

TECHNICAL ANNEX

South East Asia and the Pacific HIP 2015

FINANCIAL, ADMINISTRATIVE AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2015/01000 and the General Conditions of the Agreement with the European Commission shall take precedence over the provisions in this document.

The activities proposed hereafter are subject to any terms and conditions which may be included in the related Humanitarian Implementation Plan (HIP).

1. CONTACTS

Operational Unit in charge: ECHO/B5 (Asia, Latin America, Caribbean, Pacific).

Contact persons at HQ:

Thailand and DIPECHO Pacific:	Maria J. Ralha (maria.ralha@ec.europa.eu)
Myanmar/Burma and DIPECHO SEA:	Anne-Francoise Moffroid (anne-francoise.moffroid@ec.europa.eu)
Philippines:	Anne-Marie Renner (anne-marie.renner@ec.europa.eu)

In the field:

Thailand:	Pedro-Luis Rojo (pedro-luis.rojo@echofield.eu)
Myanmar:	Nicolas Louis (nicolas.louis@echofield.eu)
DIPECHO Pacific/South East Asia:	Edward Turvill (edward.turvill@echofield.eu)
Philippines:	Arlynn Aquino (arlynn.aquino@echofield.eu)

2. FINANCIAL INFO

Indicative Allocation: EUR 26 152 483,83

Man-made crises: (Myanmar/Burma,Thailand/Philippines)	HA-FA: EUR 20 500 000
Natural disasters:	HA-FA: EUR 2 000 000
DIPECHO (Pacific/South East Asia)	Dis. Prep.: EUR 3 652 483.83
Total:	HA-FA-DP: EUR 26 152 483.83

3. PROPOSAL ASSESSMENT

3.1. Administrative info

Assessment round 1

- a) Indicative amount: up to EUR 18 000 000 (subject to the availability of payment appropriations, the amount awarded may be lower than the overall indicative amount or be spread over time. More information will be available upon adoption of the general budget of the European Union for the year 2015).
- b) Description of the humanitarian aid interventions relating to this assessment round: All interventions as described in section 3.4 of the HIP
- c) Costs will be eligible from 01/01/ 2015¹. Actions will start from 01/01/2015
- d) The expected initial duration for the Action is up to 18 months for actions with a DRR/resilience component and 12 months for other actions
- e) Potential partners: All ECHO Partners
- f) Information to be provided: Single Form²
- g) Indicative date for receipt of the above requested information: by 01/12/2014³

Assessment round 2

- a) Indicative amount: up to EUR 1 000 000
- b) Description of the humanitarian aid interventions relating to this assessment round: All interventions as described in section 0. of the HIP (flood in Myanmar/Burma)
- c) Costs will be eligible from 01/08/ 2015⁴. Actions will start from 01/08/2015
- d) The expected initial duration for the Action is 12 months
- e) Potential partners: All ECHO Partners
- f) Information to be provided: Single Form or simplified Single Form for urgent actions⁵
- g) Indicative date for receipt of the above requested information: by 22/08/2015⁶

¹ The eligibility date of the Action is not linked to the date of receipt of the Single Form. It is either the eligibility date set in the Single form or the eligibility date of the HIP, whatever occurs latest.

² Single Forms will be submitted to ECHO using APPEL

³ The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms.

⁴ The eligibility date of the Action is not linked to the date of receipt of the Single Form. It is either the eligibility date set in the Single form or the eligibility date of the HIP, whatever occurs latest.

⁵ Single Forms will be submitted to ECHO using APPEL

ECHO/-XA/BUD/2015/91000

Assessment round 3

- a) Indicative amount: up to EUR 2 700 000
- b) Description of the humanitarian aid interventions relating to this assessment round: All interventions as described in section 0. of the HIP (response to floods, conflict and inter-communal violence in Myanmar/Burma)
- c) Costs will be eligible from 01/08/ 2015⁷. Actions will start from 01/08/2015
- d) The expected initial duration for the Action is maximum 12 months
- e) Potential partners: All ECHO Partners
- f) Information to be provided: Single Form or simplified Single Form for urgent actions⁸. Top-ups of current actions can be envisaged.
- g) Indicative date for receipt of the above requested information: by 02/11/2015⁹

Assessment round 4**Myanmar/Burma:**

- a) Indicative amount: up to EUR 2 300 000
- b) Description of the humanitarian aid interventions relating to this assessment round: All interventions as described in section 0. of the HIP (response to floods, conflict and inter-communal violence in Myanmar/Burmas)
- c) Costs will be eligible from 01/01/2015¹⁰. New Actions will start from 01/08/2015
- d) The expected initial duration for the Action is maximum 12 months
- e) Potential partners: All ECHO Partners
- f) Information to be provided: Single Form or simplified Single Form for urgent actions¹¹. Top-ups of current actions can be envisaged.
- g) Indicative date for receipt of the above requested information: by 05/12/2015¹²

⁶ The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms

⁷ The eligibility date of the Action is not linked to the date of receipt of the Single Form. It is either the eligibility date set in the Single form or the eligibility date of the HIP, whatever occurs latest.

⁸ Single Forms will be submitted to ECHO using APPEL

⁹ The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms

¹⁰ The eligibility date of the Action is not linked to the date of receipt of the Single Form. It is either the eligibility date set in the Single form or the eligibility date of the HIP, whatever occurs latest.

¹¹ Single Forms will be submitted to ECHO using APPEL

¹² The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms

Philippines:

- a) Indicative amount: up to EUR 1 500 000
- b) Description of the humanitarian aid interventions relating to this assessment round: All interventions as described in section 0. of the HIP (response to conflict in the Philippines)
- c) Costs will be eligible from 01/12/2015¹³. New Actions will start from 01/12/2015
- d) The expected initial duration for the Action is maximum 12 months
- e) Potential partners: ECHO partners with established presence in Mindanao
- f) Information to be provided: Single Form or simplified Single Form for urgent actions¹⁴.
- g) Indicative date for receipt of the above requested information: by 05/12/2015¹⁵

Assessment round 5**Papua New Guinea (PNG)**

- a) Indicative amount: up to EUR 652 483,83
- b) Description of the humanitarian aid interventions relating to this assessment round: All interventions as described in section 0. of the HIP (improve the resilience of people affected by drought in PNG)
- c) Costs will be eligible from 01/12/2015. New Actions may start from 01/12/2015
- d) The expected initial duration for the Action is maximum 12 months
- e) Potential partners: ECHO partners with established presence in Papua New Guinea
- f) Information to be provided: Single Form.
- g) Indicative date for receipt of the above requested information: by 05/01/2016

3.2. Operational requirements:**3.2.1. Assessment criteria:**

The assessment of proposals will look at:

- The compliance with the proposed strategy (HIP) and the operational requirements described in this section;

¹³ The eligibility date of the Action is not linked to the date of receipt of the Single Form. It is either the eligibility date set in the Single form or the eligibility date of the HIP, whatever occurs latest.

¹⁴ Single Forms will be submitted to ECHO using APPEL

¹⁵ The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms

- Commonly used principles such as: quality of the needs assessment and of the logical framework, relevance of the intervention and coverage, feasibility, applicant's implementation capacity and knowledge of the country/region.
- In case of actions already being implemented on the ground, where ECHO is requested to fund a continuation, a visit of the ongoing action may be conducted to determine the feasibility and quality of the Action proposed.
- In Rakhine State, interventions should integrate measures to promote inter-community dialogue as appropriate.

3.2.2. *Operational guidelines:*

3.2.2.1. General Guidelines

In *the design* of your operation, ECHO policies and guidelines need to be taken into account:

The EU resilience communication and Action Plan

<http://ec.europa.eu/echo/en/what/humanitarian-aid/resilience>

Food Assistance

<http://ec.europa.eu/echo/en/what/humanitarian-aid/food-assistance>

Nutrition

http://ec.europa.eu/echo/files/news/201303_SWDUndernutritioninemergencies.pdf

Cash and vouchers

<http://ec.europa.eu/echo/en/what/humanitarian-aid/cash-and-vouchers>

Protection

<http://ec.europa.eu/echo/en/what/humanitarian-aid/protection>

Children in Conflict

http://ec.europa.eu/echo/files/policies/sectoral/children_2008_Emergency_Crisis_Situations_en.pdf

Emergency medical assistance

<http://ec.europa.eu/echo/en/what/humanitarian-aid/health>

Civil–military coordination

<http://ec.europa.eu/echo/en/what/humanitarian-aid/civil-military-relations>

Water sanitation and hygiene

http://ec.europa.eu/echo/files/policies/sectoral/WASH_SWD.pdf

ECHO/-XA/BUD/2015/91000

Gender

http://ec.europa.eu/echo/files/policies/sectoral/Gender_SWD_2013.pdf

Disaster Risk Reduction

http://ec.europa.eu/echo/files/policies/prevention_preparedness/DRR_thematic_policy_doc.pdf

Health guidelines

<http://ec.europa.eu/echo/en/what/humanitarian-aid/health>

ECHO Visibility website – visibility and communication manual

<http://www.echo-visibility.eu/>

http://www.echo-visibility.eu/wp-content/uploads/2014/02/2014_visibility_manual_en.pdf

A set of overall principles needs to guide every operation supported by ECHO.

The humanitarian principles of humanity, neutrality, impartiality and independence, in line with the European Consensus on Humanitarian Aid, and strict adherence to a "**do no harm**" approach remain paramount.

The safe and secure provision of aid: the ability to safely deliver assistance to all areas must be preserved. ECHO requests its partners to include in the project proposal details on how safety and security of staff (including the staff of implementing partners) and assets is being considered as well as an analysis of threats and plans to mitigate and limit exposure to risks. ECHO or its partners can request the suspension of ongoing actions as a result of serious threats to the safety of staff.

Accountability: partners remain accountable for their operations, in particular:

- The identification of the beneficiaries and of their needs using, for example, baseline surveys, KAP-surveys, Lot Quality Assurance Sampling (LQAS) or beneficiary profiling;
- Management and monitoring of operations, and having adequate systems in place to facilitate this;
- Reporting on activities and outcomes, and the associated capacities to collect and analyse information;
- Identification and analysis of logistic and access constraints and risks, and the steps taken to address them.

Remote management: ECHO does not fund actions using remote management, other than in exceptional circumstances, where access to a crisis zone is limited due to security concerns or bureaucratic obstacles. This mode of operations should therefore only be proposed as a last resort, and in the context of life-saving activities.

Gender-Age Mainstreaming: Ensuring gender-age mainstreaming is of paramount importance to ECHO, since it is an issue of quality programming. Gender and age matter in humanitarian aid because women, girls, boys, men and elderly women and men are affected by crises in different ways. Thus, the assistance needs to be adapted to their specific needs - otherwise it risks being off-target, failing its objectives or even doing

ECHO/-XA/BUD/2015/91000

harm to beneficiaries. It is also a matter of compliance with the EU humanitarian mandate and the humanitarian principles, in line with international conventions and commitments. All project proposals/reports must demonstrate integration of gender and age in a coherent manner throughout the Single Form, including in the needs assessment and risk analysis, the logical framework, description of activities and the gender-age marker section. The Gender-Age Marker is a tool that uses four criteria to assess how strongly ECHO funded humanitarian actions integrates gender and age consideration. For more information about the marker and how it is applied please consult the Gender-Age Marker Toolkit

http://ec.europa.eu/echo/files/policies/sectoral/gender_age_marker_toolkit.pdf

Protection: Mainstreaming of basic protection principles in traditional assistance programmes is of paramount importance to ECHO. This approach is closely linked to the principle of 'do no harm', and also extends the commitment of safe and equal access to assistance as well as the need for special measures to ensure access for particularly vulnerable groups. All proposals MUST demonstrate integration of these principles, but also in its substantive sections, i.e. the logical framework, result and activity descriptions, etc.

Integration of protection concerns should, in particular, be reflected in any actions implemented in a displacement- hosting context (be it refugees or IDPs), in situations of conflict or in contexts where social exclusion is a known factor, where considerations on inter-communal relationships are of utmost importance for the protection of the affected population.

While humanitarian assistance often focuses on community-level interventions, it is important to remember that, in order to fully address many protection issues, it is also necessary to consider the relevance and feasibility of advocacy (structural level) interventions aimed at (a) stopping the violations by perpetrators and/or (b) convincing the duty-bearers to fulfil their responsibilities.

Do no harm: Partners should ensure that the context analysis takes into account threats in addition to vulnerabilities and capacities of affected populations. The analysis should bring out both external threats to the target population as well as the coping strategies adopted to counteract the vulnerabilities. The risk equation model provides a useful tool to conduct this analysis. The model stipulates that *Risks equals Threats multiplied by Vulnerabilities divided by Capacities*, and the way to reduce risks is by reducing the threats and vulnerabilities and increasing the capacities. Depending on the type of threat faced by the population in question, reducing it can be anything from possible/straightforward to impossible/dangerous. In the latter case, one will resort to focusing on vulnerabilities and capacities, but the fact that the analysis has acknowledged the threat will contribute to ensuring that the response subsequently selected does not exacerbate the population's exposure to the risk.

Disaster Risk Reduction (DRR): As part of the commitment of ECHO to mainstream disaster risk reduction in its humanitarian operations, the needs assessment presented in the Single Form should reflect, whenever relevant, the exposure to natural hazards and the related vulnerability of the targeted population and their livelihoods and assets. This analysis should also assess the likely impact of the humanitarian intervention on both

immediate and future risks as well as the partner's institutional commitment to and operational capability in managing risk (technical competence in the relevant sectors of intervention. The DRR approach and related measures are relevant in all humanitarian sectors (WASH, nutrition, food assistance and livelihoods, health, protection, etc.), and should be systematically considered in hazard-prone contexts. Risk-informed programming across sectors should protect operations and beneficiaries from hazard occurrence, and include contingency arrangements for additional or expanded activities that might be required. Information from early warning systems should be incorporated into programme decision making and design, even where the humanitarian operation is not the result of a specific hazard.

For targeted DRR interventions, the information in the Single Form should clearly show that:

- all risks have been clearly identified, including their possible interactions;
- the intervention strengthens and promotes the role of the state and non-state actors in disaster reduction and climate change adaptation from national to local levels;
- the measures planned are effective in strengthening the capacity of communities and local authorities to plan and implement local level disaster risk reduction activities in a sustainable way, and have the potential to be replicated in other similar contexts;
- the intervention contributes to improving the mechanisms to coordinate disaster risk reduction programmes and stakeholders at national to local levels.
- demonstrate that the action is designed including the existing good practice in this field;
- the partner has an appropriate monitoring, evaluation and learning mechanism to ensure evidence of the impact of the action and good practice are gathered, and effectively disseminated.

Strengthening coordination: Partners should provide specific information on their active engagement in cluster/sector and inter-cluster/sector coordination: participation in coordination mechanisms at different levels, not only in terms of meetings but also in terms of joint field assessments and engagement in technical groups and joint planning activities. The partners should actively engage with the relevant local authorities and, when feasible and appropriate, stipulate co-ordination in Memoranda of Understanding. When appropriate, partners should endeavour to exchange views on issues of common interest with actors present in the field (e.g. EU, UN, AU missions, etc.). In certain circumstances, coordination and deconfliction with military actors might be necessary. This should be done in a way that does not endanger humanitarian actors or the humanitarian space, and without prejudice to the mandate and responsibilities of the actor concerned.

Integrated approaches: Whenever possible, integrated approaches with multi- or cross-sectoral programming of responses in specific geographical areas are encouraged to maximize impact, synergies and cost-effectiveness. Partners are requested to provide information on how their actions are integrated with other actors present in the same area.

ECHO/-XA/BUD/2015/91000

Resilience: ECHO's objective is to respond to the acute humanitarian needs of the most vulnerable and exposed people while increasing their **resilience** in line with EU resilience policy. Where feasible, cost effective, and without compromising humanitarian principles, ECHO support will contribute to longer term strategies to build the capacities of the most vulnerable and address underlying reasons for their vulnerability – to all shocks and stresses.

All ECHO partners are expected to identify opportunities to reduce future risks to vulnerable people and to strengthen livelihoods and capacities. ECHO encourages its partners to develop their contextual risk and vulnerability analysis and to adapt their approach to the type of needs and opportunities identified. This requires partners to strengthen their engagement with government services, development actors and with different sectors. In that regard, ECHO partners should indicate how they will increase ownership and capacity of local actors whenever possible: community mobilisation, CSOs, technical dialogue, coordination and gradual transfer of responsibilities to countries' administration or relevant line ministries.

Good coordination and strategic complementarity between humanitarian and development activities (LRRD approach) are essential to the resilience approach, particularly in relation to i) increasing interest of development partners and governments on nutrition issues; ii) seeking for more sustainable solutions for refugees (access to education, innovative approach toward strengthening self-resilience, etc.); iii) integrating disaster risk reduction into humanitarian interventions.

Community-based approach: In all sectors, interventions should adopt, wherever possible, a community-based approach in terms of defining viable options to effectively help increasing resilience and meeting basic needs among the most vulnerable. This includes the identification of critical needs as prioritised by the communities, and the transfer of appropriate knowledge and resources.

Response Analysis to Support Modality Selection for all Resource Transfers is mandatory. ECHO will support the most effective and efficient modality of providing assistance, whether it be cash, vouchers or in-kind assistance. ECHO does not advocate for the preferential use of either (i) cash/voucher-based or (ii) in-kind humanitarian assistance. Partners should provide sufficient information on the reasons about why a transfer modality is proposed and another one is excluded. The choice of the transfer modality must demonstrate that the response analysis took into account the market situation in the affected area. Multiple contextual factors must be taken into account, including technical feasibility criteria, security of beneficiaries, agency staff and communities, beneficiary preference, needs and risks of specific vulnerable groups (such as Pregnant and Lactating Women, elderly, child headed households etc.), mainstreaming of protection (safety and equality in access), gender (different needs and vulnerabilities of women, men, boys and girls) concerns and cost-effectiveness. Therefore for any type of transfer modality proposed, the partner should provide the minimum information as recommended in the [Thematic Policy Document n° 3 - Cash and Vouchers: Increasing efficiency and effectiveness across all sectors](#) and demonstrate that the modality proposed will be the most efficient and effective to reach the objective of the action proposed.

ECHO/-XA/BUD/2015/91000

For in-kind transfer local purchase are encouraged when possible.

3.2.2.2. Specific guidelines

DIPECHO priorities

A series of planning and implementation priorities must be considered by all projects submitted under the current HIP for Southeast Asia and the Pacific, which incorporates the DIPECHO programme for the Pacific 2015-2016. For the first time, as further explained in these guidelines, the programme also considers linkage with regional thematic interventions for countries in South East Asia.

- Key elements

Partners are to demonstrate a **clearly defined DRR strategy**, providing a description of its **contribution to the implementation of the Hyogo Framework for Action (2005-2015) and successor framework**. This same action is to include details of the **expected phase-out and handover**, either to the target community/institution, the appropriate authorities, or an appropriate longer-term funding instrument, such that **sustainability and replication** of actions undertaken is maximised. **Donor visibility** is a requirement as well as the dissemination of **good practice, innovation and evidence** gathered through the project. As a general rule, ECHO's contribution will not exceed 85% of the total eligible costs of the action.

- Other operational considerations

As an intervention modality, the partner may consider different options such as national, multi-country or regional projects. Projects may be implemented either by a single agency or as an alliance or consortium. 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. Regional projects may target only the Pacific or the Pacific and South East Asia, whereas projects targeting only South East Asia would not be eligible. Coordination mechanisms should take place at relevant levels and for appropriate sectors or topics, with responsible or mandated authorities. In case these are not in place, DIPECHO Partners should *ad minima* organise their own coordination and experience sharing framework while promoting the establishment of wider mechanisms with other stakeholders. Proposals are to include provisions for supporting and participating in any relevant DRR programming and consultation process at regional/national/sub-national levels, including those carried out by ECHO and other EU services.

- Thematic priorities for regional initiatives in the Pacific and South East Asia regions

ECHO is committed to supporting regional initiatives that foster DRR collaboration, information management, training, communication and awareness raising as well as compilation and dissemination of lessons learned, and harmonisation of approaches.

Partners are also invited to propose, in the framework of a project, a single-agency or joint exercise to consolidate and communicate on the achievements of the DIPECHO programme in the Pacific and South East Asia.

Countries eligible per region:

- Pacific: Fiji, Papua New Guinea, Samoa, Solomon Islands and Vanuatu.
- South East Asia: Cambodia, Lao PDR, Vietnam, Thailand, Myanmar/Burma, Philippines, Indonesia, Democratic People Republic of Korea and Mongolia (North/East Asia).

Eligible actions should address one or more of the following thematic areas:

a) **International DRR Campaigns**: Safe Schools and Hospitals and the Making Cities Resilient Campaign.

b) **Cross-cutting issues and other major challenges** for the effective implementation of DRR at different levels. This may include but is not limited to the following: gender in DRR, budgeting and financing DRR (i.e. dedicated budget and funding mechanisms); flood and drought risk management (including El Niño), and safe shelter.

c) Targeted interventions promoting **further integration of DRR with the post 2015** commitments in regional DRR/DRM priorities, as supporting the roll-out of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) work programme Phase 2 and the Pacific Regional Framework for Action for Disaster Risk Reduction. Bridging the gap between DRR and Climate Change Adaptation policy and practice is considered a priority.

- *Priorities on geographical and thematic areas for the DIPECHO Pacific programme: **Vanuatu***

In Vanuatu a DIPECHO phase-out strategy is currently in progress and will be completed within the timeframe of the current HIP. The set priorities are the result of the success of previous DIPECHO cycles, funding mechanisms and commitments for disaster risk reduction from other donors, and are complementary to priorities identified by the Vanuatu National Advisory Board on Climate Change and Disaster Risk Reduction. Only the following priorities will be considered for funding:

a) **Further support the institutionalisation of DRR through the Vanuatu Humanitarian Team (VHT) and possible replication to neighbouring countries.** The VHT plays an important role in support of the National Disaster Management Office's (NDMO) efforts to institutionalise disaster risk reduction. As a new government is established and policy reform is initiated, support will be needed to ensure DRR is adequately reflected in the new legislation and regulations. The VHT model is inspiring other countries in the region to set-up similar coordination and technical support mechanism.

b) **Targeted capacity development of the NDMO at Provincial level** (incl. Provincial Disaster Management Offices and Provincial Disaster Committees) as part of the on-going efforts to strengthen the disaster management institutional framework and response capacity. This is particularly relevant considering the remoteness of the islands, and the role of the Province in providing essential services. To complement funding secured for staffing and physical infrastructures (through UNDP and the World Bank), capacity development is required for the newly established Provincial Disaster Management Offices to carry out their duties (incl. training, cluster coordination, etc.) and actively engage and promote DRR efforts undertaken by the Community Disaster Committees with the Area Council Secretaries.

c) **Consolidate interventions initiated through previous DIPECHO cycles:** a) Completion, NDMO endorsement and roll-out of the standardised DRR models piloted in previous phases; b) Finalise the community-based disaster risk management process on Erromango (Tafea Province) initiated in November 2013; c) Public awareness campaign using video and drama, based on the IEC messages endorsed by the NDMO.