonically with experts in the field of disaster response including Ms Sushma Iyengar and Mr. Balaji Singh.
6. Documents studied include those available with TRC and the coordination office in Dehradun, the work done by the Dehradun team on a Disaster Response Handbook, and those available on the websites of NDMA.

A presentation on the proposed guidelines was made to Dr. Mukund Rajan (Chair, TSG) and Mr. Sunil Bhaskaran (Vice Chairman, Tata Relief Committee) and their feedback has been incorporated. Feedback was also sought from the heads of CSR and Managing Directors of Tata companies, and subsequently incorporated in these guidelines.

## ***Appendices***

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## APPENDIX I.1

Components of a Tata Group Disaster Response			
PHASE	RESCUE	RELIEF	REHABILITATION
<b>Purpose of the Phase</b>	Rescue and Emergency services	Relief activities as per an outlined strategy	Rehabilitation activities as per an outlined strategy
<b>Approval Mechanism</b>	Quick approval via First Mandate provided by Chair, TSG	Approval via Second Mandate by Chair, TSG on the basis of Relief Mission Note	Approval via Third Mandate by Steering Committee on the basis of Rehabilitation Strategic Note
<b>Finances</b>	INR 2.5 million budget	Requests resources from Tata Companies and individuals within	May request additional resources via a second appeal
<b>Management and Oversight</b>	Coordination Unit in TSG Central Office to manage response	Steering Committee to oversee response  Disaster Response Office to manage response	Steering Committee and Disaster Response Office will continue, though personnel of the latter may change
<b>Timeframe</b>	Duration of up to 45 days	Duration of up to 6 months	Duration of up to 3 years
<b>Moving forward</b>	Relief Mission Note assesses possibility for future involvement	Rehabilitation Strategic Note assesses possibility of future involvement	
<b>Looking back</b>	The entire phase is documented and evaluated	The entire phase is documented and evaluated. Particular interventions are evaluated as per the requirements of the Steering Committee.	The phase is evaluated mid-term and ex-post. Larger interventions are also evaluated. Other interventions too may be, as per the requirements of the Steering Committee.
<b>INTERVENTION (Examples)</b>	Restoration of power supply by Tata Power	Relief distribution in affected areas by volunteers	Construction of houses, supported by TSG
	Restoration of communication in affected areas by Tata Teleservices	Providing software for district administration control room by TCS	Construction of a students' hostel by the Indian Army, supported by TSG
	Medical camps on the road by Tata Motors	Temporary shelters by Tata Steel and NGO supported by TSG	Rebuilding livelihoods in the affected region by TSG

### Key Activities across Disaster Response Phases

#### 13. **Phase 1** - Rescue and Emergency Services

- a. Clearing rubble
- b. Conducting rescue operations
- c. Counselling services
- d. Financial support
- e. Information and coordination support
  - i. Providing information on requirements
  - ii. Providing information on locations that need support
  - iii. Connecting with other agencies involved in relief
  - iv. Connecting with suppliers of relief material
- f. Logistical support
  - i. Enabling movement of people and material
  - ii. Enabling distribution of material to beneficiaries
- g. Medical support
  - i. Setting up field hospitals
  - ii. Setting up medical outreach teams
  - iii. Connecting patients to referral services
  - iv. Connecting patients to physiotherapy services
- h. Mobilisation of adventure team and other resources
- i. Services for children and adolescents
  - i. Facilities for orphans and those who have lost a guardian
  - ii. Making common safe spaces for children and adolescents.
- j. Supplying relief material
  - i. Purchase and preparation of relief packages

#### 14. **Phase 2** - Relief Operations

- a. Advocacy on relief policies
- b. Building temporary shelters
- c. Conducting relief operations
- d. Counselling services
- e. Damage assessment
- f. Evaluation services
- g. Financial support

- h. Information and coordination support
  - i. Identifying areas of need
  - ii. Identifying possible partners in relief efforts
- i. Logistical support
- j. Restoring communications
- k. Restoring essential services
- l. Restoring public infrastructure
- m. Services for children and adolescents
- n. Supplying relief material

**15. Phase 3 - Rehabilitation**

- a. Advocacy on rehabilitation policies
- b. Constructing individual infrastructure
- c. Constructing public infrastructure
- d. Education programmes
- e. Evaluation services
- f. Financial support
- g. Health programmes
- h. Implementing support
- i. Livelihood programmes
- j. Logistical support
- k. Monitoring support
- l. Planning support
- m. Services for children
- n. Skill development programmes

## APPENDIX III.2

Key Activities and Stakeholder Roles in Rescue Phase	
Stakeholder	Role
TSG	<ul style="list-style-type: none"> <li>- Requesting First Mandate</li> <li>- Setting up Coordination Unit in Central Office</li> <li>- Mapping death and damage</li> <li>- Identifying lead Tata company and available resources</li> <li>- Coordinating rescue and emergency services with internal and external actors</li> <li>- Travelling in affected region (coordinator and administrator)</li> <li>- Understanding requirements and logistics</li> <li>- Connecting with other actors</li> <li>- Setting up temporary base</li> <li>- Coordinating emergency services</li> <li>- Preparing Relief Mission Note</li> <li>- Requesting Second Mandate</li> </ul>
TRC	Clearing rubble Conducting rescue operations Mobilization of adventure team and other resources
Lead Tata Company	Clearing rubble Conducting rescue operations Financial support Logistical support Medical support
Other Tata Companies	Financial support
Tata Vendors and Distributors	Logistical support
Tata Trusts	Information and coordination support Logistical support
Tata Trust Grantees	Information and coordination support Logistical support Services for children
Other NGOs	Logistical support Information and coordination support Services for children
Civil Society Organizations	Logistical support
Local Government	Information and coordination support Logistical support
District Government	Information and coordination support
State Government	Information and coordination support
NDMA	Information and coordination support



Defence Agencies	Logistical support
Other International Organizations	Services for children
Faith-based Organizations	Logistical support
Other service providers	Medical support Counselling services Services for children
Corporate Organizations	Information and coordination support
Corporate Associations	Information and coordination support
Contractors	Supplying relief material
Media	Advocacy on rescue and initial relief

## APPENDIX IV.1

Key Activities and Stakeholder Roles in Relief Phase	
Stakeholder	Role
TSG	<ul style="list-style-type: none"> <li>- Setting up Steering Committee</li> <li>- Setting up Disaster Response Office</li> <li>- Placing Project Adviser, Project Manager and Administrator</li> <li>- Coordinating relief effort</li> <li>- Coordinating financial matters</li> </ul>
TRC	Building temporary shelters Conducting relief operations
Lead Tata Company	Financial support Logistical support Supplying relief material
Other Tata Companies	Financial support Restoring communications Restoring essential services Restoring public infrastructure Supplying relief material
Tata Vendors and Distributors	Logistical support
Tata Trusts	Building temporary shelters Conducting relief operations Information and coordination support Logistical support Services for children
TISS	Counselling services Damage assessment Evaluation services
Tata Trust Grantees	Building temporary shelters Conducting relief operations Information and coordination support Logistical support Services for children
Other NGOs	Building temporary shelters Conducting relief operations Information and coordination support Logistical support Services for children
Local Government	Information and coordination support Logistical support
District Government	Information and coordination support
State Government	Advocacy on relief policies

NDMA	Advocacy on relief policies
Defence Agencies	Building temporary shelters Logistical support
UN Agencies	Advocacy on relief policies
Other International Organizations	Advocacy on relief policies
Faith-based Organizations	Logistical support
Other service providers	Counselling services
Consultants	Damage Assessment / Evaluation Services
Academia	Damage Assessment / Evaluation Services
Contractors	Building temporary shelters Supplying relief material
Media	Advocacy on relief policies

## APPENDIX V.1

Key Activities and Stakeholder Roles in Rehabilitation Phase	
Stakeholder	Role
TSG	<p>On the ground</p> <ul style="list-style-type: none"> <li>- Managing the response</li> <li>- Project management</li> <li>- Grant management</li> <li>- Administration</li> <li>- Personnel management</li> <li>- Financial management</li> <li>- Maintaining relationships with local stakeholders and representing the group in the area</li> <li>- Maintaining relationships with external stakeholders</li> </ul> <p>At Central Office</p> <ul style="list-style-type: none"> <li>- Support to local office</li> <li>- Central coordination</li> <li>- Financial management</li> </ul>
TRC	<p>Constructing individual infrastructure</p> <p>Constructing public infrastructure</p>
Lead Tata Company	<p>Financial support</p> <p>Logistical support</p>
Other Tata Companies	<p>Financial support</p> <p>Technical / Expertise Support</p>
Tata Vendors and Distributors	<p>Logistical support</p>
Tata Trusts	<p>Education programs</p> <p>Health programs</p> <p>Livelihoods programs</p> <p>Services for children</p> <p>Skill development programs</p>
TISS	<p>Evaluation services</p>
Tata Trust Grantees	<p>Constructing individual infrastructure</p> <p>Constructing Public Infrastructure</p> <p>Education programs</p> <p>Health programs</p> <p>Livelihoods programs</p> <p>Services for children</p> <p>Skill development programs</p>

Other NGOs	Constructing individual infrastructure Constructing Public Infrastructure Education programs Health programs Livelihoods programs Services for children Skill development programs
Civil Society Organizations	Implementing support Monitoring support Planning support
Local Government	Implementing support Monitoring support Planning support
State Government	Advocacy on rehabilitation policies
Central Government	Advocacy on rehabilitation policies
NDMA	Advocacy on rehabilitation policies
Defence Agencies	Advocacy on rehabilitation policies Constructing public infrastructure
UN Agencies	Advocacy on rehabilitation policies Constructing public infrastructure Education programs Health programs Livelihoods programs Services for children Skill development programs
Other International Organizations	Advocacy on rehabilitation policies Constructing individual infrastructure Constructing public infrastructure Education programs Health programs Livelihoods programs Services for children Skill development programs
Other service providers	Education programs Evaluation services Health programs Livelihoods programs Services for children Skill development programs
Consultants	Education programs Health programs Livelihoods programs Services for children Skill development programs
Academia	Evaluation Services
Contractors	Constructing individual infrastructure Constructing public infrastructure
Media	Advocacy on rehabilitation policies

### Draft Terms of Reference for Evaluators

Terms of Reference (ToRs) are an explicit statement of the roles, resources and responsibilities of the evaluators and the evaluation client. They should detail out:

- Why and for whom the evaluation is being done
- What it intends to accomplish
- How will it be accomplished
- Who will be involved in the evaluation
- When milestones will be reached and when the evaluation will be completed

While the ToRs of any evaluation process will need to be tailored to its particulars, there are some generic elements that ToRs should include (as below):

1. The ToRs should provide concise **background information** about the response or project to be investigated – the nature of the problem being addresses, historical information and the organizational context in which the evaluation will occur. It should also situate the important stakeholders.
2. A section on **purpose/objectives/rationale for the evaluation** that addresses the question: Why are we doing the evaluation?
3. The ToRs should specify **the intended uses and users** of the evaluation.
4. The **issue** to be studied and the **questions** to be answered should be clearly detailed.
5. The **principles and approach** that will guide the evaluation should be expressed.
6. The methods of investigation should be articulated in a section on **methodology**. This should provide as much detail as possible on –
  - a. Data collection instruments, protocols and procedures.
  - b. Information sources and documents to be reviewed.
  - c. Sampling procedures.
  - d. Procedures for analysing qualitative and quantitative data.
  - e. Data presentation and dissemination methods.
7. The **roles and responsibilities** of all those involved in the evaluation process need to be clearly delineated to avoid administration and communication problems, i.e. specify who should do what –
  - a. Who will collect and analyse the data?
  - b. Who will present/disseminate findings?
  - c. Who will write the report?

- d. Who will participate in what meetings/workshops?
  - e. Who will make logistical arrangements?
  - f. Who will provide information and access to documents?
  - g. Who from the client will serve as a liaison with the evaluator / evaluating team?
  - h. Who will approve the final outputs?
8. The **reporting requirements** should be clarified – format, language, content, length, whether the report should include recommendations, etc.
9. An accurate and detailed **estimation of the cost** should be presented.
10. A section should be allocated to detailing the **timeline and milestones** that will be achieved.

### Suggested Table of Contents for Evaluation Reports

- I. Executive summary
- II. Introduction to the report
  - a. Purpose of the evaluation
  - b. Audiences for the evaluation report
  - c. Limitations of the evaluation
  - d. Overview of report contents
- III. Focus of the evaluation
  - a. Description of the response or project
  - b. Evaluation questions or objectives
  - c. Information needed to complete the evaluation
- IV. Brief overview of the evaluation plan and procedures
- V. Presentation of evaluation findings
- VI. Conclusions and recommendations
  - a. Criteria and standards used to judge the response or project
  - b. Judgements about the response or project
  - c. Recommendations
- VII. Minority reports or rejoinders (if any)
- VIII. Appendices
  - a. Description of evaluation design, instruments and data analysis and interpretation
  - b. Detailed tabulation and analysis of quantitative data and transcripts or summaries of qualitative data.
  - c. Other information, as necessary



## APPENDIX XI.3

### Checklist for Evaluation Exercises

	Overall Response	Specific Project
<b>When?</b>	<p>At the end of the rescue phase</p> <p>At the end of the relief phase</p> <p>During the rehabilitation phase</p> <p>At the end of the rehabilitation phase</p>	<p>Appraisals – before a project, leading up to a proposal (may not require an independent evaluator, and may fall within project proposal guidelines and approval processes rather than evaluation guidelines)</p> <p>Reviews – during a project</p> <p>Evaluations – at the end of a project</p> <p>Reviews and evaluations of projects will be undertaken only on the direction of the Steering Committee.</p>
<b>By Who?</b>	Disaster Response Office	
<b>What?</b>	<ul style="list-style-type: none"> <li>- Forming an evaluation committee</li> </ul> <p>Evaluation Committee</p> <ul style="list-style-type: none"> <li>- Identifying an independent evaluator</li> <li>- Forming evaluation questions</li> <li>- Designing the evaluation</li> <li>- Outlining ToRs for evaluation</li> <li>- Forming an evaluation team</li> <li>- Overseeing the evaluation</li> <li>- Approving necessary expenses</li> </ul> <p>Evaluator</p> <ul style="list-style-type: none"> <li>- Designing the evaluation</li> <li>- Leading the evaluation</li> <li>- Ensuring outputs within time and budget constraints</li> </ul> <p>Evaluation team</p> <ul style="list-style-type: none"> <li>- Supporting the evaluator</li> <li>- Undertaking the evaluation</li> <li>- Making administrative arrangements</li> <li>- Designing the evaluation</li> <li>- Undertaking the evaluation</li> <li>- Disseminating the findings</li> <li>- Presentation to evaluation committee</li> <li>- Presentation to stakeholders and interested parties</li> <li>- Interim report</li> <li>- Final report</li> </ul> <p>Evaluatee's report on evaluation</p>	