



**European Commission**

**Instructions and Guidelines**  
**For DG ECHO potential partners wishing to submit proposals under**  
**FIFTH DIPECHO ACTION PLAN FOR SOUTH ASIA**  
**In Afghanistan, Bhutan, Bangladesh, India, Nepal, Pakistan and Sri Lanka**

**Budget Line**  
**23.02.03**

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## 1. BACKGROUND

The activities of the European Commission Humanitarian Aid department (DG ECHO) in the field of Disaster Preparedness are *“to ensure preparedness for risks of natural disasters or comparable circumstances and use a suitable rapid early-warning and intervention system”*<sup>1</sup>. The DIPECHO programme was set up in this context by DG ECHO to improve the capacities of communities at risk to better prepare and protect themselves against natural hazards.

These guidelines set out the rules for the submission, selection and implementation of project proposals financed under the fifth DIPECHO Action Plan for South Asia, in conformity with the provisions of DG ECHO’s Framework Partnership Agreement (FPAs for NGOs and International organisations, FAFA) and the Financial Regulation applicable to the general budget of the European Community.

On 5 December 2008, the European Commission adopted the **Humanitarian Aid Decision ECHO/DIP/BUD/2009/02000 “Fifth DIPECHO Action Plan for South Asia”**. The total amount of the Decision is **EUR 10,000,000**. It covers the period **15 June 2009 – 14 December 2010**.

Applicants should thoroughly consult the reference documents and materials, in particular the text of the Humanitarian Aid Decision **ECHO/DIP/BUD/2009/02000**, which is the legal basis for this call. The present guidelines complement these documents by providing additional practical information related to the submission of proposals.

The present guidelines reflect the outcomes of consultations with various stakeholders undertaken in the South Asian region during 2008 that involved around 220 participants. They integrate the recommendations of a comprehensive external evaluation of the DIPECHO programme in South Asia between 2002 and 2008 ([http://ec.europa.eu/echo/policies/evaluation/thematic\\_en.htm](http://ec.europa.eu/echo/policies/evaluation/thematic_en.htm)), as well as incorporating key lessons learned during the implementation of the last two action plans (2005-2008) through 46 different DIPECHO projects and its continued internal review.

A regional workshop on best practices and lessons learned will be organised with current DIPECHO partners in Kathmandu during 17-18 February 2009. Should new ideas for regional programming emerge from this meeting, they would be published as an addendum on DG ECHO website at the same address.

## 2. OBJECTIVES AND PRIORITY ISSUES FOR THE FIFTH DIPECHO ACTION PLAN FOR SOUTH ASIA

### 2.1. Principal Objective:

The overriding objective of this DIPECHO Action Plan is ***“to reduce the vulnerability of South Asian populations living in areas most affected by natural disasters”*** - increasing the awareness and the response capacities of local communities to potential and frequent natural disasters and to reduce the effects of these disasters on the most vulnerable.

The program aims therefore to do this primarily by:

- ☐ Targeting the most vulnerable communities and categories of population using bottom-up participatory methods and relevant local materials/resources that can be easily replicated ; specific attention will be

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<sup>1</sup> EC Regulation N°1257/96 of 20 June 1996, OL L163 of 02.07.1996



given to projects taking into account gender, children and the disabled in line with DG ECHO's strategy on the most vulnerable populations.

- ☐ Fostering appropriate and sustainable preparedness activities that are co-ordinated with local and national public institutions and that can be easily replicated in other parts of the region and beyond. Small-scale mitigation and prevention activities can complement the project if they have a demonstrative purpose within financial reach for replicability of local communities in particular and have a proven impact;
- ☐ Focusing on the areas most exposed to frequent natural hazards and with less coping capacities. Special attention could be given to the remoteness and difficulty of access of the proposed areas of intervention.
- ☐ Reinforcing local response capacities by building stocks of emergency and relief items

## 2.2. Specific objective / prioritised fields of interventions

Please note that for the purpose of this expression of interest, DG ECHO understands coping capacity as the level of resources and the manner in which people or organisations use these resources and abilities to face the adverse consequences of a disaster. Local level refers to community and district levels. Sub-national level refers to provincial, departmental or state levels (according to the political-administrative division of the country). National level refers to country level. Regional level refers to the South Asia region.

Projects submitted should target the following **specific operational objective, address the points raised in 2.3 include one or more activities listed below in section 2.4, and target one of the geographical areas included in section 2.5.**

### Specific objective:

*“To support strategies that enable local communities and institutions to better prepare for, mitigate and respond adequately to natural disasters by enhancing their capacities to cope and respond, thereby increasing resilience and reducing vulnerability”* primarily by:

- a) Reinforcing the coping capacity at local level integrating and coordinating activities at community-based, local, sub-national, national and regional levels and contributing to the identification of best practices, standardization of preparedness programs and the establishment of early warning protocols through the implementation of pilot activities of a demonstrative nature.
- b) Contributing to the compilation and dissemination of best practices on Disaster preparedness and to the exchange of experiences at national and regional levels.

Please note that except for projects presented by a mandated international organisation in the framework of the prioritised field of intervention (b), a project under prioritised field of intervention (a) will only be considered regional if, at least, there is a cross border linkage i.e. a direct geographic proximity.

DG ECHO will also take into account, when evaluating the proposals of the overall consistency and synergy between selected proposals and other ongoing interventions in the field of Disaster Risk Reduction in the countries/region.

For projects with a similar evaluation, priority will be given to projects under objective (a)



In line with DG ECHO 2008 strategy in terms of Disaster Preparedness, all interventions will have to be designed in view of contributing to the **Hyogo Framework for Action 2005-2015**.

## 2. 3. Strategic Programming Imperatives (sine qua non)

All proposals shall fit within the strategy elaborated in the Financing Decision **ECHO/DIP/BUD/2009/02000**, in particular in sections 1 (“Rationale, Needs and Target Population”) and 2 (“Objectives and Components”). Any action not corresponding to the criteria set out in the Decision, in particular in its objectives (2.1) will not be considered eligible.

- ▶ Applicants are encouraged to consult the materials provided during and after the National Consultative Meetings (NCMs). These provide further details on priorities and orientations for DIPECHO in South Asia for the period 2009-2010 as well as on joint and individual activities to be addressed in all proposals.
- ▶ In addition, a series of programme planning and implementation priorities **must be considered by all projects** submitted under the Fifth DIPECHO Action Plan for South Asia to be considered eligible for funding.
  - I. The ***starting point for the intervention logic of any DIPECHO supported project must be the hazard itself***, and not a problem that is essentially structural in nature, de-linked from a disaster event. This entails a ***thorough analysis of the natural disaster context*** (at the appropriate scale) that generates the following:
    - ▶ a typology of hazards in evidence,
    - ▶ the determination of the range of negative consequences of these hazards (some of which can be termed disasters),
    - ▶ an analysis of these negative consequences and a prioritisation of those considered most important by the population(s) at risk,
    - ▶ a breakdown of the needs ensuing from these hazards and the identification (prioritisation) of those which can most appropriately be addressed by DIPECHO.
  - II. For a disaster preparedness (**DP**) intervention (particularly at community level) to have relevance from the perspective of the end-user, it should address the most pressing concerns of the community, even individual households. Without an appropriate analysis through Hazard Vulnerability Capacity Assessment (HVCA) / rapid Participatory Rural Appraisal (PRA) for example, this can easily be overlooked by external actors when formulating an appropriate strategy of intervention.
  - III. ***Complementarities with other cooperation instruments of the European Commission, member states of the European Union or any relevant initiatives in the field of Disaster Risk Reduction.*** All submitted projects must be developed with ***cognisance of*** (and ideally contribute to the strategic objective of) ***all ongoing and planned instruments of donors cooperation*** in the third country, including DG ECHO, where relevant.
  - IV. ***Strategic planning and programming should be undertaken in a fully inclusive manner*** so as to ensure harmony and promote synergy with other Disaster Risk Reduction strategies in



targeted areas of action (sponsored by other funding sources and executed by other implementing agencies).

- V. ***Collaborative strategic formulation and planning between prospective DIPECHO partners*** in a country of action that promotes mutual complementarities, is strongly encouraged.
- VI. Within a CBDRR strategy (Community-Based Disaster Risk Reduction), small-scale mitigation works and infrastructure are to remain ***secondary and complementary*** (both in terms of strategic priority and resource allocation) to the more substantive ***proactive, pre-emptive components of DP programming***.
- VII. Resources available under a DIPECHO Action Plan ***should not be considered as alternative funding*** for actions that are covered by other medium to long term funding instruments of the European Commission or other multi-lateral or bi-lateral funding sources.
- VIII. Proposals that seek merely to address structural issues, for example, of food insecurity or inadequate delivery of basic services, ***will not be considered eligible***. Actions of this type will need to show how they fit into a DRR strategy that is both complementary and sustainable. Only those small-scale mitigation activities that have been defined according to local contingency plans priorities will be considered eligible.
- IX. The implementation of successful disaster preparedness initiatives is dependent upon the sustained investment of all stakeholders at multiple levels before, during and upon completion of the project cycle, the omission of which, be it of the direct involvement of target beneficiaries in the community or the participation of the local authorities or others, ***will result in project failure***.
- X. This entails inclusive and participatory involvement of communities and relevant authorities as is feasible throughout the entire project cycle, from problem / hazard / risk identification, to project conception and design through implementation to evaluation and long-term hazard monitoring and management. Without an appropriate emphasis on community members' participation, ***the system will fail***, as many have before - effectively born of the attitudes, evaluations and strategic parameters of external actors. Likewise, the involvement of relevant authorities is essential to ensure its sustainability and replicability.
- XI. The strategic dialogue that results in the conception and design of DIPECHO funded DP projects will have to ***successfully merge technical knowledge with indigenous knowledge*** in a socio-culturally appropriate manner, thereby assuring an acceptable, effective system that capitalises on existing knowledge and capacities and consequently maximises the longevity of ownership and sustainability.
- XII. At the core of DIPECHO's conception was the philosophy of chaperoning ***demonstrative projects in DP (pilot initiatives) so as to identify successful models for replication*** elsewhere by other funding instruments of the European Commission, other donors or national governments. The pilot aspect implies that the proposed geographic coverage of an action should be modest. Applicants should take into account the timeframe available under the DIPECHO programme. Bearing in mind this is the 5<sup>th</sup> Action plan for South Asia, already tested and demonstrated pilot projects should aim at being integrated into wider



frameworks (local planning, development programmes, dissemination tools etc.). This approach should remain at the core of any DIPECHO intervention.

- XIII. While the DIPECHO programme concentrates on community-based actions, for the already demonstrated pilot projects, **scaling-up measures** should be considered through relevant local actors. In this context, the design of multi-phased programmes and strategies should clearly foresee a scaling-up component through the DIPECHO projects themselves or through other longer-term instruments
- XIV. Although disaster preparedness as a national policy is commonly in its infancy, many countries have developed **National Disaster Risk Management Legislation, Policies and Plans** to which preparedness and mitigation (and prevention) strategies contribute. The knowledge of, and contribution to these, are considered imperative in the preparation of a project strategy to be submitted to DIPECHO.
- XV. The action and maintenance of a DP/DRR mechanism and its interrelated components, is often a bottleneck for sustainability. It is therefore imperative that strategies **encompass low cost solutions and technical assistance designs** that accurately reflect the degree of sustained budgetary commitment that can *realistically* be replicated within existing national, sub-national and / or local budgets. The key components of a system that require maintenance by the community or nominated individuals must have a general relevance to the lives of community members.
- XVI. **Documentation and dissemination** of the experience developed as well as development of tools to promote the integration of disaster risk reduction (DRR) into existing frameworks, should be included in the design of the proposals. Applicants are encouraged to use and disseminate already existing and successfully tested information, education and communication materials (IEC) – in particular those developed by previous DIPECHO partners in South Asia and beyond, ensuring necessary acknowledgment of agency(ies) responsible developed of such materials.
- XVII. A key interface in the development of DRM strategies is the **National Disaster Risk Management institutions**, which in many countries bear the responsibility for the articulation of a national risk reduction policy. However, this does not preclude a **multi-ministerial** planning / programming dialogue.
- XVIII. In the context of DG ECHO's mandate, DIPECHO has a **short-term nature (15 month projects)**. For this reason applicants should design their actions realistically (avoid ambitious proposals i.e. huge geographical coverage) in order to ensure that the proposed objective can be achieved and measured by "SMART" indicators in this timeframe – ensuring good quality and sustainable impacts as opposed to quantity coverage with no impact at the end of the project.
- XIX. In view of the DRR framework, applicants are encouraged to plan their programme for the medium/long term, if necessary with several phases, some or part of which could be considered for DIPECHO funding. Although efforts in continued Action Plans can be made, DG ECHO cannot guarantee consecutive funding phases; thus it is necessary to ensure capacities to fill funding gaps. For **multi-phased, long-term approaches**, applicants should



therefore look at DIPECHO support only as a contribution to an established or planned process. Applicants involved or interested in long-term programming should provide an outline of their strategy including a phase-down/consolidation or hand-over.

XX. Applicants can propose **ad hoc, focused or stand-alone disaster preparedness activities**, in particular when they apply an innovative approach

The development of all programme strategies to be submitted to DIPECHO must assimilate the **lessons learned** (both good and bad) accumulated from past DP/DRR programming in the respective country and incorporate these in current strategic deliberations.

## 2. 4. Type of activities and target beneficiaries

Given DG ECHO's core mandate in terms of Disaster Reduction i.e. in preparedness activities and small scale mitigation measures, what follows is a general description of the type of activities that are eligible and can be implemented in a project.

- This is not an exhaustive list and ...
- ...Proposals **should not intend to cover** all types of activities. On the contrary, realism in the scale of intervention, and therefore feasibility versus sustainability, quality versus impact will be particularly assessed when selecting the projects.
- At the same time, DG ECHO strongly encourages the partners to consider incorporating elements of lessons learned/best practices/case studies/ documentation on each project.

The different types of activities mentioned below are classified according the list of sub-sectors identified by DG ECHO for the sector *Disaster preparedness*.

The order of presentation of the different kind of activities does not reflect a priority order for DIPECHO intervention. It has always to be kept in mind that the main components of any DIPECHO intervention should be “soft components” such as capacity building, training, education, awareness raising and that all what is “hard components” such as infrastructure and mitigation will only be a complement if proven necessary (see below).

### Sectors and Sub-Sectors:

- a. **Local disaster management components**, targeting local actors in disaster prone areas: **early warning systems, mapping and data computerisation, local capacity-building, training.**

**Target groups (sample):** *community members, vulnerable groups, women, children, local authorities and decision makers, members of local disaster management committees, trainers, adult and youth volunteers, community facilitators, local rescue groups; local branches of institutions, of public entities, of media, of disaster management organizations; local planning entities; local non governmental organizations etc.*

*Examples of possible eligible activities:*

- ▶ Development and setting up of early warning systems through local structures, adapting or developing user-friendly and locally-appropriate systems; training of the beneficiaries through simulation exercises, mock drills, dry-run rehearsals etc.;





- ▶ Mapping and data computerisation through local actors, linked with the study of hazards and vulnerabilities and the establishment of emergency plans;
- ▶ Capacity-building and training of natural disaster management committees (including preparedness and response) at local level, with direct involvement of the beneficiary communities; development and management of community disaster preparedness action plans; integration of such plans into economic plans at the proper administrative level; simulation and evacuation exercises; training of trainers, community facilitators, fire brigades and other response groups.

**b. Institutional linkages and advocacy**, targeting institutions involved in disaster management/ disaster risk reduction, in particular at regional, national and sub-national levels: **advocacy, facilitation of coordination, institutional strengthening**.

Such activities contribute to the stated objective of DIPECHO, and indeed the Hyogo Framework for Action 2005 – 2015, of seeing Disaster Risk Reduction included or given greater attention in the political agenda of countries at risk at a local, regional and national level as well as in the development plans of international donors.

**Target groups (sample):** *national and sub-national institutions engaged in DRR; representatives of the government, of the legislative entities; donors and advisers; media; private sector; DRR practitioners; DRR agencies, civil society associations etc.*

*Examples of possible eligible activities:*

- ▶ Communication activities aimed at raising awareness on DRR;
- ▶ Coordinated and collaborative national programming for disaster risk reduction, particularly amongst DRR fora;
- ▶ Joint strategy formulation and programming, through joint project proposals, establishment of common indicators and measurement systems, joint identification of categories of beneficiaries, joint events and activities;
- ▶ Technical studies, workshops and surveys to increase knowledge about preparedness issues and dissemination of results;
- ▶ Facilitating co-ordination; support of existing networks, institutions working on DRR and notably preparedness and response;
- ▶ Strengthening of institutional capacities on DRR; training of decision-makers on the HFA.

In any case, each proposal **should include as an activity** (reflected in the budget and logical framework):

- ▶ The co-organisation of a national consultative meeting at the end of the project in the country where the project is implemented, in co-operation with the other DIPECHO partners in the country and in collaboration with the DG ECHO country offices and DIPECHO team.
- ▶ the participation of two persons in a DIPECHO regional workshop (two days) taking place in one of the South Asian countries and aiming at presenting the lessons learned and best



practices at a regional level with a large participation of National decision makers, other donors, EU services and major stakeholders.

- ▶ Joint advocacies with other DIPECHO partners at national and regional level in particular at key annual DM/DRR events such as international Disaster Risk Reduction Day, International Disaster Preparedness day etc.

**c. Information, Education, Communication, targeting direct and indirect beneficiaries: awareness raising among the general public, education**

*Target groups (sample): general public; media (also as vectors to reach other target groups) and their representatives (specific training and awareness measures to journalists, editors, students); teachers, school children, students, teaching institutions, personnel of the education sector including planners; children in general etc.*

*Examples of possible eligible activities:*

- ▶ Radio spots, radio communication actions at various levels; TV broadcasts; media interaction with newspapers, journals, magazines; training of journalists and media students;
- ▶ Potential Production of joint innovative Information, Education and Communication (IEC) materials but if already existing (even if prepared by other Partners), further dissemination of good pre-existing IEC materials would be favoured
- ▶ Conferences, symposia, seminars, workshops, peer-to-peer awareness initiatives;
- ▶ Awareness campaigns among the general public as well as targeted groups, simulation exercises and mock drills;
- ▶ Activities aimed at creating a “culture of prevention” within the formal education system pursuing a change of attitude and practice; design, production or update of training materials for pupils; dissemination of good existing materials; training of teachers and pupils; simulations conducted at school level, school competitions.

**d. Small scale infrastructure and services, at community level: infrastructure support and mitigation works, action and maintenance systems; non-structural mitigation activities**

*Target groups (sample): community members, local authorities and planners; groups and associations (eg of communities, communes, parents); action and maintenance committees; local masons and builders, construction experts etc.*

*Examples of possible eligible activities:*

- ▶ Provision of equipment and reinforcement of infrastructure to support disaster preparedness plans; scientific equipment; rehabilitation of evacuation routes; refurbishment of health posts; temporary shelter for evacuated populations and sign-posting of evacuation routes;
- ▶ Small-scale infrastructure works aimed at reducing the physical vulnerability of the beneficiaries, complementing the preparedness component of project strategy; training on action and maintenance systems; provision of knowledge and tools for replication of measures in neighbouring communities or for integration into local development plans;



- ▶ Protection walls along river banks; structural works on existing public buildings to increase their resistance to disasters; identification and reinforcement of safe places; reforestation/plantation; small-scale drainage; and irrigation works;
- ▶ Non-structural mitigation measures.

**e. Stock-building of emergency and relief items: targeting the reinforcement of the response capacity of local actors and institutions in disaster-prone areas in view of contributing to ensuring an adequate response to natural disaster by strengthening the response capacity in the early hours and days of a disaster.**

**Target groups (sample):** *Mandated entities and bodies such as the Red Cross/Red Crescent, the branches of Disaster Management Offices; local rescue committees and groups etc.*

*Examples of possible eligible activities:*

- ▶ Provision of basic equipment such as rescue kits and first aid kits complemented by training activities;
- ▶ Stockpiling of response items at local level through mandated actors or entities and through well established systems.

**More specific and general recommendations:**

- Complementary eligible activities should be implemented in an **integrated manner** through mandated actors and agencies, provided that the scope of the project remains realistic and achievable and that agencies have the adequate skills in the proposed sectors. An adequate level of transparency and accountability needs to be ensured for such components.
- Specific activities or actions in “local disaster management components”, “institutional linkages and advocacy”, “information, education and communication”, can be considered in singled out, ad hoc projects, in particular when they are innovative, well-coordinated and have potential for further dissemination.
- Activities in “small-scale infrastructure and services” and in “stock-building of emergency and relief items” will be supported only in complement with the other listed activities. **Replenishment of stocks already purchased cannot be supported under the same agreement.**
- Such actions are to ensure that the skills and knowledge acquired will be applied immediately in a professional manner to save lives when a disaster strikes.
- For all activities, the relevant and corresponding support costs such as administrative expenses, logistics, audit, evaluation etc. are eligible.

## **2.5. Priorities in terms of regions and hazards**

- For the prioritised fields of intervention 2.2. (a), actions must take place in one or more of the following countries: **AFGHANISTAN, BANGLADESH, INDIA, NEPAL and PAKISTAN.** Given the current situation in Sri Lanka, it is not possible to envisage projects in **SRI LANKA** for the time-being. Overall, given the current humanitarian and security situation, a clear priority is given to Bangladesh, India and Nepal.



- For the prioritised field of intervention 2.2. (b), a regional scope at the level of South Asia, including Bhutan, could be envisaged if it was proven to be necessary. It could be a preferred way to work in countries such as Afghanistan, Pakistan and Sri Lanka.

#### **APPLICABLE TO ALL COUNTRIES:**

- Program strategies should be developed **in the context** of existing legislation and Disaster Management strategies in the country of action.
- Interventions at **community and district levels** will be prioritised.
- Interventions should focus on the **most vulnerable** populations

DG ECHO welcomes projects that take into account:

- a **multi-hazard approach** (in terms of targeted region and/or project component)
- the accumulation of **several priorities**
- the **mainstreaming** of children, gender and disability issues
- Proven **pre co-ordination** with other DP NGOs/International Organisations and national decision makers.
- **Security** and **access** to the proposed locations of interventions

#### **2.5.1 DIPECHO and DRR – All Projects**

Particular attention will be paid to the **following issues adapted to the South Asian context:**

- ☐ DIPECHO concentrates specifically on **preparedness measures for natural disasters**, which are themselves components of the international **Disaster Risk Reduction agenda**. Therefore any activity which can support an improved integration of DRR measures into wider frameworks will be favourably considered. The proposed actions should, however, fit into the list of eligible activities foreseen under this Action Plan.
  - ▶ *Non exhaustive examples: advocating, training, increasing awareness of/disseminating experience among those stakeholders susceptible to take over actions piloted under DIPECHO projects; developing tools and models for DRR mainstreaming.*
- ☐ The DIPECHO Programme contributes intrinsically to the implementation of the **Hyogo Framework for Action 2005-2015 (HFA)**. Thus all proposed disaster preparedness actions should look at supporting the ongoing implementation measures of the HFA in the region.
- ☐ Support to relevant regional components of the World Campaigns promoted through the International Strategy for Disaster Reduction (ISDR): “**Disaster risk reduction begins at school**” and “**Hospitals Safe from Disasters**”, will be looked upon favourably. The proposed actions should also be in line with the recommendations of the **Delhi Declaration on DRR in Asia**.
  - ▶ **Education and school safety** are fully part of DIPECHO’s actions and will remain a priority sector.
  - ▶ *Non exhaustive examples for health preparedness: awareness raising among staff of medical structures, policy-makers and planners; capacity-building and training of health workers; development of tools and guidelines for both urban and rural areas (on risk assessment, preparedness levels etc.); studies on the impact of disasters on health facilities; integration of lessons learned into planning; improving linkages*



*between disaster management structures/mechanisms and global health strategies which already incorporate preparedness measures.*

### Cross Cutting Issues

- ❑ As per DG ECHO's priorities, improved and regionally adapted tools on mainstreaming **gender, children, and vulnerable groups such as people with disabilities** should be promoted.
  - ▶ *Non exhaustive examples (with adaptation to the regional context): training of relevant personnel of implementing agencies, community facilitators, decision-makers on inclusion of gender, child-focus and disability issues in programming; awareness raising measures; measures promoting increased participation of the above-mentioned groups in leadership and implementation; development and dissemination of tools and materials.*
- ❑ **Climate change adaptation** cannot be the sole focus of a specific and *ad hoc* DIPECHO project. However, projects can integrate components reflecting the necessity to raise awareness on evolving trends and looking at links between DRR and climate change (CC), **always in a natural disaster context**.
  - *Non exhaustive examples: where scientific data has confirmed the impact of CC on natural disaster trends, increased awareness raising on integration of CC adaptation into programming and planning (ad hoc target groups); reinforced vulnerability and risk assessments, early warning systems, promotion of land-use planning and building codes, strengthening of institutional and legal capacities; development/dissemination of guidelines and tools on how to communicate CC better in a DRR context; improving and adapting practices/behaviours affecting environment and livelihoods (in a DRR context).*

### 2.5.2 – Compulsory Project components –all projects<sup>2</sup>

All projects to be submitted under the present call should include **provision for finance, means, human resources and time** for the following actions, preferably jointly with relevant DRR agencies:

- **Coordination** mechanisms at all relevant levels and for the necessary area/sectors/topics with specific emphasis on DIPECHO partners' coordination in given country.
- **Joint initiatives** (communication, awareness campaigns, visibility etc.)
- When possible and relevant, **collaborative strategy formulation and planning** among potential DIPECHO partners, but also jointly with other interested DRR agencies, in a country or region of action is encouraged. This can take the form of joint projects (consortia) or joint initiatives implemented through a series of projects.
- Actions aiming at **documenting, disseminating and integrating lessons learned and good practices** in strategies beyond the project perspective, at country and regional levels. This implies supporting the organisation of *ad hoc* events or processes within the projects duration.

<sup>2</sup> Refining of the proposed actions and corresponding costs will take place when the pre-selected projects are negotiated in each country and regionally.



- Cross-visits, exchange of experience and similar activities promoting **cross-fertilisation**.
- When possible and relevant **joint monitoring/evaluation** mechanism for a country, topic or sector.
- **Linkages between local, national and relevant regional initiatives** should be clearly stated in the proposals.

The following sections will detail the priorities of the Fifth DIPECHO Action Plan for South Asia per country in terms of regions and hazards.

These priorities are based on the findings of each National Consultative Meeting organised in November 2008 at the field level.

The main hazards and disaster prone regions to these hazards have been identified at this occasion.

**Anyway, it should not preclude any intervention to include another type of hazard, if well justified, in a multi-hazard approach or another region if the risk, vulnerability and coping capacity's analysis were proven to be determinant for a DIPECHO intervention.**

### Country/Region Specifications

The specifications below apply for each eligible location, **in addition to the information provided above and in the selection criteria in point 7.3.3.**

The geographical areas proposed below deliberately remain general, since the focus is on the development of pilot actions in vulnerable areas. Nevertheless, **applicants should thoroughly justify their geographical choice**, based on the criteria listed in points 2 and 3.2 of the present document, as well as on the basis and perspectives of complementarities with other ongoing actions in the same area(s). **In this context, the needs assessment and the justification of the hazard(s) identified and location(s) to be targeted will be a crucial element at the evaluation of the proposals.** In countries with a number of hazards and potentially targeted areas, DG ECHO will welcome proposals which offer complementary perspectives and approaches (in sectors, topics, area specifics etc.), rather than numerous small pilot projects without interconnection or with low potential for replication.

### 2.5.3. BANGLADESH

- As an orientation for the period 2009-2010, DIPECHO will continue supporting multi-hazard approaches (floods with water logging and landslides as secondary hazards, earthquake with fire as secondary hazard and cyclone/tidal waves).
- Given the constraints on working modalities **and timeframe**, DG ECHO will assess proposals based on the feasibility of partner agencies to implement within the proposed timeframe (15 months). The **scope of actions should be realistic and focused**, with contingency measures foreseen in case of any identified limitations.
- In cases where the approval of working modalities might take some time, within acceptable limits given the DIPECHO timeframe, priority will be given to short term, focused and ad hoc measures with a direct impact.



- In cases where partners can guarantee swift working modalities, priority will be given to **multi-hazard approaches**
- **Flood preparedness measures** can be considered specifically (floods in Northern, North Eastern, North Western, South Western and Central districts with specific focus on Jamalpur, Sunamgonj, Sirajgonj, Manikgonj, Kurigram, Shariatpur, Netrokona, Bogora, Sylhet, Lalmonirhat, Faridpur, Rajbari, Jessore, Satkhira, Pabna, Sherpur, Tangail, Munsiganj, Gaibandha, Madaripur, Tangail, Comilla and Naogaon districts)
- **Earthquake preparedness measures** can be considered in all major metropolitan and urban cities with high population including Chittagong, Sylhet, Dhaka, Mymensingh, Rangamati, Rangpur, Gaibandha, Jamalpur, Netrokona
- **Cyclone/tidal wave preparedness measures** can be considered in all 11 coastal districts and Laximpur.
- Priority will be given to **poor and remote rural areas inhabited by low socio-economic groups/communities** exposed to frequent and reoccurring natural disasters.
- In general, a strong emphasis should be given to the **capacity-building of local actors**, as well as the **education sector**. All actions should include (if necessary) the development, (when existing) **harmonisation and dissemination of tools, IEC and training materials and approaches**.
- **Priority actions** will address, most possibly through singled out actions: reinforcement and dissemination of CBDRR models including HVCA/PRA practices; improved integration of early warning systems into CBDRR and local planning; capacity-building and training of local institutions including DM structures at various levels; training of trainers; training of education personnel and school children; mapping and data computerisation of risks, hazards and vulnerabilities and any action aiming at improving hazard and vulnerability assessments; public campaigns and awareness raising in particular in the line of the Comprehensive Disaster Management Programme (CDMP).
- All actions should include support and participation to **coordination** mechanisms both at national and provincial levels, with also linkages to regional and national initiatives, establishment of communication networks, information sharing and documentation of DRR initiatives at all levels, advocacy measures for integration and mainstreaming of DRR into corresponding longer term development programmes (food security, rural livelihood/development, education etc.), as well as close coordination with other disaster preparedness frameworks.

#### 2.5.4 - INDIA

- As an orientation for the period 2009-2010, DIPECHO will continue supporting specific actions in India addressing Earthquake, Floods with secondary effect as flash floods, urban floods, Landslides) and Cyclones/ tsunami
- Priority will be given to the remote and neglected areas exposed by a number of hazards with higher frequency and scale of disasters.
- Flood preparedness measures can be considered in Assam, Bihar, West Bengal, Orissa, Uttar Pradesh, Arunachal Pradesh, Himachal Pradesh, Maharashtra, Andhra Pradesh and Tripura states



- Earthquake preparedness measures can be considered in Jammu & Kashmir, Himachal Pradesh, Arunachal Pradesh and other NE States, Uttaranchal, Bihar, West Bengal, Delhi, ANI and Gujarat.
- Cyclone/tidal wave preparedness can be considered in West Bengal, Orissa, Andhra Pradesh, Tamil Nadu, ANI and Gujarat.
- Where relevant, ethnic or other social specificities will have to be addressed through ad hoc approaches – this could be the basis for innovative pilot measures.
- Priority will be given to the **sub-national level**, with up-scaling of CBDRR actions at district and provincial planning levels. However, agencies should look, preferably in group(s), at linkages with initiatives implemented at national level under National Disaster Management Framework as well as with programmes funded by other international donors. This can be supported through *ad hoc* and focused actions addressing specific target groups or organizations.
- Priority will be given to community based activities, looking at harmonizing, scaling up and disseminating the experience and models developed to the commune, district and province levels.
- Priority will be given to **joint efforts** on education, training and capacity-building, integration of CBDRR into local planning, public awareness campaigns, early warning systems, improved vulnerability assessments, risk and hazard assessments, development of advocacy tools and measures promoting DRR (including linkage, where relevant and scientifically confirmed, with climate change adaptation). The joint actions among DIPECHO partners but also together with other interested DRR agencies will be encouraged.
- Increased coordination and standardization of training modules, IEC materials and education components.
- Specific measures supporting the **improvement of response to natural disasters** can be considered where needed, through mandated mechanisms and agencies and through joint and coordinated efforts.

#### 2.5.5 - NEPAL

- As an orientation for the period 2009-2010, DIPECHO will continue supporting in Nepal addressing Earthquake, Floods, Landslides, Avalanches and Hailstorm hazards.
- Priority will be given to multi-hazard prone remote areas with higher frequency and scale of disasters.
- Flood preparedness measures can be considered in all Tarai river basins of Mid and far western region (Kailali, Bardiya, Banke & Kanchanpur); Western region (Nawalparsi); Central region (Bara, Rautahat, Siraha, Saptari, Dhanusa & Mahottari) and Eastern region (Sunsari & Saptari)
- Earthquake preparedness can be considered in Katmandu Valley and other fast growing urban areas of West and Far-West regions
- Landslides and Avalanches preparedness can be considered in Mid hills of West (Achham & Bajura); Mid West (Myagdi, Gulmi, Gorkha & Lamjung) and Eastern region (Okhaldhunga, Khotang & Taplejung)





- Hailstorm preparedness can be considered as secondary activities in Kski, Bajhang, Syanga, Lamjung and Gorkha districts.
- Given the extent of the issues to address in the country, in geographic, hazard and risk terms, **priority will be given to actions which offer synergies and complementarities with** National Strategy for Disaster Risk Management.
- A clear focus will remain on improved **coordination** mechanisms and experience sharing platforms, as well as on linkages with ongoing and planned actions of government and other donors.
- Priority actions will aim at **scaling up CBDRR pilot projects**, their integration into development programmes and local planning. Continued **capacity-building of local actors**, setting up **early warning systems** and their integration into wider frameworks.
- Priority will be given to **joint efforts** on education, training and capacity-building, integration of CBDRR into local planning, public awareness campaigns, early warning systems, improved vulnerability assessments, risk and hazard assessments, development of advocacy tools and measures promoting DRR (including linkage, where relevant and scientifically confirmed, with climate change adaptation). The joint actions among DIPECHO partners but also together with other interested DRR agencies will be encouraged.
- Advocacy, public awareness and communication on the linkage between DRR and climate change can also be supported.
- Improved coordination in design, linkages between all ongoing initiatives at local, country and sub-regional level, and action planning for **early warning systems** in flood and where relevant drought preparedness, including related small-scale infrastructure pilot measures; increased capacity-building and awareness raising on EWS at local level; promotion of integration measures (including financial planning) into government plans; extension of EWS to remote areas.

#### 2.5.6 – AFGHANISTAN, PAKISTAN, SRI LANKA

Afghanistan and Pakistan have been included in this Action Plan in view of the efforts done in these country to take on board Disaster Risk Reduction. After the first Action Plan, Sri Lanka has been included in this Action Plan considering country's disaster profile.

Nevertheless, and having in mind the **complex security situation** and limited **accessibility of humanitarian aid workers** in these countries, ECHO does not envisage a fully fledged DIPECHO interventions similar to that in other South Asian countries.

- At present, the worrying humanitarian situation in **Sri Lanka** does not allow a proper implementation of DIPECHO projects in line with the overall ECHO strategy in the country i.e. with a clear priority on the most affected populations in the North. Therefore, partners are not encouraged to submit proposals for Sri Lanka but proposals which include Sri Lanka as part of a regional programme may be considered.



- As far as **Afghanistan** and **Pakistan** are concerned, the deteriorating security situation in the countries does not allow a proper implementation of DIPECHO programmes. ECHO is willing to implement pilot-projects in "safe areas" if an impact can be foreseen.  
In the present Action Plan in these countries, focus will be in the areas most exposed to frequent natural hazards and with less coping capacities. Special attention will be given to the remoteness and difficulty of access of the proposed areas of action. The main targeted hazards will be floods, landslides, earthquakes and tsunamis/cyclones.

### 2.5.7- Regional and Sub-Regional Initiatives<sup>3</sup>

- For regional and sub-regional initiatives, priority will be given to “service providing” actions of **networking, sharing of experience; continued development and dissemination of tools adapted to the South Asian context and promoting DRR communication, advocacy, capacity-building, training and education measures**. Support to improvement of DRR indicators, impact measurement, monitoring and evaluation standards and any other tools for disaster management practitioners can also be considered.
- Regional and sub-regional initiatives can equally address several hazards or a single hazard, several topics and sectors or one particular issue, several target groups or one ad hoc target group (eg media). Initiatives promoting cyclone or flood preparedness, CBDRR methodologies and strategies, education and DRR mainstreaming are encouraged.
- Priority will also be given to the adaptation and implementation in a South Asian context of issues indicated in point 3.1 of the present Guidelines.
- All actions should look at the **consolidation and up-scaling of experiences** developed in the region during the past few years.
- In addition and on *ad hoc* bases (*see footnote below*), initiatives looking at **linkages with other regions** and dissemination of existing experiences, in particular in Asia, but also more widely e.g. by linking or adapting and adjusting from other DIPECHO region’s experience, are welcomed.
- **Components with a strong national focus should be implemented in-country(ies)** by and through country-based actors/agencies, rather than through regional initiatives. The latter can promote linkages, good practices, harmonisation of approaches of the said national initiatives.
- Agencies interested in submitting a regional programme should demonstrate their capacity to implement multi-sectoral, multi-country approaches. If necessary, focal points in the relevant countries, to be based within established structures or organisations, can be considered, in order to facilitate the implementation and help liaising by promoting ownership in-country.
- At design stage, regional initiatives should demonstrate a **close linkage with national initiatives** to be supported in the countries.
- Regional and sub-regional initiatives should consider increasing their actions in the countries which are more isolated or with lesser capacities (e.g Bangladesh, Nepal) and expand or improve linkages with successful initiatives and other recognised good practices (such as DIPECHO Advocacy Network Initiative).

<sup>3</sup> Regional and sub-regional actions can only directly benefit the eligible countries as defined in the Financing Decision ECHO/DIP/BUD/2009/02000



## 2.6 - Visibility and Communication Requirements<sup>4</sup>

### Why Communicate?

The European Commission's DG ECHO is increasingly emphasising the need for visibility and communication<sup>5</sup> in the context of funded projects. Such visibility and communication activities contribute to fulfilling an important part of the DG's mandate which is *not only the funding of Disaster Risk Reduction measures (and humanitarian aid), but also to raise awareness for the principles and values of this aid*. It is also an excellent way of informing European citizens about the European Commission's activities and thus be transparent about and accountable for the use of EU funds.

DG ECHO would like to involve implementing partners as much as possible in this communication effort thereby facilitating mutually beneficial synergies and enhancing complementarities. DG ECHO and its implementing partners address similar target groups: the beneficiaries, general public and opinion multipliers in the countries of actions and in Europe. Both highlight the impact of the projects implemented, formulate similar messages on values/principles and achievements but use different channels to do so. DG ECHO consequently encourages the use of project funds budgeted under the visibility line to implement communication activities that meet the DG's requirements whilst also being in line with the communication strategy of its partners.

### What to Communicate?

In general the objective of communication activities is to raise awareness for the specific DIPECHO-funded project and its aims, and / or the role of the European Commission and the partner.

DG ECHO considers that activities to be funded should have the **specific** objective of communicating and raising awareness of the **DIPECHO funded project**, its aims and the roles (and aims) of the partner and the European Commission. A corollary of this might also be the promotion of Disaster Risk Reduction (DRR) and the implementation of the Hyogo Framework for Action 2005 – 2015 (HFA).

This is distinct from activities under Advocacy and Public Awareness-raising, where the specific objective will favour the promotion of DRR and the HFA, within which reference must be made to DIPECHO support, and the role of the partner and the European Commission.

### How and to Whom to Communicate?

Communication activities implemented in the context of a DIPECHO-funded project should be a *part of a partner's overall communications strategy*, targeting their direct beneficiaries, local and international stakeholders, other opinion multipliers in the country of action or in Europe, and should use the most appropriate channels/tools depending on the target.

We very much encourage activities involving or even targeting local media, such as press trips to projects or opening events to the media which are part of project implementation. Such events

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<sup>4</sup> Please take into account that DG ECHO is currently reviewing its Visibility and Communication guidelines.

<sup>5</sup> By 'visibility' we understand measures that allow the EC's Humanitarian Aid Directorate General (DG ECHO) to be identified as a donor (e.g. stickers, sign boards, banners etc) and by 'communication' we refer to activities/tools explaining the mandate and roles of the partner and the EC, the principles and values of humanitarian aid, in short the reason for our being there and doing what we do.



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might be organised in the broader context of sports or cultural events to raise awareness / inform the wider public (and inviting the media). We would like partners to schedule one such event every October, so as to benefit from the increased attention for the subject of Disaster Risk Reduction generated by the International Day for Natural Disaster Reduction (IDNDR). Of course if there are equivalent national commemorative days that do not coincide with the IDNDR, then these should also be considered an opportunity.

Whilst the involvement of the European (or other international) media is of course considered desirable, it is recognised that generating necessary levels of interest can prove challenging. Nevertheless, DG ECHO encourages partners to develop communication activities in the EU, especially in the country where they have their HQ, to inform the public in Europe about their DIPECHO-funded projects and support of the EC.

The minimum activities expected are:

- i. a press release at contract signature or the project start,
- ii. a press release or event at the closing or important achievement/milestone of the project, and
- iii. an article in the partner's newsletter/web site if they publish one.

Despite the increased emphasis on communication, 'traditional' visibility activities allowing donor identification such as the setting up of signboards, stickers etc. **remain obligatory**, unless they entail security risks for the partner's staff.

For further questions please feel free to contact the Regional Information Officer, Malini Morzaria at [rio@echo-newdelhi.org](mailto:rio@echo-newdelhi.org) or [Malini.Morzaria@ec.europa.eu](mailto:Malini.Morzaria@ec.europa.eu)

### 3. FINANCIAL ALLOCATION PROVIDED

The overall indicative amount made available for the fourth DIPECHO Action Plan is EUR 10,000,000. This financial allocation is subject to adoption of a funding decision by the European Commission, which reserves the right not to award all funds.

Any agreement awarded under this program (DG ECHO contribution) should fall between the following minimum and maximum amounts:

- minimum amount: EUR 150,000
- maximum amount: EUR 600,000

Any departure from these ceilings should be fully justified.

In addition, **ECHO contribution should not exceed 85% of the total eligible costs of the action**. The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget.

### 4. RULES OF THIS EXPRESSION OF INTEREST

These guidelines set out the rules for the submission, selection and implementation of projects financed under the fifth DIPECHO Action Plan for South Asia in conformity with the provisions of DG ECHO's Framework Partnership Agreements (FPAs) and the Financial Regulation applicable to the



general budget of the European Communities (Council Regulation N° 1605/2002) and its implementing rules (Commission Regulation N° 2342/2002).

#### 4.1 Eligibility criteria

There are three sets of eligibility criteria, relating to:

- Organisations which may request an agreement,
- Actions for which an agreement may be awarded,
- Types of cost which may be taken into account in setting the amount of the agreement.

##### 4.1.1 Eligibility of applicants: who may apply?

In order to be eligible for a DIPECHO agreement for South Asia, applicants must:

- be in one of the following categories :
  - A **Non-Governmental Organisation** signatory of the Framework Partnership Agreement with the Humanitarian Aid Directorate General (DG ECHO) or in a position to become FPA signatory in accordance with the procedures in place at the moment of the signature of the Grant Agreement.
  - An **international organisation**, i.e. organisation of an inter-governmental nature founded by an agreement between States, covered by the Financial and Administrative Framework Agreement (FAFA) between the European Community and the United Nations or signatory of an FPA for International organisations or in a position to become an FPA signatory in accordance with the procedures in place at the moment of the signature of the Contribution Agreement
  - A **specialised agency of an EU Member State**.
  - A **consortium of the above**. In case of consortia, the application should be made by a lead agency and countersigned by all consortium members. The lead agency will be responsible for all operational, administrative and financial matters vis-à-vis the Commission. The lead agency in the consortium should respond to one of the three categories mentioned above.
- Applicants must be **directly responsible** for the preparation and management of the action, not acting as an intermediary.
- Potential applicants may not participate in calls for proposals or be awarded agreements if, in accordance with article 114 of the new Financial Regulation applicable to the general budget of the European Communities (Council Regulation N° 1605/2002), they are in one of the situations referred to in Articles 93 and 94 of the same Regulation. This Regulation is available in DG ECHO's web page: [http://europa.eu.int/comm/echo/partners/selection\\_en.htm](http://europa.eu.int/comm/echo/partners/selection_en.htm).

##### 4.1.2 Eligible actions: actions for which an application may be made

#### Amount

There are no restrictions on the total cost of the action. However, the Community contribution applied for must fall within the minimum and maximum amounts set out in section 2 above.



### **Duration**

The projects duration is limited to 15 months.

### **Location**

- For the prioritised fields of intervention 2.2. (a), actions must take place in one or more of the following countries: **AFGHANISTAN, BANGLADESH, INDIA, NEPAL and PAKISTAN**. Given the current situation in Sri Lanka, it is not possible to envisage projects in **SRI LANKA** for the time-being. Overall, given the current humanitarian and security situation, a clear priority is given to Bangladesh, India and Nepal.
- For the prioritised field of intervention 2.2. (b), a regional scope at the level of South Asia, including Bhutan, could be envisaged if it was proven to be necessary. It could be a preferred way to work in countries such as Afghanistan, Pakistan and Sri Lanka.

### **Type of actions covered:**

An agreement may be awarded for an action which has already begun only where the applicant can demonstrate the need to start the action before the agreement is signed. In such cases, expenditure eligible for financing may not have been incurred prior to the date of submission of the application.

No agreement may be awarded retrospectively for actions already completed.

The following types of action are also ineligible:

- individual sponsorships for participation in workshops, seminars, conferences, congresses;
- individual scholarships for studies or training courses.

### **Number of proposals and agreements per applicant**

An applicant may submit more than one proposal.

An applicant may be awarded more than one agreement under this Action Plan.

#### **4.1.3 Eligibility of costs: costs which may be taken into consideration for agreement**

Only “**eligible costs**” can be taken into account for a DIPECHO agreement. These are detailed in **article 18 of the General conditions** applicable to European Community Grant or Contribution Agreements (Annex III of the Framework Partnership Agreements with DG ECHO) and available at DG ECHO web site: [http://europa.eu.int/comm/echo/partners/fpa\\_ngos\\_en.htm](http://europa.eu.int/comm/echo/partners/fpa_ngos_en.htm).

A lump sum not exceeding 7% of the direct eligible costs of the Action may be claimed as **indirect costs** to cover the administrative **overheads** incurred by the Beneficiary for the Action.

Indirect costs are eligible provided they do not include costs assigned to another heading of the agreement budget.

**No contingency reserves will be accepted.**



Any **contributions in kind** made by the Humanitarian organisation or the Organisation's partners, which must be listed in point 11 of the Single Form, do not represent actual expenditure and **are not** eligible costs. They can not be treated as co-financing by the organisation but will be taken into account in the evaluation of proposals.

**Rules of the FPA-FAFA will be entirely applicable for these agreements**

([http://europa.eu.int/comm/echo/partners/index\\_en.htm](http://europa.eu.int/comm/echo/partners/index_en.htm))

- ▶ Only “**eligible costs**” can be considered for a DIPECHO agreement. These are detailed in the General Conditions of the FPAs or, for international organisations, in the corresponding framework agreement (e.g. FAFA). Eligible costs must be based on real costs.
- ▶ Indirect costs (overheads) cannot exceed 7% of the direct eligible costs.
- ▶ No reserve will be allowed.
- ▶ All costs should be indicated in **euro**.

## 4.2 - How To Apply And Procedures To Follow

### 4.2.1. Application forms

- Applications must be submitted on the latest version of the Single Form - (Annex I to the Framework Partnership Agreement with DG ECHO - 2008).

The application form is available on the DG ECHO web site at

[http://ec.europa.eu/echo/about/actors/fpa\\_en.htm](http://ec.europa.eu/echo/about/actors/fpa_en.htm)

(English version) or

[http://ec.europa.eu/echo/about/actors/fpa\\_fr.htm](http://ec.europa.eu/echo/about/actors/fpa_fr.htm)

(French version).

International Organisations must download the appropriate Single Form from DG ECHO's web site at: [http://ec.europa.eu/echo/about/actors/fpa\\_en.htm](http://ec.europa.eu/echo/about/actors/fpa_en.htm) (If FPA) and

[http://ec.europa.eu/echo/about/actors/fafa\\_fr.htm](http://ec.europa.eu/echo/about/actors/fafa_fr.htm) (if FAFA)

The complete application must include the **Single Form** as well as a **signed cover letter** and **relevant supporting documents**.

- Applicants must apply in either **English** or **French**<sup>6</sup>.
- Hand written applications will not be accepted.

### 4.2.2. Supporting documents accompanying the application

- Correspondence from any relevant entities such as local partners, authorities and institutions, upon whom the success or viability of the project may depend.
- Brief description of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources.

<sup>6</sup> At application stage, some annexes can be provided in other European or local languages, provided a short summary is submitted in English or French.



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- If already known, **Curriculum vitae** of the main personnel responsible to perform work in connection with the project, and when available, a list of staff connected to the project, and a statement on what proportion of their time will be dedicated to the project. Please note that DG ECHO will require the presence of expatriate staff<sup>7</sup> or at least staff with an international experience (having worked outside their own countries) on the projects in order notably to ensure proper follow-up of DG ECHO procedural rules. This person will be the DG ECHO interlocutor at field level
- Further information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations.
- Correspondence from other co-financing entities regarding their contribution to the project.
- Map of exact location of the proposed action.
- Any other annex considered important.

### 4.2.3 - Where and How To Send the Applications

Applications must be sent to the address below in **one original, paper copy**:

Postal address:

DG ECHO– Unit A3  
Fifth DIPECHO Action Plan for South Asia  
To the attention of the Head of Unit, Mr. Esko KENTRSCHYNSKYJ  
AN 88, 06/12  
European Commission  
B-1049 Brussels

Address for hand delivery or delivery by private courier:

DG ECHO-Unit A3  
Fifth DIPECHO Action Plan for South Asia  
To the attention of the Head of Unit, Mr. Esko KENTRSCHYNSKYJ  
Avenue du Bourget,1 (Courrier central)  
B-1140 Brussels

And an **electronically to the following address**: [echo-central-mailbox@ec.europa.eu](mailto:echo-central-mailbox@ec.europa.eu)

**And an electronic copy** to ECHO country responsible at HQ and field level:

For Afghanistan:

HQ: Béatrice Miège at [Beatrice.Miege@europa.eu](mailto:Beatrice.Miege@europa.eu)

Field: Isabelle D'Haudt at [program@echo-kabul.org](mailto:program@echo-kabul.org)

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<sup>7</sup> An **Expatriate staff** member is any person that has signed a contract with a humanitarian organisation/implementing partner (either as an employee or voluntary worker), that is active where the action takes place and for whom at least **2 of the following three criteria apply**:

1. Nationality (the staff member is not national of the country where the action takes place);
2. Residence (the staff member is not resident in the country where the action takes place);
3. Country of recruitment, (the staff member has not been recruited in the country where the action takes place).

Personnel meeting only one or none of these criteria shall fall under the category of local staff.

Sources: Budget guidelines at: [http://ec.europa.eu/echo/pdf\\_files/partnership/guidelines/annex2\\_budget\\_en.pdf](http://ec.europa.eu/echo/pdf_files/partnership/guidelines/annex2_budget_en.pdf)





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### For Bangladesh:

HQ: Sandra Descroix at [Sandra.Descroix@ec.europa.eu](mailto:Sandra.Descroix@ec.europa.eu)

Field: David Hill at [David.HILL@ec.europa.eu](mailto:David.HILL@ec.europa.eu)

### For India:

HQ: Maria Ralha at [Maria.Ralha@ec.europa.eu](mailto:Maria.Ralha@ec.europa.eu)

Field: Yassine Gaba at [ta03@echo-india.org](mailto:ta03@echo-india.org)

### For Nepal:

HQ: Bernard Boigelot at [Bernard.Boigelot@ec.europa.eu](mailto:Bernard.Boigelot@ec.europa.eu)

Field: Dominique Feron at [hoo@echo-kathmandu.org](mailto:hoo@echo-kathmandu.org)

### For Pakistan

HQ: Matthew Sayer at [Mattehw.Sayer@ec.europa.eu](mailto:Mattehw.Sayer@ec.europa.eu)

Field: Indira Kulenovic at [ta02@echo-india.org](mailto:ta02@echo-india.org)

### For Sri Lanka:

HQ: Dawn Adie-Baird at [Daw.Adie-baird@ec.europa.eu](mailto:Daw.Adie-baird@ec.europa.eu)

Field: Jeroen Uytterschaut at [hoo@colombo.org](mailto:hoo@colombo.org)

### For Regional proposals:

HQ: Béatrice Miège at [Beatrice.Miege@ec.europa.eu](mailto:Beatrice.Miege@ec.europa.eu)

Field: Indira Kulenovic at [ta02@echo-india.org](mailto:ta02@echo-india.org)

Applicants are encouraged to enclose CD/s with supporting documents relevant to their application (annexes, organizations' DRR strategy document, maps, base line studies/needs assessments, previous evaluations etc) and send it separately (one copy to Brussels and one to ECHO field office).

Applicants should verify that their application is complete by comparing it with the checklist included at the end of these guidelines.

#### **4.2.4 - Deadline for Receipt of Applications**

The deadline for the receipt of applications, in both hard and electronic formats, is:

**Monday 9 March 2009,**

As date of receipt of documents, it is agreed to accept the first date of receipt, be it on paper or by electronic means, whichever happens to be first.

In case the other format is received more than 2 weeks after the first format, the date of receipt to be taken into account will correspond to the receipt date of the other format

#### **4.2.5 - Acknowledgement of receipts**

DG ECHO will send an acknowledgement of receipt to all applicants, indicating the date of receipt and informing them of the reference number they have been allocated. Any further correspondence related to the application and selection process should use this reference number.



## 5 - EVALUATION AND SELECTION OF APPLICANTS

- Applications will be examined and evaluated by DG ECHO with technical assistance from DG ECHO's respective country offices or Regional support offices for South Asia and with the possible assistance of assessors from other services of the Commission involved in co-action programmes in the region.
- Each individual action submitted by applicants will be assessed according to the following criteria:

### 5.1 Administrative compliance

- Verification that the application is complete in accordance with instructions in point 3.2 above.

**DG ECHO reserves the right to reject the applications failing to fulfil these criteria and not considered them for funding.**

### 5.2 Eligibility of the applicants, partners and actions

- Verification that the applicant and the action are eligible according to the criteria set out in section 3.1.1, 3.1.2 and 3.1.3.

**Applications failing to fulfil any of these criteria will be immediately rejected and will not be considered for funding.**

### 5.3 Evaluation of the proposals

An evaluation of the quality of proposals, including the proposed budget, will be carried out in accordance with the evaluation criteria set out below.

**This will be done in three steps.**

DG ECHO will first proceed with a preliminary evaluation of the **applicant's capacity** to ensure that they:

- Have the professional competencies and qualifications required to successfully complete the proposed action. This also applies to any partners of the applicant.

The two key questions will be:

- ❖ Do the applicant, in **particular the project coordinator/manager**, and local partners, have adequate **experience of project management in the countries where the project is presented?**
- ❖ Do the applicant (in particular the project coordinator/manager) and partners have sufficient **technical expertise in terms of Disaster Risk Reduction project management in**



**South Asia, and preferably in the country where the project is presented.** Previous successful track record of DG ECHO projects implementation in the region is desirable.

**All candidates should demonstrate previous experience** in Disaster Risk Reduction preferably in South Asia.

*Applicants judged as not having sufficient capacity will not have their proposals further evaluated.*

Proposals submitted that do not allocate the necessary human resources with **appropriate levels of DP/DRR experience** and **expertise to senior levels** of project management (country director, programme coordinator, project manager, or equivalent) **will not be considered eligible**.

**As a second step, an evaluation** of the **relevance of the proposal** related to the overall consistency and synergy among pre-selected quality proposals and with other ongoing interventions in the field of Disaster Risk Reduction in each country/the region. Proposals at regional level will be evaluated as per their complementarities with other proposals at national level as well as added value in terms of regional perspectives. This will be done on the basis of the following criteria:

1. Relevance
1.1 How relevant is the proposal to the <b>objectives</b> and one or more of the <b>priorities</b> of the call for proposals (points 1.1, 1.2, 1.3 and 1.4 of this call) (Points 4.3.1 in the log-frame of the Single form)?
1.2 How relevant to the particular <b>needs and constraints</b> of the target populations and country/countries or region(s) is the proposal (including avoidance of duplication and synergy with other initiatives, in particular EU co-operation initiatives targeting for example institutional strengthening at district level or environmental objectives (points 2 and 4 of the Single form)? Has the proposal been <b>discussed</b> and <b>agreed</b> with the local authorities responsible for risk management? Is this project proposal part of the applicant's <b>strategy</b> in the country (point 3 of the Single form)? Is the project targeting the most vulnerable populations and regions (points 4.1 and 4.2 of the Single form)? Is the project taking into account: <b>gender, children</b> and people leaving with <b>disabilities</b> (points 4.2.3, 4.3.2 and 5.3 of the Single form)? Is the project taking into account (when relevant) the problem of <b>security</b> and/or <b>access</b> ? What are the contingency plans (point 8 of the Single form)?

*Please note that those proposals not evaluated with a good level of relevance (criteria 1.1 and 1.2) will also not be evaluated further.*

**As a third step, an evaluation** of the **quality of proposals**, including the proposed budget, will be carried out in accordance with the relevance criteria above and the evaluation criteria here under to finally select actions which maximize the overall effectiveness of the Action Plan:

2. Methodology
2.1 How clearly defined and strategically chosen are those involved (intermediaries, final beneficiaries, <b>target groups</b> )? Have the <b>needs</b> of the <b>target groups</b> proposed and the final beneficiaries been clearly defined and does the proposal address them appropriately? Is the <b>target groups' and final beneficiaries' level of involvement and participation in the action</b> satisfactory? (points 2 and 4.2 of the Single form)



<p>2.2 How coherent is the overall design of the action (logical framework)? Are the <b>activities</b> proposed appropriate, practical, and consistent with the local constraints, the objectives and expected results? Is the <b>Action plan</b> clear and feasible (point 4.4 of the Single form) In particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an <b>evaluation</b>? (Points 2, 4 and 8 of the Single form). Are the <b>human resources</b> allocated to the action adequate? (Point 10.1 of the Single form). Is the presence of <b>expatriate</b> staff (or at least with <b>international experience</b>) ensured in order to ensure notably a proper follow-up of DG ECHO procedural rules and be DG ECHO interlocutor in the field?</p>
<p>2.3 Does the proposal contain <b>objectively verifiable indicators</b> for the outcome of the action? (Points 4.3 in the Logical framework of the Single form)</p>
<p><b>3. Sustainability</b></p>
<p>3.1 Are the expected results of the proposed action <b>sustainable</b>:</p> <ul style="list-style-type: none"> <li>- Financially (<i>how will the activities be financed after the EC funding ends?</i>)</li> <li>- Institutionally (<i>Will there be local “ownership” of the results of the action?</i>)</li> <li>- Locally (<i>what are the links and coordination with the relevant authorities?</i>) (point 6 of the Single form)</li> <li>- At policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>)? (points 5 and 6 of the Single form)</li> <li>- Is the action likely to have a tangible <b>impact</b> on its target groups? (point 4 of the Single form)</li> </ul>
<p><b>4. Budget and cost-effectiveness</b></p>
<p>4.1 is the ratio between the estimated costs and the expected results satisfactory (taking into account in particular the level of co-financing)? (points 4.3.2, 10 and 11 of the Single form)</p>
<p>4.2 Is the proposed expenditure <b>necessary</b> for the implementation of the action (adequacy of the budget with the proposed activities)?(points 4, 10 and 11 of Single form and budget breakdown) → <b><u>Please note that costs related to activities must be indicated in the Single form and Logical Framework</u></b></p>
<p>4.3 Are the <b>material</b> resources described in point 4.3.2 and <b>procurement</b> procedures described in annex A in case of Partners under the A control mechanism?</p>

## 6. ESTIMATED TIME-FRAME FOLLOWING RECEIPT OF PROPOSALS AND NOTIFICATION OF THE EUROPEAN COMMUNITY'S DECISION

- DG ECHO intends to evaluate the proposals in **March - April 2009**.
- The pre-selected proposals should be negotiated during the course of **May - June 2009**.
- Most projects are expected to start within the period **15 June – 15 August 2009**.

Applicants will be informed in writing of the European Community's decision concerning their application. Justifications will be provided to the applicant concerning any decision to reject its



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application. European Commission's decision to reject an application or not to award an agreement is final.

The selected applicant will be offered an agreement based on the European Community's standard grant/contribution agreement for Humanitarian actions annexed to the Framework Partnership Agreements (2008) and if relevant, FAFA.

**Bearing in mind that the funding decision has 15/06/09 as starting date, projects cannot have a starting date prior to June 15<sup>th</sup> 2009.**

## 7. Check List of Documents to Send

### Application forms

- The application has been filled in full on the proper form (Single Form)
- The application is typed, in English or French
- A signed cover letter is attached
- The application contains a financial overview of the total eligible costs (i.e. including both the requested European Commission's contribution and the co-financing share) in euro (table 11 of single form).
- The requested European Commission's contribution does not exceed 85.00% of the total eligible costs of the action
- In the financial overview, the overheads do not exceed 7% of the direct eligible costs
- The financial overview includes only eligible costs and no in-kind contribution
- **One** original hard copy with all supporting documents has been sent to the European Commission.
- An electronic copy of the file has been sent to DG ECHO and to ECHO representatives in respective countries (as specified under 7.2)

### Supporting documents

#### For all the applicants:

- All annexes have been attached to the original paper application (hard copy) sent to the European Commission in Brussels,
- All annexes have been copied and sent by email to DG ECHO Brussels and to responsible DG ECHO expert in the field (or burn on CD if too large)
- Correspondence from other bodies (for example governments) on whose participation in whatever way the success or viability of the project may depend;
- Correspondence from other co-financing entities regarding their contribution to the project.
- Description of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources have been attached;



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- ➡ **Curriculum vitae of the main personnel responsible to perform work in connection with the project**, and, if available, a list of staff connected to the project, and a statement on what proportion of their time will be dedicated the project.
- ➡ Further relevant information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations has been attached
- ➡ Map of exact location of the action

## 8. USEFUL LINKS FOR APPLICANTS

**Financing Decision “DIPECHO Fifth Action Plan for South Asia” ECHO/DIP/BUD/2009/02000:**

[HTTP://EC.EUROPA.EU/ECHO/FUNDING/DECISIONS EN.HTM](http://ec.europa.eu/echo/funding/decisions_en.htm)

**Framework Partnership Agreement (FPA) for NGOs and International Organisations:**

[HTTP://EC.EUROPA.EU/ECHO/ABOUT/ACTORS/FPA EN.HTM](http://ec.europa.eu/echo/about/actors/fpa_en.htm)

- ▶ Application form
- ▶ Guidelines for the application form and the financial overview
- ▶ Factsheets on the FPA
- ▶ Frequently asked questions on the FPA
- ▶ Interactive training on new FPA
- ▶ Text of the Framework Partnership Agreement
- ▶ General Conditions applicable to the Agreement

**External evaluations of the DIPECHO South Asia Program, June 2002 and 2008:**

[http://ec.europa.eu/echo/policies/evaluation/thematic en.htm](http://ec.europa.eu/echo/policies/evaluation/thematic_en.htm)

**ISDR, Hyogo Framework for Action, World Campaigns on School safety and Hospitals Safe from Disasters:** [WWW.UNISDR.ORG](http://www.unisdr.org)

**Delhi Declaration on DRR in Asia 2007** [WWW.NDMC.GOV.MV/DOCS/DECLARATION.PDF](http://www.ndmc.gov.mv/docs/declaration.pdf)

Council Regulation (EC, Euratom) No 1605/2002 of 25/06/2002 on the **Financial Regulation** applicable to the general budget of the European Communities (OJ L 248, 16/09/2002) and Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation No 1605/2002

[http://ec.europa.eu/budget/documents/implement\\_control en.htm](http://ec.europa.eu/budget/documents/implement_control_en.htm)



## 9. GLOSSARY

ADB	Asian Development Bank
CC	Climate Change
CBDRR	Community-Based Disaster Risk Reduction
CDMP	Comprehensive Disaster Management Program (Bangladesh)
DM	Disaster Management
DRR	Disaster Risk Reduction
DIPECHO	ECHO Disaster Preparedness Programme
DG ECHO	European Commission Directorate-General for Humanitarian Aid
DFID	Department for International Development (UK)
EC	European Commission
EWS	Early Warning System
FAFA	UN-EC Financial and Administrative Framework Agreement
FPA	Framework Partnership Agreement (ECHO)
HFA	Hyogo Framework for Action
HVCA	Hazard, Vulnerability and Capacity Assessment
ICRC	International Committee of the Red Cross
IEC	Information, Education and Communication (materials)
IFRC	International Federation of Red Cross Red Crescent Societies
IOM	International Organisation for Migration
ISDR	International Strategy for Disaster Reduction
NDRMS	National Disaster Risk Management Strategy (Nepal)
PRA	Participatory Rural Appraisal
SMART Relevant/Realistic,	Specific, Measurable, Achievable/Attributable, Timebound/Trackable/Timely/Targeted (indicators)
UN	United Nations