



**European Commission
DIRECTORATE GENERAL for HUMANITARIAN AID
AND CIVIL PROTECTION
ECHO**

Annex 1 to Humanitarian Implementation Plan South Asia ECHO/DIP/BUD/2013/91000

Operational Recommendations
for DG ECHO partners wishing to submit proposals for the

**SEVENTH DIPECHO ACTION PLAN FOR SOUTH ASIA
AFGHANISTAN, BANGLADESH, BHUTAN, INDIA, MALDIVES, NEPAL, PAKISTAN, SRI LANKA**

**DEADLINE FOR SUBMITTING PROPOSALS:
BY 1ST DECEMBER 2012 FOR ALL COUNTRIES AND REGIONAL PROJECTS**

1. OPERATIONAL CONSIDERATIONS

1.1. Programming imperatives

A series of programme planning and implementation priorities must be considered by all projects submitted under the Seventh DIPECHO Action Plan for South Asia to be considered eligible for funding.

1. DISASTER PREPAREDNESS STRATEGY: The Partner's proposal must demonstrate a clearly defined DP strategy in which the DIPECHO supported Action is a component coherent with and complementary to a broader DRR agenda, including through DRR mainstreaming in humanitarian response and development. DIPECHO supported Actions should not be the sole DRR component of the Partner's portfolio. Furthermore, DIPECHO funded Actions should seek to contribute to the implementation of the HFA 2005-2015.
2. COMPLIANCE WITH LOCAL SPECIFICITIES: DIPECHO funded DP/DRR Actions must be designed so as to ensure that the Disaster Preparedness models promoted are merging appropriately technical tools, local customs & traditions as well as local administrative settings, all in compliance with national DRR policies. The models should not only be adequate to the population's needs but also to the actors and services that will ensure their implementation in order to maximise ownership and sustainability.
3. PILOTING & REPLICATION: Until now, DIPECHO funded Actions have greatly focused on the piloting of demonstrative projects in Disaster preparedness (DP) to identify adequate models for replication through longer-term approaches. While still very relevant in some countries and emerging domains, this approach must evolve toward identifying methodologies to initiate replication processes in domains and countries where tested models have proven effective and adequate. To achieve sustainability, Partners shall focus on the "compatibility" of their models with the local environment, both in terms of population needs and local capacities to meet the latter through the integration of the DP models in the local development mechanisms. This implies an early and significant involvement of the local stakeholders and other DRR actors expected to participate in the implementation of the action. Partner must demonstrate that their methodologies will ensure that the phase-out and handover of the Action's outcomes, to the targeted communities/institutions, the appropriate authorities, or longer-term DP initiatives, will maximise their sustainability and replication while the ultimate goal should remain ensuring people's central role in national disaster risk management settings.
4. GENDER & INCLUSION STRATEGY: As per DG ECHO priorities, proposals submitted will systematically incorporate a clear operational strategy to ensure a realistic Gender focus, including through relevant and SMART indicators. Furthermore, ECHO strongly encourages and will support Partners to guaranty that all excluded and marginalised segments of the targeted population groups are given genuine opportunities to participate in all activities implemented through the Action and beyond. To the extent possible, partners should reflect such meaningful integration in their project's team. All DIPECHO Partners are expected to be proactive in liaising with resource organisations having the capacity to provide technical support and share expertise on inclusive approaches.
5. CONTEXT & NEEDS ASSESSMENT: The intervention logic of DIPECHO supported projects must be the hazards and not strictly structural problems de-linked from disaster events. The following is thus required from Partners:
 - An analysis of the prevalent hazards or combination of hazards and the subsequent risks
 - The identification of population groups exposed to the risk and an analysis of their vulnerabilities

- A identification of the needs ensuing from the risks and vulnerabilities identified and prioritised, of those which can most appropriately be addressed by DIPECHO, bearing in mind the strategic priorities highlighted above
 - An analysis & mapping of stakeholders' mandates, actual roles & relationships and relevant entry points in view of ensuring ownership and promoting the implementation of sustainable DP mechanisms
 - An analysis of the broad DRR environment, factoring in relevant initiatives, functioning DRM systems and achievements so far in community-based Disaster Preparedness
6. **TARGETING:** Actions proposed for DIPECHO support must achieve a balance between several core aspects, including the high vulnerability of the targeted population, the availability of relevant local stakeholders and institutions, the implementation of DP models for demonstration purpose and the focus on ensuring local ownership and implementation of these models.

1.2. Operational issues

1. **PROJECT MANAGEMENT:** To ensure that the Partner implements the proposed Action timely, i.e. from the start date of the action, a project manager with previous international experience as PM in DP/DRR programs is compulsory. Partners must ensure timely recruitment of the project management staff so that they are in place from the project start date.
2. **CONSORTIUM MANAGEMENT:** For consortia, the timely recruitment of a coordinator and deputy coordinator if required by the size of the consortium (in addition to projects managers) is required to ensure the coordination and synergies between partners from the start of the project. The same experience criteria apply to the consortium coordinator. Furthermore the Partner will provide an annex to the proposal explaining the diverse coordination mechanisms and reporting lines within the consortium.
3. **PREPARATION PHASE:** Partners are requested to start all preparatory activities such as preparation of strategic alliances, agreements with institutions and partners, staff recruitment, terms of reference, etc. as soon as the partner receives the communication that the proposal has been accepted in order to gain implementation time. Similarly, an active cooperation with local stakeholders in view of ensuring their readiness to contribute the implementation of the action is required. In this sense, the eligibility date can be fixed before the start date of implementation. In addition, Partners are requested to adjust the start date of the operation if delays due to discussions and negotiations with ECHO will not allow the Partner starting as initially foreseen.
4. **INTERVENTION MODALITIES:** Different options are open to Partners such as national project (1 or more organisation(s), 1 proposal, 1 agreement), multi-country projects (1 or more organisation(s), several countries targeted, 1 agreement) or regional projects (1 or more organisation(s), several countries targeted, 1 agreement). Regional projects go beyond the mere sum of national projects and should have an outreach component. They should be defined taking into consideration existing regional or global initiatives and involving local stakeholders from targeted countries (including other DIPECHO Partners) in the definition and implementation of the operations.
5. **LEGAL FRAMEWORKS & NATIONAL INSTITUTIONS:** Most of South Asian countries are developing institutional and legal DRR frameworks. All proposed DIPECHO Actions should align with and contribute to the implementation and consolidation of these frameworks at all appropriate levels (national, sub-national and local). While National DRM¹ institutions are key interfaces and in theory responsible for

¹ DRM: Disaster Risk Management

the articulation of DRM policies, sub-national and local levels implementation of these policies generally are the responsibility of other government services and both are not necessarily connected in an effective and practical manner. Partners' DP/DRR strategies should thus encompass these different layers and perspectives at all stages while promoting effective synergies between them to the extent possible.

6. LOCAL DEVELOPMENT: Disaster Preparedness should complement development programming and contribute to protecting development gains accrued. Partners are thus expected to develop DP/DRR strategies encompassing past, ongoing and foreseeable development strategies in targeted areas. The latter shall be selected when a minimum development interface already exists as DIPECHO support should not to be seen as a start-up fund.
7. COORDINATION: Partners must engage in regular and compulsory coordination among DIPECHO partners (monthly) and with other DRR actors in country in a collaborative manner and in view of developing operational and advocacy synergies while contributing to national DRR platforms. Furthermore, close coordination must be ensured between DIPECHO partners and their local implementing partners at all stages of the action as well as in terms of strategic planning. Proposals submitted should detail the diverse forums and issues the partners will contribute to, in addition to the monthly DIPECHO coordination meetings.
8. JOINT ACTIVITIES: To the extent possible, Partners shall participate in joint activities that are relevant to their project and actively seek opportunities to join efforts with other (non-) DIPECHO partners. Such activities shall not limit to advocacy and public awareness raising. Joint activities identified before proposal submission should be already included in the proposal's narrative and budget submitted. The DIPECHO coordination forum shall be used as an adequate platform to develop such synergies while other DRR forums may allow involving a broader panel of relevant stakeholders in such initiatives..
9. INSTITUTIONAL PARTNERSHIPS & RESEARCH: Integration of technical and scientific institutions as well as Universities in projects' activities is encouraged particularly when the partner does not have a specific technical expertise available in house. Research oriented activities should be clearly defined (scope, value added and methodology) at proposal stage. A detailed note should be attached as an annex while a brief description should be incorporated in activities and means & related costs.
10. TECHNICAL EXPERTISE: Actions focusing on specific sub-sectors, such as EWS², resilient livelihoods..., must demonstrate a relevant technical expertise, the availability of tested and approved technologies as well as a coherent DP strategy. Such Actions should ensure the customisation of related techniques to the local environment and to the architecture of relevant government services.
11. CAPITALISATION & EXPERTISE SHARING: All Partners must ensure the capitalisation and dissemination of successful experiences in a methodological rather than communication oriented manner. Partners must document the processes implemented from the beginning so that guidance can be extended to other DP practitioners and government services, primarily national DRM agencies. Case studies demonstrating the actual impact of current and previous DIPECHO Actions on population groups facing natural disasters are equally required. Methodologies, tools and knowhow developed through DIPECHO are to be shared without restrictions with all DRR stakeholders. Similarly, Partners will seek harmonisation and synergies of the DP models developed by them and other DRR actors in view of contributing to the development of national DP tools and standards. Ad hoc DP coordination and communication platforms are eligible to DIPECHO support to cover gaps in that matter.
12. DP TOOLS: The management, dissemination and use of existing DRR material and tools developed under previous DIPECHO Action Plans or other DRR programmes, including in other South Asian countries, is a priority. Development of new tools and documents should be limited to the cases

² EWS: Early Warning Systems

when there are no similar tools or when no experiences have been already systematised. Otherwise, capitalisation does not mean reporting on the successes and failures of a project, but should be focused on the lessons learnt or methodologies used that can provide new elements for replication.

13. REPLICATION MODALITIES & MODELS AFFORDABILITY: Given the requirement to focus on testing replication modalities for the DP models developed, the active involvement of local stakeholders (government services & civil society) in the actual design and implementation of the Action is crucial. It implies consulting relevant stakeholders in view of adapting the Action's methodology to the local needs, the institutional environment and the existing resources. At implementation stage, it will require, but not limit to, the mobilisation and capacity building of human resources and the utilisation or optimisation of financial resources allocated to local development. Partners' strategies must encompass affordable software and hardware solutions reflecting the degree of sustained budgetary commitment to be realistically expected from national, sub-national and/or local budgets.
14. CAPACITY BUILDING: Capacity building (CB) of local stakeholders is often a prerequisite for the sustainability and effective replication of the DP models, including in turn the capacity building of targeted communities. CB shall be acceptable only when required by the activities implemented in the frame of the DIPECHO Action thus excluding strictly CB focused actions.
15. MITIGATION WORKS: Small-scale mitigation works and infrastructures must remain an outcome of the DP software process at community level. Such works must be in line with realistically expectable replication through local government services or other development initiatives, and as such purely demonstrative and reasonable, unless clear and urgent humanitarian needs are identified and demonstrated.
16. EXPOSURE VISITS: Such visits are not systematically granted and must be approved by ECHO country office on a case-by-case basis. Relevant justification must be provided with regard to staff / beneficiaries, destination, purpose and expected impact, cost... The partner will report on the actual impact of the visits undertaken.
17. MASS AWARENESS ACTIVITIES: Activities related to the utilisation of local media, e.g. local radio networks..., in view of raising awareness of the general population must be validated by the ECHO RIO³ at the proposal stage prior to their implementation.
18. BASELINE & END LINE SURVEYS: Such surveys are key to demonstrate achievements, in particular with regard to capacity building and are thus strongly recommended by ECHO. Baseline survey shall not limit to communities but also target government services and the civil society.
19. WORK PLAN: Foreseeable administrative, logistic and operational constraints as well as the ones linked to change of authorities involved in the project or time needed for institutional agreements should be integrated in the proposal timeframe, being realistic and not over ambitious in the formulation.
20. CLIMATE CHANGE ADAPTATION: CCA cannot be the sole focus of a specific and ad hoc DIPECHO project. ECHO considers that the effective risk assessment methodologies promoted through DP models and the subsequent action planning should naturally encompass the impact of climate change, translating into increased frequency, intensity and unpredictability of natural hazards. However, Partners may seek linkages between DRR and climate change initiatives when relevant to the Action and targeted context.
21. DIPECHO PROGRAMMING: All DIPECHO Partners must foresee expenses related to the regional LLW⁴ (2 persons / 2 days per Partner) and NCM⁵.

³ RIO: Regional Information Officer

⁴ LLW: Lessons Learnt Workshop

⁵ NCM: National Consultative Meeting

1.3. Assessment of regional trends on DIPECHO Actions & DP/DRR sector in South Asia

▪ STRENGTHS & OPPORTUNITIES

- DRR Institutional frameworks are developing in all SA countries, which in some cases, provides greater opportunities of linkages with local development strategies;
- National & sub-national disaster management authorities tend to gain mandate and resources, thus become relevant stakeholders for targeted capacity building and replication of DIPECHO initiatives, although some countries remain particularly weak in that regard;
- DP models have been extensively field-tested and developed in most SA countries, thus providing a solid basis for advocacy and contribution to local institutional frameworks, while DIPECHO projects have become a recognized DP “label” in most SA countries, which increases room for promoting DP in national agendas and more particularly the role communities need to play;
- Some partners have ensured strong institutional memory with broad DRR mainstreaming in programming and built a DRR strategy on previous achievements;
- Sector focused approaches provide effective ways of designing and promoting tools adequate to country specificities and / or the South Asian environment.
- Local civil societies have growing DRR expertise and demand for support, thus contributing to promote the DRR agenda through mainstreaming and local advocacy; Furthermore, inclusive DP focused Actions (e.g. disability, gender...) have effectively raised awareness on specific vulnerabilities and contributed to increase audience and influence for related stakeholders;
- Local civil societies constitute relevant potential auxiliaries to disaster management authorities for replication of CDBP/DRR models through local development.

▪ WEAKNESSES & THREATS

- Unsafe environment and/or conflict rooted tensions and distrust between opposed communities limit access and generate uneven support from local stakeholders;
- Often unstable institutional stakeholders hinder constructive dialog over a broad DRR agenda while the high turn-over of institutional interlocutors hinders follow-up and capacity building;
- Provisions from DRR Institutional frameworks are generally not well implemented and served by insufficient tools, resources and capacities in most SA countries;
- A part of DIPECHO Actions remain too output oriented, focusing on direct beneficiaries only, thus providing little contribution to the broader DRR environment and creating little room for replication. The disconnect (uneven among countries) between DIPECHO projects and the institutional environment and civil society has not been sufficiently addressed over successive Action Plans;
- Limited replication of CDBP models highlights a gap in affordability and compatibility with institutional architecture due to partners’ strategies focusing on high standard models, calling a shift in partners' strategies;
- Insufficient and in some cases absence of collaboration among DIPECHO partners have hindered the harmonization of CDBP software models, thus credibility and leverage in view of their institutionalization and replication;
- Insufficient linkages between DIPECHO and other (non-) DRR initiatives and stakeholders limit potential leverage to promote systematic DRR mainstreaming;

- DP/DRR models impact and value-added in times of disasters are poorly documented by Partners, this resulting in weak advocacy and limited buy in by the authorities;
- Despite growing efforts, Gender focus and inclusion are not systematic and often too superficial;
- Limited coordination between donors have hindered potential support to replication & mainstreaming through development programming;
- Lack of stable funding for local NGOs hinders retention of expertise & disrupt implementation of DRR in partnerships with local authorities.

1.4. Priorities on geographical areas, hazards and sectors per country

National Consultative meetings were held in July and August 2012 in Delhi, Islamabad, Kabul, Dhaka and Kathmandu. The following points incorporate ECHO priorities as well as recommendations made by Partners and those from the regional Lessons Learnt Workshop (LLW). All Partners applying to DIPECHO are requested to be aware of the LLW report and respective NCM reports, so that recommendations made can be incorporated in their proposals.

Although not repeated in the sections below, remarks made above on Gender and Inclusive DP approaches do stand for each of the targeted countries.

Afghanistan

Hazards and geographic priorities:

- The priority hazards identified are floods / landslides (North and North East), drought (Widespread), earthquakes (North East) and cold waves / avalanches (North). However, a multi-hazard approach is generally considered as the most relevant and should include all types of hazards prevalent in the targeted areas, e.g. sand storms in Western Afghanistan.
- North and North Eastern provinces are the most vulnerable due to prevalence of multiple hazards.
- The geographical prevalence of priority hazards is as follows:



Operational priorities:

In view of the complex Afghan situation and the difficulty of initiating sustainable DP/DRR processes through stand alone projects, the priority will be given to Partners demonstrating the following:

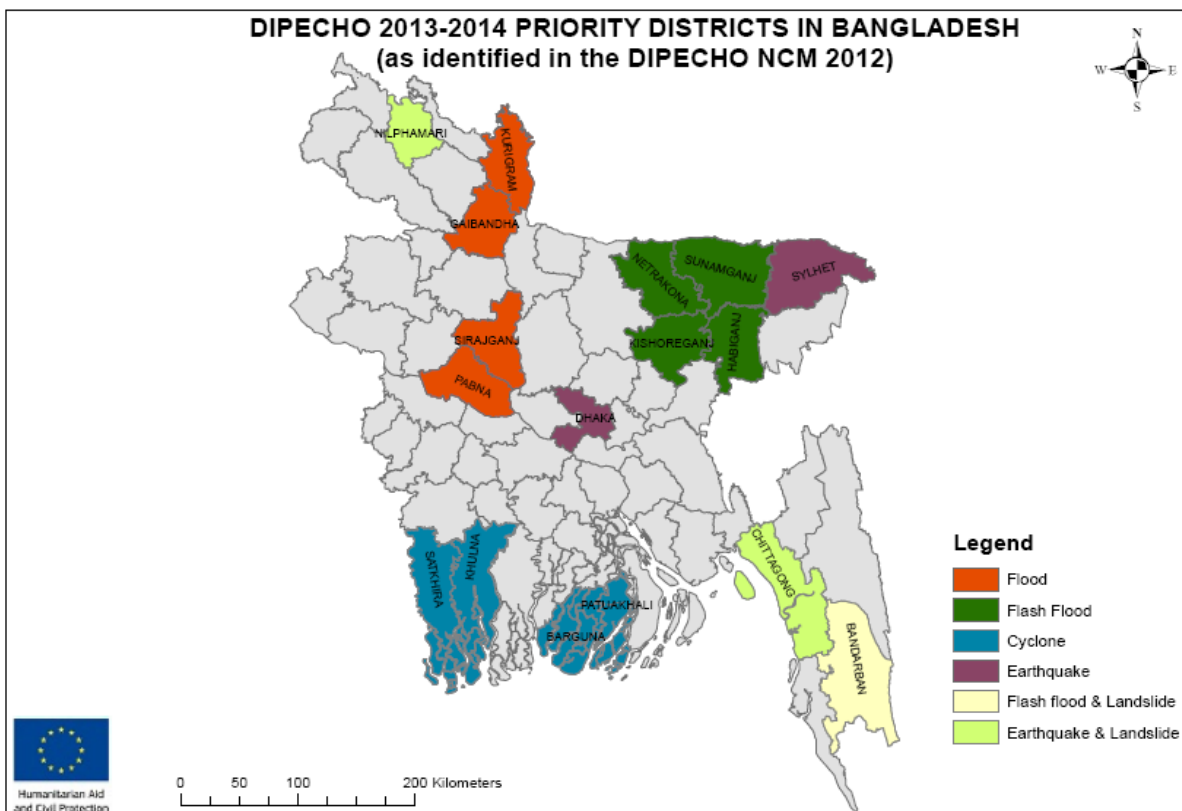
- An overall (possibly developing) DP/DRR strategy including DRR mainstreaming throughout the humanitarian & development portfolio, so that linkages with DIPECHO can be ensured and impact maximized;
- Targeted priority risk areas, as identified above, with acceptable access granted: full capacity for the Partners to implement the activities and for ECHO to monitor the project in all targeted areas;
- Availability of identified local stakeholders willing to contribute actively to the DP approach, including at design and implementation phases, and demonstrated partnership. MOUs stating the "support" of local government services will not be considered as relevant in terms of active involvement. Local stakeholders shall include government services, ARC, civil society, NSP coordination bodies...
- To be effective and affordable in the Afghan environment, the DP approaches promoted must be very simple and robust, utilizing carefully the strengths of the CDCs, which have become unavoidable actors. Furthermore, the implementation of the NSP must be used as an opportunity to reinforce and develop the DP approaches and not make DIPECHO a funding complement to the NSP.
- While utilizing the DP experience developed in other South Asian countries is required, Partners must develop DP approaches that are adapted to the Afghan context (security, capacities of local stakeholders, dysfunctional government services...). The models developed must be based on a well-known local environment and practices related to natural hazards.
- High-tech based approaches and activities are not encouraged as they hinder perspectives of sustainability and replication. Locally available low-tech and knowhow must be promoted in priority so that to allow the replication at low cost of practices promoted.
- Projects should identify ways to effectively involve government services, particularly at sub-national level, and other stakeholders from the civil society that may constitute effective and sustainable relays once capacitated.
- Projects should not limit to pilot models but also test mechanisms to initiate their replication. Such provisions should be developed from the initial stage of and implemented during the DP Action.
- The Education system is a relatively functional administrative architecture allowing a large community outreach with significant potential of volunteers, thus Partners are encouraged to utilize this opportunity of effective engagement with government institutions. However, Actions focusing on the sole direct implementation at school level with no involvement of Education staff in the implementation and without developing mechanisms to ensure the replication with the Education department will not be considered relevant.
- Linkages and interaction within Partners' projects portfolio should be systematic in view of supporting DIPECHO efforts through DRR mainstreaming in short to long-term programs. Similarly, linkages with other DP/DRR actors and initiatives are required in view of harmonizing DP models to the extent possible and increasing leverage through joint advocacy.
- DIPECHO partners selected and ERM consortium partners are requested to establish early linkages in view of identifying potential synergies and ensure sound DRR mainstreaming in humanitarian response.
- Given the tendency among Afghan communities and government services to expect hardware outputs, Partners should demonstrate a clear strategy to promote software DP approaches with minimal hardware deliverables. Furthermore, mitigation works implemented shall remain within the scope of what is technically and financially affordable locally.

- DIPECHO Partners are requested to develop approaches where they promote direct linkages between communities / schools and relevant government services instead of ensuring this link by themselves.

Bangladesh

Hazards and geographic priorities:

- Floods – Sirajgonj, Gaibandha, Kurigram, Pabna
- Cyclone- Borguna, Satkhira, Patuakhali, Khulna
- Earthquake- Dhaka, Sylhet, Chittagong (+ Mymensing as second priority)
- Landslides – Bandarban, Chittagong
- Flash floods- Bandarban, Netrakona, Kishoregonj, Habigonj, Sunamgonj



Operational priorities:

Bangladesh benefits large-scale DP/DRR initiatives as well as a well-developed DRR institutional framework and an environment that is generally relatively conducive to DP/DRR Actions. Furthermore many DP approaches have been piloted extensively and a number of national standards have been established, e.g. URA & CRA, on the basis of DIPECHO pilot models. All these factors are paving the way for a greater focus on the consolidation and institutionalization of demonstrated good practices.

Partners should focus on the following priorities:

- Consolidation of DP models developed and tested by Partners in view of their harmonisation and increased affordability. Partners should seek an official validation of consolidated models by relevant

government services and initiatives in sectors with major achievements, with the perspective of promoting new standards that are adapted to the local environment and resources.

- Considering the priority given to developing replication modalities, the implementation of CBDP models in rural and urban settings by Partners should be considered for demonstrative purpose only while the major focus should be on supporting local stakeholders in implementing these models. ECHO shall not consider as a relevant strategy for Bangladesh focusing on piloting new CBDP models or refining previous ones.
- School-based DP Actions are considered highly relevant by ECHO. However, approaches deemed relevant are those based on a clear and formal understanding with education authorities in view of identifying ways to integrate DP models within the school architecture. Any direct implementation of DP models at school level not related to the approach mentioned above shall not be considered under this Action Plan. Furthermore, to ensure coherence and efficiency, Partners applying for school-based DP approaches are requested to coordinate from the project design stage.
- Linkages with CDMP and other possible large-scale initiatives are a priority to support the implementation of the CBDP action plans developed under previous and future DP Actions and promote the roll-out of CBDP models by local stakeholders.
- DIPECHO Actions proposed must encompass all possible linkages with response and recovery actions in the targeted areas and in the frame of clear Partners' overall DRR strategies.

Bhutan

No National Consultative Meeting was held in Bhutan given the reduced DIPECHO portfolio and humanitarian community in country. However, the following recommendations shall be considered by ECHO partners intending to apply for DIPECHO funds.

Operational priorities:

- Community and school focused Disaster Preparedness projects should be developed as much as possible with a multi-hazard approach (earthquakes, storms, landslides, fires, floods and GLOF);
- FPA/FAFA Partners must demonstrate a clear technical, operational and field monitoring capacity although projects would be mostly implemented by local Implementing Partners;
- Coordination with other DRR stakeholders, including with the relevant national authorities, should be considered as a priority from project design stage and until completion of the Actions.

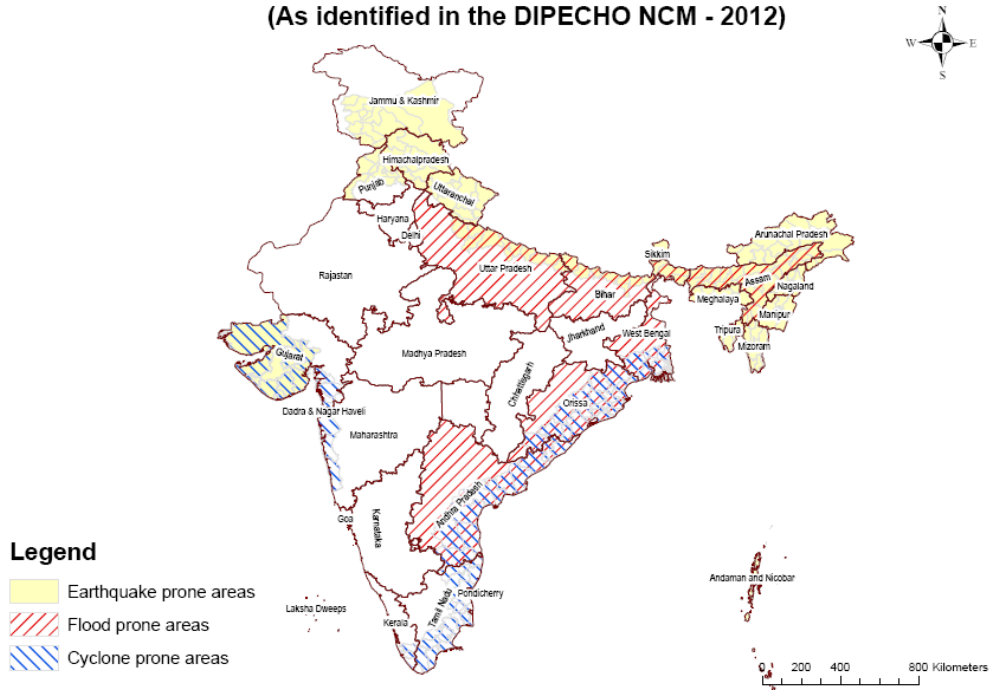
India

Hazards and geographic priorities:

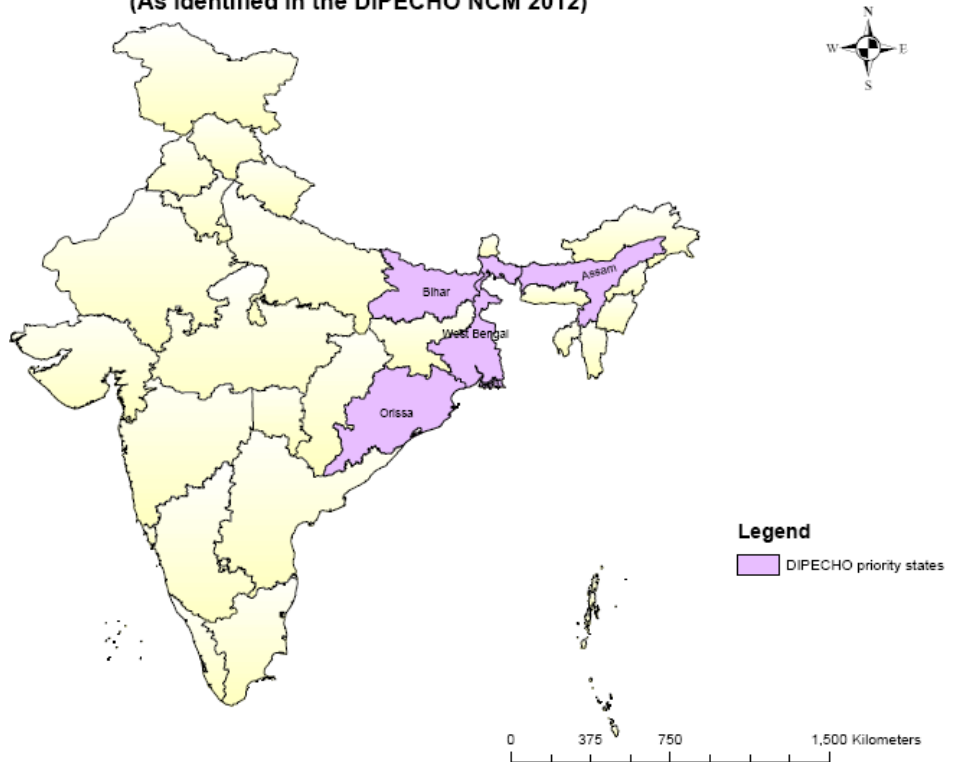
- Priority target states identified during the NCM are: Orissa, West Bengal, Bihar and Assam.
- Relevant approaches proposed for other States of India, where small scale response actions have been funded by DG ECHO in the recent past, shall be considered as second priority.

- The priority hazards to be considered are: floods & flash floods, cyclones and earthquakes. However, priority will be given to Actions proposing a multi-hazards approach.

**NATURAL HAZARD PRONE AREAS IN INDIA
(As identified in the DIPECHO NCM - 2012)**



**DIPECHO 2013-2014 PRIORITY STATES IN INDIA
(As identified in the DIPECHO NCM 2012)**



Operational priorities:

- Given India's institutional infrastructure characterised by autonomous states, Partners shall avoid "generic" approaches over several states and focus instead on state specific approaches, thus

ensuring the compatibility of the models promoted with the local set-up, constraints and diverse stakeholders.

- The four states priorities have all been covered by DIPECHO Actions over the 5th and/or 6th Action Plans, in addition to other DP/DRR programs. Applying Partners shall encompass the achievements from previous Actions, including those implemented by other Partners, that are relevant to their respective approaches in their needs assessment and operational strategy.
- Partners' must ensure the "compatibility" of their approaches with the administrative / budgetary mechanisms and cycles in view of influencing decision making on development budgets allocations and allow the roll-out of CBDP models by local stakeholders while supporting the implementation of the national disaster management policy in view of increasing interest and demand for CBDP. Rather than stakeholders' engagement, Partners are expected to promote the stakeholders' involvement.
- School-based DP is considered as an effective entry point to ensure participation and ownership of local stakeholders. School-based actions must be designed in the framework of a clear understanding with the local education departments so that to ensure their active participation to the overall process. While child-led approaches can constitute relevant and complementary side activities to a school-based DP model, they shall not be the core aspect of the same model. Furthermore, effective linkages with communities must be ensured, particularly when targeted through community-based DP approaches.
- Partners should consider only a limited number of sub-sectors and side activities so that to ensure the optimisation of communities' involvement in the activities conducted, rather than "diluting" their availability through a large panel of distinct activities. Similarly, partners' staff should focus on core activities in view of ensuring and supporting a greater involvement of local stakeholders.
- Applying Partners are expected to coordinate at an early stage, i.e. strategic planning, so that to ensure that potential synergies and factored in, including at methodological level, and divergent / counter-productive approaches are avoided. Ideally, Partners shall develop key methodological standards that would maximise advocacy efforts.
- DIPECHO Actions proposed must encompass all possible linkages with response and recovery actions in the targeted areas and in the frame of clear Partners' overall DRR strategies.

Nepal

Hazards and geographic priorities:

- The priority hazards identified are floods, landslides and earthquakes. However, a multi-hazard approach is generally considered as the most relevant.
- Secondary hazards identified by the NCM are fire, drought and (hail) storm.
- The geographical prevalence of priority hazards is as follows:



Operational priorities:

Partners should focus efforts on consolidating achievements in the diverse sectors and in a collaborative manner, while taking into consideration national priorities and initiatives, such as the NRRC⁶. This implies the followings:

- Developing or refining modalities to initiate the replication of the inclusive CDBP models by local stakeholders (national & local levels, civil society...), including the revision of these models in view of greater homogeneity and affordability, while increasing synergies with inclusive and school-based DP approaches;
- Increasing the focus on community-based DP in urban setting and in relation with diverse earthquake preparedness related initiatives. Linkages with related previous and future initiatives, as well as municipalities, schools, hospitals and the NRCS must be sought to the extent possible.
- Effective utilization of the education department administrative structure to ensure a greater coverage of schools in a sustainable manner and in conjunction with the CDBP approaches in rural and urban settings. Linkages with the EU delegation education and NRRC school safety programming should be a priority;
- Strengthening previous achievements while supporting the establishment of proper linkages between the DRM institutions and communities, in conjunction with the NRRC to the extent possible, should be a priority of capacity building components;
- Contributing to the NRRC by engaging Flagships through technical coordination should be envisaged as an effective way of promoting the replication of diverse models proven effective in CDBP, EWS...
- DIPECHO Actions proposed must encompass all possible linkages with response and recovery actions in the targeted areas and in the frame of clear Partners' overall DRR strategies.

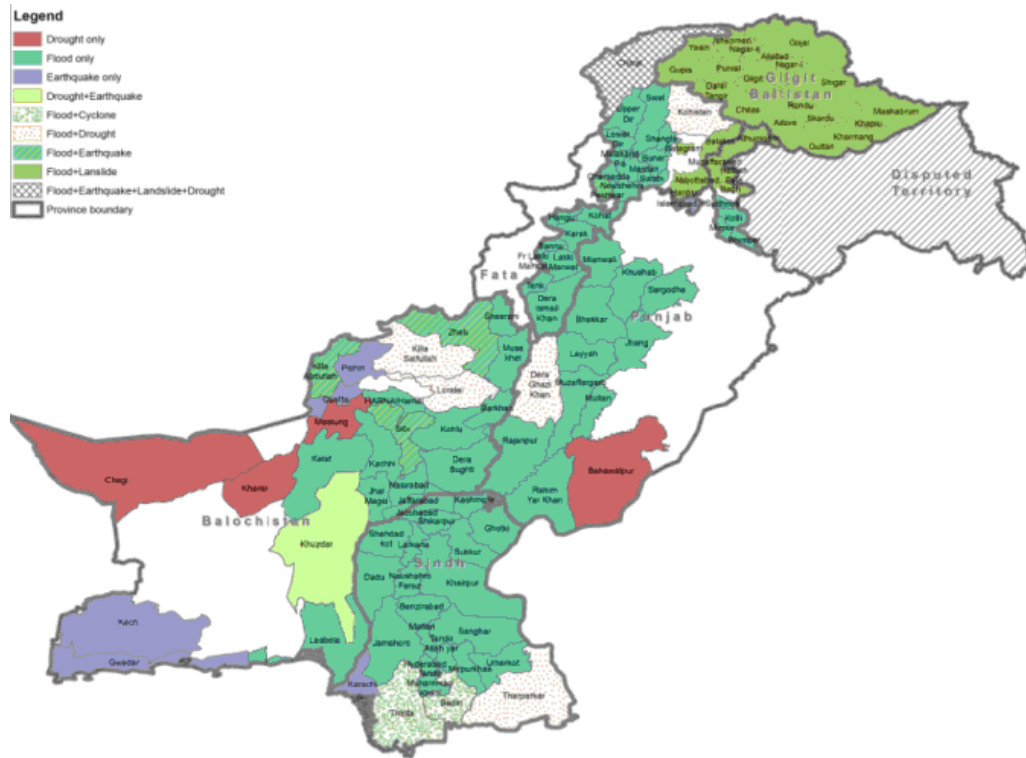
Pakistan

Hazards and geographic priorities:

- The priority hazards identified are floods, flash floods, hill torrents, landslides, earthquakes and cyclones. However, a multi-hazard approach is generally considered as the most relevant.
- Based on known hazards prevalence, the following areas have been identified as priorities: Sindh, Khyberpakhtunkhwa (KP), Azaad Jammu Kashmir (AJK) and Northern Areas (Gilgit Baltistan). These geographical priorities are taking into consideration operational independence and access by humanitarian Partners, in addition to allowing for ECHO monitoring.

⁶ NRRC: Nepal Risk Reduction Consortium

- Multi-hazard mapping in Pakistan (source: IMMAP / USAID) – For information, not identifying DIPECHO priorities:



Operational priorities:

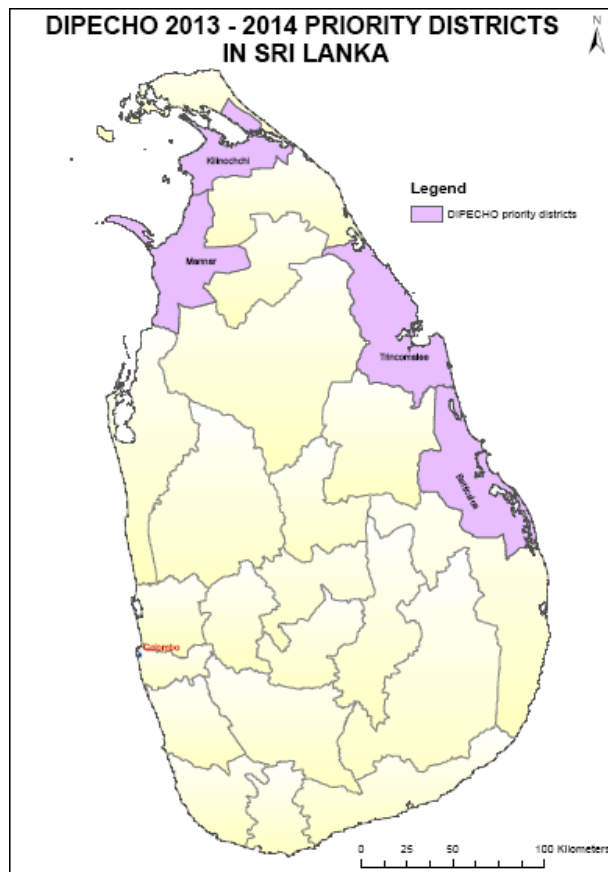
- Broad and medium to long-term DP/DRR strategies are required from Partners, including both dedicated DP programming and DRR mainstreaming. In that framework, DIPECHO Actions must initiate processes and, whenever possible, build on existing processes, that would then be relayed through other stakeholders and funding mechanisms beyond the action.
- DIPECHO partners should proactively develop synergies with response & recovery, as well as development actions, in-house and with other humanitarian & development actors. In that regard, an active contribution to the available DRR forums is required. Furthermore, as highlighted by the NCM, DP models must be carefully and consensually identified in a given context so that to maximise buy-in and ownership by local stakeholders.
- Strengthening local disaster management capacities through their active involvement in the design and implementation of Partners' DP models is a priority to ensure ownership and maximise potential for rollout and replication of the models. Top-down approaches should thus focus on local promotion of bottom-up DP mechanisms, rather than any of those in isolation from the other.
- Linkages and complementarities to existing local disaster management strengthening initiatives (e.g ONE UN DRM, etc) are strongly encouraged.
- Partners' approaches should encompass the promotion of the local implementation of national DRM strategies, rather than building parallel and disconnected thus non-sustainable DP mechanisms, particularly with regard to EWS. DP models must be compatible, affordable and adapted to the field and institutional realities.

- Institutional linkages between government services involved in DP/DRR and the civil society must be a priority to optimise utilisation and convergence of existing resources and expertise while connecting better communities and government services' respective interest.
- In view of overcoming the difficulties of access in the medium to long-term, the PRCS and local NGOs should be given a greater role in DIPECHO actions in the perspective of providing an essential support to other local stakeholders in the longer-term roll out DP/DRR strategies at local level. Where access is expected to be an issue, the role of the local implementing partners needs to be described and justified in line with the context analysis of the target area/province. Furthermore, DIPECHO Partners must highlight provisions made in view of monitoring, mentoring and building capacities modalities.
- To the extent possible, DIPECHO project managers are expected to be primarily based in the targeted provinces. Foreseeable access restrictions leading to limited direct project management must be clearly highlighted and factored in the geographical targeting.
- School-based DP approaches developed with and implemented through the local education departments should remain a sector of focus. Furthermore, when and where feasible, strong synergies with CBDP approaches should be ensured in view of reinforcing achievements through both approaches and strengthening linkages between communities and government services.
- The cumulated impact of natural disasters erodes coping capacity and community resiliency. It may also limit the availability and willingness of targeted populations and local stakeholders to get involved in DP approaches. Actions should contribute towards building community preparedness and resiliency by building linkages to livelihood protection and set the foundation for linking relief rehabilitation and development (LRRD).
- Actions should demonstrate enhanced coordination and linkages with national, sub national UN and I/NGO coordination platforms where evidence based advocacy can be fostered and national DRM frameworks can be strengthened.

Sri Lanka

Hazards and geographic priorities:

- The priority hazards identified are floods, droughts, landslides, cyclones, tsunamis and coastal erosion. However, a multi-hazard approach is generally considered as the most relevant.
- Based on known hazards prevalence and need for consolidation of achievements, the following Districts have been identified as priorities: Mannar, Kilinochchi and Batticaloa.
- Partners shall expand geographic coverage toward central hilly districts in view of ensuring a more comprehensive multi-hazard approach with a focus on landslides.
- Trincomalee district may be considered as a target provided that there is a well demonstrated demand from the local stakeholders.



Operational priorities:

- Given the socio-political context, when relevant and on the basis of clearly identified needs, DIPECHO Actions should avoid focusing specifically on any group and a fair balance in targeting should be a priority.
- Community-Based DP approaches have been implemented in Sri Lanka by I-NGOs and SLRC with some success over recent years and some level of buy-in by local stakeholders could be recorded. Yet, the validity and value-added of the CBDP models need to be further demonstrated through a greater involvement of local stakeholders at all stages of design and implementation.
- An already initiated process of harmonisation of CBDP models through previous Actions must be sustained through intensive coordination, linking with and involving national and UN-led initiatives. DIPECHO Actions should utilise the opportunity of influencing the developing DRM institutional framework through evidence based demonstration of the value added of bottom-up approaches.
- An involvement in school-based DP should be explored in terms of feasibility in the same targeted areas, while ensuring from the very initial stage a significant and constructive involvement of the education department in the targeted district(s).
- Partners should ensure a great focus on DRR mainstreaming in their respective programming portfolio with the perspective of supporting the sustainability of CBDP software components through the implementation of DP action plans.

Regional level

Operational priorities:

- All South Asian countries included in this Humanitarian Implementation Plan are eligible to regional Actions, if deemed relevant for overall coherence. Applying Partners must be involved in the implementation of relevant DP/DRR programs in each of the targeted countries or, at least a demonstrated formal partnership with another DIPECHO Partner.
- The core focus of regional approaches is not expected to be the field implementation of DP models throughout the region but rather drawing, harmonising and consolidating expertise from the field. In that perspective only, regional Actions may include limited and well targeted field implementation components in view of validating tools and methodologies, ideally through other DIPECHO Actions.
- Regional Actions must have a well structured learning, dissemination and advocacy wing, in line with the ECHO priorities set for the region and each of the targeted countries. Linkages with UNISDR campaigns are encouraged.
- All regional Actions must have a relevant and significant focus on Gender and broad inclusion as those are set by ECHO as priorities.
- Regional Actions should plan clear and agreed upon coordination plans so that to ensure effective drawing of expertise from the field and, in turn, effective restitution of tools and learning top the field. Great synergies must be ensured from proposal stage between the regional Action and country level Actions implemented by the same partners.
- Studies at regional level on hazards, disaster risk indicators ... may be considered, provided that they are specifically intended to be the basis for the development of related DP tools and methodologies.

2. MAIN SELECTION CRITERIA

2.1. Relevance & methodology

- Relevance of the proposal to the objectives and priorities of DG ECHO strategy;
- Relevance of the approach to the needs and constraints identified in the target populations and country/countries;
- Demonstrated knowledge of the institutional environment, local stakeholders and other factors related to DRR in country (or targeted area / region) factored in the Action design;
- Demonstrated knowledge of DRR achievements and on-going programs in-country / in the region factored in the Action design; clear identification of potential linkages & clear strategy to develop synergies;
- Medium & long-term DP/DRR strategy in targeted areas providing a coherent framework for DIPECHO action and further promotion for DP model's replication;
- Demonstrated early engagement with and involvement of the local authorities responsible for risk management and other stakeholders;
- Strong linkages with other DRR programs, local disaster management authorities, regional and global institutions (SAARC, ISDR, IFRC...) as relevant;
- Strong linkages with emergency and recovery Actions in-country and promotion of in-house DRR mainstreaming;
- Gender compliant approach (including in relevant indicators in log-frame and description of related activities) and Focus on inclusion of excluded and particularly vulnerable groups required (through either internal or external expertise);
- Linkages with sector focused actions or national programs (e.g. early warning system) required when relevant and expertise available (either internally or externally);
- When relevant, the security and/or access context are factored in and realistic contingency plan are provided.
- How clearly defined and strategically chosen are those involved (target groups, intermediaries, final beneficiaries, local stakeholders)?
- Have the needs of the target groups proposed and the final beneficiaries been clearly defined and does the proposal address them appropriately in the overall context of intervention, including the DRR institutional framework?
- How coherent is the overall design of the operation (logical framework)? Does the proposal contain objectively verifiable indicators for the outcome of the operation?
- Are the activities proposed appropriate, practical, and consistent with the local constraints, the objectives and expected results? Is the Action Plan clear and feasible?
- Is the presence of a project manager with international experience as DP project manager ensured? Are the technical human resources allocated to the operation adequate?
- Are the expected results of the proposed operation sustainable: Financially, Institutionally, at policy level and locally?
- Is the operation likely to have a tangible impact on its target groups. Is the proposal likely to have multiplier effects?

2.2. Budget and cost-effectiveness

- Is the overall estimated cost relevant to the expected results?
- Is the proposed expenditure necessary for the implementation of the operation?
- Are material resources and services needed properly described and justified?
- Are Means and Costs related to results and activities sufficiently explained?

3. FINANCIAL QUESTIONS

- There is no specific pre-allocation per country. Priority will go primarily and before any other factor to quality proposals in line with ECHO recommendations made in this document.
- DG ECHO's contribution will, in principle, not exceed 85% of the total eligible costs of the action.
- The proposal, both in the narrative and financial documents, should reflect the full amount proposed (i.e. the possible co-financing and the contribution requested to DG ECHO, without separate earmarking).
- ECHO does not advise carrying out internal audits in the framework of DIPECHO projects.

4. CALENDAR OF THE ACTION PLAN

- October 2012: publication of HIP and Operational Recommendations
- 1st December 2012: Deadline for submitting proposals
- 1 January 2013 Starting date of the Global DIPECHO Funding Decision
- December/February 2013: Selection of proposals
- 1st January 2013: Start date for eligibility of expenses
- 1st March 2013: Indicative start date for projects
- 31 December 2014: End date of the Worldwide Funding Decision

Note: The regional lessons learnt workshop report as well as the national consultative meetings reports are available upon request at the field focal persons listed hereafter in section 5. These reports reflect a certain level of consensus among ECHO partners on a number of key issues, for which ECHO participated to the debates. However, these reports do not constitute an ECHO formal positioning.

5. SUBMITTING A PROPOSAL TO DG ECHO.

To allow a swift processing of project proposals, the following recommendations should be considered:

- Proposals should be submitted using the **e-single form** by 1st December 2012. The proposed starting date of the projects is **1st March 2013**, depending on the finalization of negotiations with Partners.
- To facilitate the workflow, Partners may also consider sending a pdf version of the e-single form to the relevant desk officer, technical assistant in the field and at the RSO⁷.
- All partners are requested to read and make use of the **DG ECHO Single Form guidelines**, available at: http://ec.europa.eu/echo/files/partners/humanitarian_aid/fpa/2010/upd_nov/single_form_guidelines_en.pdf
- In the context of DG ECHO's mandate, the actions supported will have a short-term nature (up to 18 months implementation period). For this reason DG ECHO partners should design their actions in order to ensure that the proposed objective can be achieved and measured by "SMART" indicators in this timeframe.
- The **log-frame and the intervention logic** (section 4.3.2 of the Single Form) are of utmost importance in the appraisal of project proposals.
- Linked to their presentation, DG ECHO partners are strongly encouraged to define already clearly at proposal stage which contingency measures/activities are foreseen in case of materialisation of a pre-identified risk. DG ECHO partners should define at proposal stage the circumstances under which contingency measures would be triggered and what would be the operational implications.

The costs of the project submitted to DG ECHO are presented in the Single Form in:

- The description of the results
- The section 4.2.3.4 of the Single Form (table "Other costs")
- The section 11 of the Single Form (Financial Overview)

It is important to recall that:

- **The information provided by partners under the section 4.3. of the single form must not be a list of activities disconnected from each-other. Partners must provide a clear and synthetic overview of their approach, describing well how the different results will contribute to reach the objectives set.**
- Sufficient information has to be provided in the description of the results (description of activities and related means) so that the costs allocated to the result can be understood. All costs related to a particular result have to be included (ie. logistics, monitoring, supervision, etc..)
- The table "**Other Costs**" under section 4.3.3 of the Single Form should only include costs that cannot be allocated to or dispatched between the results (e.g. visibility, office costs in the capital, evaluation, contribution to LLW and NCM...)
- The financial overview will comprise annex II to the grant agreement. However, its design regarding the selection of headings to the different lines of the table is left to the choice of the partners as long as:
 - The same table is used throughout the project (proposal and reporting stages).
 - DG ECHO can identify clearly the expenditures planned in a way coherent with their description, particularly with regard to personnel, support and visibility costs.

⁷ RSO: Regional Support Office – New Delhi

- DG ECHO partners are strongly encouraged to include the required technical expertise in each of the sectors concerned and DG ECHO will pay particular attention to this aspect regarding the feasibility of the proposed operation.
- Proposals should include provisions for actions aiming at documenting, disseminating and replicating lessons learned and good practices; as well as integrating them in strategies beyond the project perspective, at country and regional levels.

Contacts per country:

Country	ECHO HQ Contacts	ECHO Field Contacts
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6. COMMUNICATION AND VISIBILITY

1. The DG ECHO legal framework document⁸ obliges Partners to communicate their humanitarian partnership with the European Commission to the general public (at field level and in the European Union), unless such activities harm its mandate or the safety of its staff. The decision to avoid visibility for security reason is to be discussed on a *case-by-case* basis with DG ECHO and requires approval from its Headquarters.

2. DG ECHO emphasis on effective communication activities comes from its commitment to be accountable to EU citizens, and the need to demonstrate European solidarity with people affected by crises.

3. Visibility means the mandatory display of the visual identity of the European Commission Humanitarian Aid and Civil Protection department, wherever the partner's own logo is being displayed, in the field or elsewhere; this includes on its website and equipment, (in cases where equipment or vehicles and major supplies have been purchased using funds provided by the Commission), publications about the project

⁸ Partnership with DG ECHO: Legal Framework, Annex III of the FPA – General Conditions applicable to European Union grant agreements with Humanitarian Organisations for humanitarian aid actions, Article 4. Communication, visibility and information (2010), 54.

financed by the Commission. Partners should also acknowledge the Commission's support in media interviews and press releases. For detailed information, please refer to the visibility, information and communication guidelines available on DG ECHO website⁹. However, partners should exercise caution and ensure that **visibility actions do not undermine the community's ownership of the project**. As much as possible, the community's role in the implementation of the project should be acknowledged in the visual displays.

4. Partners can develop their institutional communication and visibility plan under Section 9 of the Single Form. The visibility, communication and information budget is limited to 0.5% of the direct eligible costs with a maximum of € 8000. Exceptions may be allowed when partners, with extensive communication experience, propose an impact oriented communication activity needing a larger budget.

5. As a general rule, communication and visibility activities must be coordinated with other organisations to achieve maximum impact, and should be discussed during the proposal and implementation stage with ECHO's Regional Information Officer (RIO).

6. Visibility and communication products must be developed with defined audiences and a dissemination plan. Please refer to the visibility, information and communication document on the ECHO website for guidelines on various public communication tools. Production of field visibility items, as much as possible, should be limited to tee-shirts, caps, posters, stickers and other visual displays.

7. Reporting on visibility, information and communication activities has changed. Partners should now include with the final reports, supporting documents such as photos of stickers on vehicles or supplies and of signboards, photos of 'branded' visibility items (tee-shirts, caps etc.), copies of press releases and press cuttings, etc.

⁹ http://ec.europa.eu/echo/files/partners/humanitarian_aid/toolkit_for_partners_sept_09_en.pdf