

EUROPEAN COMMISSION



Humanitarian Aid

## **European Commission**

### **Guidelines for proposals under the**

### **2<sup>ND</sup> DIPECHO ACTION PLAN FOR THE SOUTH-EAST AFRICAN AND THE SOUTH-WEST INDIAN OCEAN REGION**

**for actions in the following countries:**

**THE UNION OF THE COMOROS  
THE REPUBLIC OF MADAGASCAR  
THE REPUBLIC OF MALAWI  
THE REPUBLIC OF MOZAMBIQUE**

***Deadline for submitting proposals to DG ECHO in Brussels:  
26 APRIL 2010, 17:30 CET***

Budget Line 23.02.03

<b>TABLE OF CONTENTS</b>
--------------------------

<b>1. BACKGROUND .....</b>	<b>3</b>
<b>2. OBJECTIVE OF THE 2ND DIPECHO ACTION PLAN FOR THE SOUTH-EAST AFRICAN AND SOUTH-WEST INDIAN OCEAN REGION.....</b>	<b>4</b>
<b>3. PRIORITIES OF THE 2<sup>ND</sup> DIPECHO ACTION PLAN FOR THE SOUTH-EAST AFRICAN AND SOUTH-WEST INDIAN OCEAN REGION.....</b>	<b>4</b>
3.1. General Principles Applicable to Dipecho .....	5
3.2. Disaster Risk Reduction Framework .....	6
3.3. Compulsory Project Components – All Projects .....	8
<b>4. COUNTRY / REGION SPECIFICATIONS.....</b>	<b>12</b>
4.1. The Union of The Comoros.....	14
4.2. The Republic of Madagascar .....	14
4.3. The Republic of Malawi .....	15
4.4. The Republic of Mozambique.....	16
4.5. Multi-Country Initiatives.....	16
4.6. Regional Initiatives .....	17
<b>5. ELIGIBILITY CRITERIA .....</b>	<b>18</b>
5.1. Eligibility of Applicants: Who Can Apply.....	18
5.2. Eligible Operations .....	18
5.3. Eligibility of Costs and Financial Allocation.....	20
<b>6. HOW TO APPLY .....</b>	<b>20</b>
6.1. Application (See Also Checklist in Annex).....	20
6.2. Where and How to Send the Application .....	21
6.3. Deadline for Receipt of Applications .....	22
6.4. Acknowledgement of Receipts.....	22
6.5. Further Information .....	22
<b>7. EVALUATION AND SELECTION OF APPLICANTS .....</b>	<b>23</b>
7.1. Procedure – Summary.....	23
7.2. Procedure – Timing .....	23
7.3. Procedure - Evaluation Of Proposals.....	23
 <u>Annexes:</u>	
Applicants Check List.....	25
Useful Links.....	26
Criteria for Evaluation of Proposals.....	27
HFA Indicators - Indicative DIPECHO Priorities.....	30
List of Acronyms.....	32

## 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.

On 23 March 2010, the European Commission adopted the **Financing Decision ECHO/DIP/BUD/2010/04000 “2<sup>nd</sup> DIPECHO Action Plan for the south-east African and the south-west Indian Ocean region”**, which is the legal basis for the present Call for Expressions of Interest. The total amount of the Decision is € **6,000,000**, covering the period **01/06/2010 – 30/11/2011**.

Applicants should thoroughly consult the reference documents and materials, in particular the text of the Humanitarian Aid Decision ECHO/DIP/BUD/2010/04000. The present guidelines complement these documents by providing additional practical information related to the submission of proposals, namely they set out the rules for the submission, selection, implementation and criteria for project proposals to be financed under the 2nd DIPECHO Action Plan for south-east Africa and the south-west Indian Ocean, in conformity with the provisions of DG ECHO’s Framework Partnership Agreement (FPA) and the Financial Regulations applicable to the general budget of the European Union.

The document reflects the outcomes of consultation processes with Disaster Risk Reduction stakeholders undertaken in all targeted countries, in the framework of the national consultative meetings (NCM), during the period November – December 2009. The priorities defined also integrate prior recommendations from an external ex-ante evaluation conducted in January 2007<sup>2</sup>.

Furthermore, current perspectives of EU co-operation in the field of Disaster Risk Reduction and evaluation of remaining needs in the field of Disaster Preparedness in the region have been taken into account in setting the priorities for the Second DIPECHO Action Plan in terms of risk areas and objectives, taking into account the specific humanitarian mandate established by the Humanitarian Aid Regulation, which focuses on preparedness activities. The Second Action Plan also fits within the Hyogo Framework for Action 2005-2015.

Links to all relevant documents and tools developed to help in the application process can be found at the end of these guidelines and in the country folders.

---

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

<sup>2</sup> See in annex: outcomes of consultative process as well as link to evaluation.

## **2. OBJECTIVE OF THE 2ND DIPECHO ACTION PLAN FOR THE SOUTH-EAST AFRICAN AND SOUTH-WEST INDIAN OCEAN REGION**

The specific objective of the Action Plan is "to increase resilience and reduce vulnerability in local communities and institutions through support to strategies that enable them to better prepare for, mitigate and respond to natural disasters".

This will be achieved primarily by:

- **Fostering appropriate and sustainable preparedness activities** which are co-ordinated with local and national public institutions, and which can be easily **replicated** in other parts of the region and beyond.
- **Reinforcing local response capacities and mechanisms.**
- **Focusing on the areas most exposed to frequent natural hazards and with less coping capacities.** Special attention should be given to remote and difficult to access areas.
- **Targeting the most vulnerable communities** and categories of population with the lowest coping capacities, using bottom-up participatory methods and relevant local materials/resources. Specific attention will be given to projects addressing gender, children and the disabled in line with DG ECHO's strategy related to the most vulnerable populations. Furthermore, a particular attention will be paid to designing activities taking into consideration the specific needs and vulnerabilities of groups living with HIV and AIDS in areas of high prevalence.
- Supporting **small-scale mitigation and prevention activities** which have a demonstrative, complementary purpose and proven impact, and which can be easily replicated in other parts of the region and beyond.

## **3. PRIORITIES OF THE 2<sup>ND</sup> DIPECHO ACTION PLAN FOR THE SOUTH-EAST AFRICAN AND SOUTH-WEST INDIAN OCEAN REGION**

- All proposals shall fit within the strategy elaborated in the Financing Decision ECHO/DIP/BUD/2010/04000, 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. These provide further details on priorities and orientations for DIPECHO in south-east Africa and south-west Indian Ocean for the period 2010-2011, as well as on activities to be addressed in all proposals.

### 3.1. GENERAL PRINCIPLES APPLICABLE TO DIPECHO

In addition to the considerations made in point 3 above, and to the eligibility criteria established in Financing Decision ECHO/DIP/BUD/2010/04000, applicants should pay particular attention to the following principles and general issues applicable to DIPECHO:

- As a priority, DG ECHO will encourage the **consolidation and dissemination** of experience gained under the First Action Plan. The selection process will be competitive, due to an expected large number of applications. DG ECHO will favour complementary actions in each country and regionally and will prioritise **joint initiatives** apt to maximise the Action's impact.
- **Pilot initiatives** remain at the core of DIPECHO interventions, in order to encourage **innovative measures**. The pilot aspect implies that the proposed geographic coverage of an action should be modest. Pilot projects, which have already been tested and demonstrated, should aim at integration into wider frameworks (local planning, development programmes, dissemination tools, etc.).
- Applicants should also take into account the timeframe of a DIPECHO Action Plan. Where required, **multi-phased approaches**, some or parts of which could be considered for DIPECHO funding, may need to be envisaged and carefully developed. Most Community-Based Disaster Risk Reduction (CBDRR) models require several phases (depending on capacities and models proposed) and linkages with development frameworks. Although efforts can be made through continued Action Plans, DG ECHO cannot guarantee consecutive funding phases; it is thus necessary to ensure capacities to fill funding gaps. Therefore for multi-phased, **long-term approaches**, applicants should 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.
- DG ECHO will not support measures that primarily aim to build the Disaster Risk Reduction (DRR) capacity of organisations not familiar with the concepts and processes.
- To be selected, projects should have accrued components of documentation, dissemination, scaling up or advocacy measures for institutionalisation and standardisation of the models piloted.
- Follow-up of projects from the first Action Plan will be considered if the proposal includes a justified **consolidation and an exit strategy with a clear timeline**. This should not prevent the continuation of models not yet shaped or the implementation of different pilots offering **innovative and improved approaches**.
- While the DIPECHO programme concentrates on community-based actions, for pilot projects that have already been tested, **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. Scaling-up shall not consist of sheer replication or geographical expansion.

- **Documentation and dissemination** of the experience already gained, as well as development of tools to promote the integration of DRR into wider frameworks, should be included in the design of the proposals. Actions should look at reviewing good practices and methodologies, in order to support the development of consensual joint education and communication products. Applicants are encouraged to use and disseminate already existing and successfully tested information, education and communication materials (IEC), respecting copyrights.
- **Standardisation** and accrued **coordination** in the development and use of advocacy and communication tools, Information, Educational, and Communication (IEC) materials, and training systems will be required. This also applies to the development of DRR-integrated sectoral approaches.
- DIPECHO aims at **reinforcing local capacities and systems**. Applicants should, therefore, work with and through local organisations and institutions as a priority. These actors should be involved at all stages of the programme (design, implementation, monitoring and evaluation, follow-up and takeover).
- Applicants should ensure that proposed **approaches** are **inclusive** and properly involve (as actors rather than as “recipients” or “vulnerable categories”) **children, the elderly, the disabled, persons living with HIV/AIDS, ethnic groups**, and that they also include **gender** as a cross-cutting issue.
- In the context of DG ECHO’s mandate, DIPECHO has a **short-term nature (15 months projects)**. For this reason applicants should design their actions in order to ensure that the proposed objective can be achieved and measured by “SMART” indicators in this timeframe. **Impact assessments / studies and cost-benefit analyses** are encouraged.
- Applicants may propose **ad hoc, focused or stand-alone disaster preparedness activities**, in particular when they apply an innovative approach.

### 3.2. DISASTER RISK REDUCTION FRAMEWORK

Particular attention will be paid to the **following issues adapted to the south-east Africa/south-west Indian Ocean context**:

- DIPECHO concentrates specifically on **preparedness measures for natural disasters**, which are themselves components of the international **Disaster Risk Reduction agenda**. Any activity which can support an improved integration of DRR measures into wider frameworks will, therefore, 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)**, by concentrating specifically on **preparedness measures for natural disasters**. Applicants are requested to contribute to the HFA reporting process for the region by referring to HFA priorities and when possible to relevant indicators in their proposals<sup>3</sup>.
- As per DG ECHO's priorities, improved and regionally adapted tools on mainstreaming **gender, children, disabled and people affected by HIV and AIDS** 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, disability and HIV and AIDS 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 (CC) cannot be the sole focus of a DIPECHO project. However, DRR measures can integrate Climate Change Adaptation (CCA) components, where relevant and 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, land-use planning and building codes, 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).*
- Recognising that the process of raising risk awareness, risk identification, strengthening capacities, increasing resilience, installing sustainable planning and management systems, etc. at community level is a process that can only be achieved over the long term, DIPECHO will not ignore proposals for disaster preparedness (DP) strategies that are **multi-phased in nature** (i.e. can entail a series of phases financed over  $\geq 1$  action plan)<sup>4</sup>. This might entail for example the following programming phases: inception; consolidation; phase-out and evaluation. For this to be possible the **partner must demonstrate a clearly defined overall intervention strategy at the time of submission** that will **ultimately conclude with phase-out and handover**, either to the target community / institution, the appropriate authorities, or an appropriate longer

---

<sup>3</sup> See table in annex for some possible – but not exhaustive or compulsory - references.

<sup>4</sup> **N.B.** Although willing to accept 15 months proposals that comprise a component part of a multi-phased strategy of engagement, DIPECHO financing is subject to the same financial regulations that govern DG ECHO funding. Consequently, **DIPECHO can offer no guarantee** that funding will be made available for subsequent phases of the strategy.

term funding instrument, such that *sustainability* of actions undertaken is maximised.

- A key interface in the development of DP strategies is the *National Disaster 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.
- The development of all programme strategies to be submitted to DIPECHO must assimilate the *lessons learned* from past DP programming in each respective country and incorporate these in current strategic deliberations.
- DIPECHO favours the **Safer Hospital Campaign** component or actions supporting the implementation at regional and country levels of the **World DRR Campaigns** promoted through the International Strategy for Disaster Reduction (ISDR). The **Safer Hospital Campaign** are measures to improve DRR integration into the health sector and the preparedness levels of health staff and structures.
  - *Non exhaustive examples: awareness raising of staff, policy-makers and planners; health workers' training; development of tools and guidelines for risk assessment, preparedness levels, advocacy, communication etc.; studies on the impact of disasters; integration of lessons learned into planning; improved linkages between the health and disaster management systems; capacity-building etc.*
- DIPECHO projects should contribute to the international, regional and national DRR efforts and priorities identified by governments and non-governmental actors. This will include participation in DRR platforms and coordination. The projects will, in particular and wherever possible, strive to take into consideration the recommendations of the African Regional DRR Platform of May 2009.<sup>5</sup> Links should also be made to the Programme of Action for the implementation of the Africa Regional Strategy for DRR (2006 – 2015).<sup>6</sup>

### 3.3. COMPULSORY PROJECT COMPONENTS – ALL PROJECTS

A series of programme planning and implementation priorities **must be considered by all projects** submitted under the Second Action Plan for south-east Africa and south-west Indian Ocean, in order to be considered eligible for funding:

- 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, with no link to a disaster. This entails a **thorough analysis of the natural disaster context** (at the appropriate scale) that generates the following:
  - i. a typology of hazards in evidence,
  - ii. the determination of the range of negative consequences of these hazards (some of which can be termed disasters),

---

<sup>5</sup> Related documents can be found at the following website: <http://www.unisdr.org/africa/events/v.php?id=8364>

<sup>6</sup> <http://www.unisdr.org/news/v.php?id=13093>

- iii. an analysis of these negative consequences and a prioritisation of those considered most important by the population(s) at risk,
  - iv. a breakdown of the needs ensuing from these hazards and the identification (prioritisation) of those which can most appropriately be addressed by DIPECHO.
- For a **disaster preparedness strategy** (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 thorough 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 intervention strategy.
- In recognition of the complementary nature of DP programming and its contribution to protecting cumulative development gains accrued thus far, all community-based DIPECHO strategies are, in as far as possible, to be **developed within the context of an ongoing, established development strategy** with the target community. DIPECHO support should not be solicited for projects at the community level where a minimum development interface does not already exist. Even where a DIPECHO strategy is introduced as an exit vehicle for the phase-out of a DG ECHO strategy, thereby facilitating the linking of a humanitarian relief intervention with rehabilitation, recovery and development (LRRD), long term development perspectives must be considered.
- **Complementarity with other cooperation instruments of the European Commission.** All projects submitted must be **coherent with** (and ideally contribute to the strategic objective of) **ongoing and planned instruments of EC cooperation** in the third country, including DG ECHO where relevant.
- **Strategic planning and programming should be undertaken in a fully inclusive manner** in order to ensure harmony and promote synergy with other disaster risk reduction strategies in targeted areas of operation (sponsored by other funding sources and executed by other implementing agencies). **Collaborative strategic formulation and planning between prospective DIPECHO partners** in a country (zone) of operation that promotes synergy is encouraged.
- Small-scale mitigation activities are to remain **complementary** (both in terms of strategic priority and resource allocation) to **DP programming**. The resources available under a DIPECHO Action Plan **are not to be considered an alternative funding source** for actions that are eligible for other medium- to long-term funding instruments of the European Commission or other multi- or bi-lateral sources. 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 kind will need to clearly fit within the development of a disaster risk reduction strategy that is both complementary and enhances sustainability. Only those small-scale mitigation activities that have been defined in function of the broader disaster risk management planning process at the local level will be considered eligible.

- The implementation of a successful DP strategy 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, **is likely to negatively affect the attainment of the objectives of the project.** This entails as complete an 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 in order to ensure sustainability and replication.
- 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.
- At the core of the DIPECHO concept is the philosophy of chaperoning **pilot projects in DP so as to identify successful models for replication** elsewhere by other funding instruments of the European Commission, other donors or national governments. It has often been through the application of diverse, occasionally unorthodox strategies, that success could be claimed in terms of acceptability, sustainability and impact.
- Although disaster preparedness as a national policy is commonly in its infancy, many countries have developed **National Disaster Management Legislation, Policies and Plans** to which preparedness and mitigation (and prevention) strategies contribute. The knowledge of, and contribution to these, is considered imperative in the preparation of a project strategy to be submitted to DIPECHO.
- The operation and maintenance of a DP mechanism and its interrelated components, is often a bottleneck for sustainability. It is therefore imperative that strategies **encompass appropriate techniques and solutions, also in terms of costs, and technical assistance designs** that accurately reflect the degree of sustained budgetary commitment that can realistically be expected from 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.

In addition, DG ECHO **expects all proposals** to allocate **costs, human resources and time** to the following actions (preferably in a coordinated manner and from inception):

- **Coordination** mechanisms on DRR at all relevant levels and for appropriate sectors or topics (for instance: education, IEC materials). Where such mechanisms are not in place, DIPECHO partners should *ad minima* organise their own coordination and experience sharing framework, while supporting wider mechanisms in conjunction.

- **Joint activities:** within each target country, a minimal number of joint activities on DRR communication, advocacy, awareness campaigns, visibility events etc. is required.
- Whenever 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 operation is encouraged. Collaborative planning can give rise to joint actions (consortia) or to joint activities implemented through a series of projects.
- A **training plan** should be attached in annex to the proposal, indicating: proposed type of training, target group(s), training entity, proposed training system and duration, outline of training content.
- Proposals should include provisions for supporting, implementing and participating in the actions to be undertaken in 2011 in the framework of the **DRR programming and consultation process** for a possible Third DIPECHO Action Plan for south-east Africa and south-west Indian Ocean. For that component, DIPECHO partners should, preferably, consult experts with multi-sectoral knowledge of facilitating workshops and working groups, collection of lessons-learned and Disaster Risk Reduction. These consultants should also have had experience in organising DIPECHO NCM (in other regions). The Terms of Reference and agenda of NCM should be shared with DG ECHO for approval one month before the event. In order to facilitate cost-sharing every partner should plan at least 1% of the total budget of the action for co-organisation of the NCM, with a minimum amount of EUR 3,000.
- 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.
- When possible and relevant **joint monitoring, impact assessment or evaluation** exercises addressing an area, a topic or sector.
- Proposed **linkages between national and relevant regional initiatives** should be clearly stated in the proposals.
- Cross-visits, exchange of experience and similar promotional activities are encouraged within a country and when relevant within the region.
- When **disseminating products or materials**, potential needs of other recipients (in country or regionally) should be borne in mind (for instance: local NGOs, community facilitators, actors in other countries using other languages etc.). This might imply the preparation of guidance notes for users.
- **Donor visibility and communication activities** are a requirement. Partners should indicate the measures proposed to ensure such visibility, as well as the eventual costs related to these. Innovative communication measures, particularly ones that

are integrated into the activities and implemented jointly with other agencies, are welcomed. Applicants wishing to propose costs higher than those suggested in the DG ECHO communication toolkit<sup>7</sup>, are required to submit a communication plan for approval. Further guidance and tools are provided on DG ECHO's website.<sup>8</sup>

- A group of applicants can propose a joint visibility plan, focusing on local audiences or EU-based targets (or both). Such a plan will have to be approved by DG ECHO.
- Activities related to the **promotion of DRR** (communication and advocacy on DRR, awareness-raising, public events, journalists' visits as part of DRR training etc.) should be included under project results and their associated means and costs.

#### 4. COUNTRY / REGION SPECIFICATIONS

- Key priorities have been elaborated in various levels of details in the [reports of the National Consultative Meetings](#) held in November-December 2009. Applicants are strongly encouraged to review these reports.
- In some countries, the proposed **priority geographical areas** deliberately remain general, given the pilot nature of DIPECHO. Nevertheless, applicants should thoroughly justify their geographical choice, based on the identified natural hazards, vulnerabilities and capacities, as well as strategy of interventions, complementarities with other initiatives, and results of needs assessment.
- The country or regional priorities detailed below are **complementary to the specifications in point 3** of the present document and to the strategic outline laid out in the Financing Decision ECHO/DIP/BUD/2010/04000.
- Interventions in the 2<sup>nd</sup> Action Plan implemented in geographical areas which benefited from interventions under the 1<sup>st</sup> Action Plan should focus, amongst other things, on **consolidating the existing Local risk Management Committees** through mentoring and coaching.

#### **Priorities in terms of geographical areas, hazards and sectors**

Community-based projects aim at reinforcing the coping capacity at local level integrating and coordinating activities at local, sub-national, national and regional levels and contributing to the identification of best practices and standardization of preparedness programmes through the implementation of pilot activities of a demonstrative nature.

---

<sup>7</sup> A limit of 0.5% of the direct eligible costs with a maximum of € 8,000.

<sup>8</sup> If the activities proposed are aimed at saving lives (eg awareness raising of the risks of natural disasters, education campaigns, training brochures and workshops, radio spots to alert beneficiaries on the importance of disaster preparedness, etc) then they are "*operational* communication". If the activities aim at informing the wider population on humanitarian issues (publications explaining the Commission's humanitarian role and the essential messages, events showing the partnership between the Commission and the agency responsible for the project, human interest films on projects being financed by the Commission.), then they are "*institutional* communication". It is therefore very important to distinguish clearly between these two types of communication activity in the Single Form. More guidelines on visibility can be found at: [http://ec.europa.eu/echo/about/actors/visibility\\_en.htm](http://ec.europa.eu/echo/about/actors/visibility_en.htm)

For **community-based projects**, operations must take place in one or more of the following countries : The Union of the Comoros, the Republic of Madagascar, the Republic of Malawi, the Republic of Mozambique.

For **regional projects** aimed at contributing to the compilation of disaster preparedness tools and indicators, the raising of awareness on relevant topics (support to national and regional DRR networks, participation in global campaigns, etc.), to the dissemination of lessons learned on disaster preparedness and to the exchange of experiences at national and regional levels in cooperation with national disaster preparedness systems, activities may take place in one or more of the countries listed. Regional projects must have a proven and direct link to the community level.

**Bi-national projects** in bordering areas of countries (e.g. river basin shared by countries) or in thematic areas of common interest (e.g. cyclone early warning systems) are also welcome.

### **Priorities in terms of sustainability**

- **In all cases, priority will be given to the most vulnerable remote rural areas, but in some cases urban areas** may be considered, especially through components related to education, communication and public awareness.
- All approaches should consider integrating the **lessons learned and experience** from recent disasters, including from neighbouring countries, as well as anticipate future threats, with a focus on low-cost, replicable and sustainable options.
- Continued capacity-building and support for DRR and Disaster Management institutions and mandated actors, in particular the Disaster Management Office's **local structures, the Red Cross branches, local non governmental organisations**, but also **village disaster management units** etc.
- Applicants should ensure the inclusion of a **wider group of stakeholders**, including the private sector and charity associations, universities, the media, cultural and ethnic diversity, vulnerable people etc.

### **Additional Considerations**

- Where relevant, DIPECHO actions may set up links with / be complementary to DG ECHO-funded short-term food security interventions in the same implementing area, in order that vulnerable communities be better prepared to protect their livelihoods in the event of a sudden onset disaster.
- Activities of stockpiling of relief items will be limited to enhancing warehousing and logistical skills, stock management and provision of adequate infrastructures, but will not cover the purchase of the goods themselves. Relief goods for stockpiling might be purchased by local communities or national authorities in order to ensure sustainability.

- Applicants, in particular new ones, are advised not to be too ambitious in terms of geographical coverage, giving privilege to quality and intensity over geographical extension and number of beneficiaries.

The following sections summarise the priorities per country in terms of geographical areas and hazards for the Second DIPECHO Action Plan for Southern Africa and the Indian Ocean. These priorities are the result of the national consultative meetings organised in November-December 2009<sup>9</sup>. However, other interventions including a different type of hazard are possible in the framework of a multi-hazard approach.

#### 4.1. THE UNION OF THE COMOROS

Focusing on a multi hazards approach, priority will be given to projects targeting any of the following geographical areas and hazards:

- **Grande Comore – Ngazidja island** : volcanic eruptions and associated secondary hazards (**centre and south**), floods, windstorms (**east**), tidal waves.
- **Anjouan**: floods (**south-west**), landslides, tidal waves.
- **Mohéli**: floods, windstorms, landslides (**north and north-west**), tidal waves.

The following intervention sectors have been prioritised:

- |  |
|--|
| <ul style="list-style-type: none"> <li>➤ Local capacity building, including elaboration of emergency plans at community level</li> <li>➤ Institutional strengthening at community level</li> <li>➤ Early warning systems</li> <li>➤ Education and awareness</li> <li>➤ Small-scale mitigation works and infrastructure support: accessibility to clean water</li> <li>➤ Stock building of emergency medical items and training on the management of stocks of non-food items constituted by the communities</li> </ul> |
|--|

#### 4.2. THE REPUBLIC OF MADAGASCAR

Focusing on a multi hazards approach, priority will be given to projects targeting any of the following geographical areas and hazards:

- **North, north-west and north-east Madagascar**: windstorms and floods.
- **East and south-east Madagascar**: windstorms and floods.
- **Western Madagascar**: windstorms and floods.

---

<sup>9</sup> For further details regarding these priorities, please refer to the country papers.

The following intervention sectors have been prioritised:

- Local capacity building, including elaboration of emergency plans at community level, and training on methods to maintain livelihoods
- Institutional strengthening at community level
- Early warning systems taking account of local languages
- Education and awareness
- Small-scale mitigation works and infrastructure support: dykes and channels; grain storage facilities and community warehouses; community shelters. Replication and systematization of dwellings/public buildings resistant to floods
- Stock building of emergency medical items and training on the management of stocks of non-food items constituted by the communities, including spare parts for water supply systems

### 4.3. THE REPUBLIC OF MALAWI

Focusing on a multi hazards approach, priority will be given to projects targeting any of the following geographical areas and hazards:

- **Northern Malawi:** floods.
- **Southern shore of Lake Malawi – south-east Malawi:** floods.
- **South-west Malawi:** floods

The following intervention sectors have been prioritised:

- Local capacity building, including strengthening of community communication systems, and training on methods to maintain livelihoods
- Institutional strengthening, developing standard training materials
- Early warning systems
- Education and awareness, including on water-borne diseases and vermin resulting from natural disasters
- Small-scale mitigation works and infrastructure support: Creation / improvement of storage facilities (livelihood, NFIs) and reforestation; protection on river banks against erosion, decreasing risk for populations exposed to floods of attacks of wild fauna; replication and systematization of dwellings/public buildings resistant to floods
- Stock building of emergency medical items and training on the management of stocks of non-food items constituted by the communities

Particular attention should be given to the fact that the design of the actions should integrate the specific needs of the population affected by HIV/AIDS (population under Antiretroviral therapy, high vulnerability to health risks, households headed by orphans and/or elders, etc...)

#### 4.4. THE REPUBLIC OF MOZAMBIQUE

Focusing on a multi hazards approach, priority will be given to projects targeting any of the following geographical areas and hazards:

- **Northern Mozambique:** Cyclones as first priority, and subsequently floods (basin of the Licungo river), earthquakes and bushfires.
- **Provinces of Niassa and Manica; inland areas of Sofala province:** Earthquakes
- **Central Mozambique:** Floods (basins of the Lower Zambezi and Save rivers), earthquakes, bushfires
- **Southern Mozambique:** Cyclones (coastal areas of Inhambane province) as first priority, and subsequently floods (basin of the Limpopo river) and bushfires.

The following intervention sectors have been prioritised:

- Local capacity building
- Institutional strengthening.
- Early warning systems (earthquakes, floods and cyclones), hydrological and geophysical studies
- Advocacy
- Education and awareness,
- Small-scale mitigation works and infrastructure support: replication and systematization of dwellings/public buildings resistant to cyclones/earthquakes; community grain storage facilities in flood-prone areas; protection against erosion, decreasing risk for populations exposed to floods of attacks of wild fauna
- Stock building of emergency medical items and training on the management of stocks of non-food items constituted by the communities

Particular attention should be given to the fact that the design of the actions should integrate the specific needs of the population affected by HIVAIDS (population under Antiretroviral therapy, high vulnerability to health risks, households headed by orphans and/or elders, etc...)

#### 4.5. MULTI-COUNTRY INITIATIVES

- An action can cover several countries. Multi-country actions should have one objective only, with a coherent focus (e.g. geographical, sectoral, on type of hazards and/or type of activities), leading to a coherent set of results.
- Applicants should ensure that each country component is subject to appropriate management and that the proposal elaborates on the respective tasks and responsibilities of each office involved in the follow-up of the action.

#### 4.6. REGIONAL INITIATIVES

- As part of, or in complement to the issues identified in **point 3.2** of the present guidelines, priority will be given to “service providing” actions related to:
  - Networking, experience sharing; continued development, promotion and dissemination of DRR good practices and tools adapted to the region’s context.
  - Communication and advocacy measures, public campaign and awareness tools and their implementation mechanisms.
  - DRR capacity-building and training, including in sectors such as education, health, livelihood etc.
  - Education measures for local actors or entities.
  - Improvement of DRR-inclusive approaches, in particular involving the disabled, the elderly, the most vulnerable, and properly addressing cross-cutting issues.
  - Improvement of DRR indicators, impact measurement, cost-analysis, monitoring and evaluation standards and any other tools or methodologies.
- Regional and sub-regional initiatives can address equally groups of hazards, topics, sectors or target actors, or they can single them out as required.
- **Components with a strong country focus should be implemented locally** by and through country-based actors/agencies, rather than through regional initiatives. The latter should be devoted to promotion of 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. When necessary, focal points in the relevant countries, to be based within established structures or organisations, should 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 DRR national initiatives** to be supported in the countries involved.
- Linkages, consolidation and complementarities with other existing and planned regional DRR initiatives are crucial.
- A regional initiative to compile experiences on hazard-proof construction techniques and urban planning, as well as in providing technical support to DIPECHO partners in small-scale mitigation infrastructures.

## 5. ELIGIBILITY CRITERIA

### 5.1. ELIGIBILITY OF APPLICANTS: WHO CAN APPLY

- Non-profit making organisations having signed the Framework Partnership Agreement (FPA) with DG ECHO,
  - International organisations and agencies with FPA<sup>10</sup> and FAFA<sup>11</sup>,
  - Other International Organisations without FPA<sup>12</sup>,
  - Member States' specialised agencies.
- All agencies should work through and with local organisations and institutions with which they have established sound partnerships, with the purpose of capacity-building, ownership-development and handover.
  - A consortium of agencies can apply. In such a case, the application should be made by a lead agency belonging to one of the eligible categories mentioned above and which will be responsible for all operational, administrative, legal and financial matters vis-à-vis the European Commission. Copy of the agreements/MoU concluded among the parties to the consortium will be requested.
  - Applicants must be directly responsible for the preparation and management of the action, not acting as an intermediary.
  - Potential applicants may not participate in the call for expression of interest or be awarded grants if, in accordance with Article 114 of the Financial Regulation applicable to the general budget of the European Union (Council Regulation N° 1605/2002), they are in one of the situations referred to in Articles 93 and 94 of the same Regulation.
  - It should be noted that the list of potential partners inserted in point 6.2 of the Financing Decision ECHO/DIP/BUD/2010/04000 is not exhaustive and definitive. This list will be updated in line with the final selection of eligible applicants following the evaluation process.

### 5.2. ELIGIBLE OPERATIONS

#### Duration of actions

- The duration of an action should be **maximum 15 months**.
- The action can start at the earliest on **1 June 2010**.
- All actions will have to take place during the period 1 June 2010 – 30 November 2011 (with the exceptional cases of *force majeure* as described under point 3 of the Financing Decision ECHO/DIP/BUD/2010/04000).
- A grant 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, but in no case prior to 1 June 2010. In such a case it is the applicant's own responsibility and risk to finance expenditures arising between the proposed start date and the signature of the grant agreement. The unilateral commencement of

---

<sup>10</sup> ICRC, IFRC and IOM

<sup>11</sup> UN agencies having signed the EC-UN Framework Administrative and Financial Agreement.

<sup>12</sup> International Organisations other than ICRC, IFRC and IOM interested in submitting project proposals for the present Financing Decision should contact DG ECHO B2 Unit ([echo-fpa@ec.europa.eu](mailto:echo-fpa@ec.europa.eu)).

activities does not constitute or imply any legal obligation for the European Commission to sign a grant agreement.

#### Location of actions

- Projects are to be implemented in one or several of the following eligible countries: the Union of the Comoros, the Republic of Madagascar, the Republic of Malawi, the Republic of Mozambique.
- Applicants can consider the participation of relevant organisations or persons based in Kenya, the Republic of South Africa and the "Département d'outre-mer" of La Réunion (France) in some of the activities proposed in their project for knowledge-sharing, in particular in the case of sub-regional and regional initiatives.

#### Number of projects

- An applicant may submit more than one proposal for a country or in the region.
- An applicant may be awarded more than one grant in a country or in the region.

#### Type of Activities and Target Groups

- The eligible disaster preparedness components and target groups are detailed in points 1.3 and 2 of the supporting document of Financing Decision ECHO/DIP/BUD/2010/04000.
- 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 components. Replenishment of stocks already purchased cannot be supported. Actual stock-building will only cover emergency medical items. Activities for stocks of non-food items will be limited to the provision of training on procedures of stock management with the emphasis being that the communities have constituted the items themselves.
- Activities should be implemented in an integrated manner through mandated actors and agencies. Applicants should ensure that the scope and design of the project are realistic and achievable within the proposed timeframe, and that agencies have the adequate skills in the proposed sectors. An adequate level of transparency and accountability needs to be ensured.
- Actions should 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.

The following actions will not be considered eligible:

- Actions merely seeking to address structural issues, for example of food insecurity, inadequate delivery of basic services, or poverty reduction.
- Projects addressing as a main issue drought preparedness (slow onset and therefore not within the remit of the framework of sudden natural disasters), epidemics preparedness, health/food security surveillance systems, pest infestation (locusts, rodents etc.), as well as man-made threats such as unexploded ordnance.
- Individual sponsorships for participation in workshops, seminars, conferences, congresses and individual scholarships for studies or training courses.

### **5.3. ELIGIBILITY OF COSTS AND FINANCIAL ALLOCATION**

- The overall amount made available for the Action Plan is EUR 6,000,000.
- There is no specific pre-allocation per country. However, some general orientations will be taken into consideration when approving a project in each country (see point 4 above) to ensure the achievement of DG ECHO's strategic priorities both at country and regional levels
- DG ECHO's contribution per each individual action will not be less than € 200,000, except in well justified, specific frameworks.
- Applicants are reminded that the level of costs for a designed action and timeframe have to be realistic. This aspect will be closely assessed during the proposals evaluation process.
- DG ECHO's contribution will not exceed 85% of the total eligible costs of the action.
- The balance of at least 15% of the total eligible costs must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget. There is no upper limit to the applicant's co-financing share and as a consequence to the total amount of the action.
- Indirect costs (overheads) cannot exceed 7% of the direct eligible costs.
- The proposal, both in the narrative and financial documents, should reflect the full amount proposed (ie the co-financing and the contribution requested to ECHO, without separate earmarking).
- The definition and criteria of cost eligibility are detailed in the General Conditions of the FPA or, for international organisations, in the corresponding framework agreement (e.g. FAFA).
- Eligible costs must be based on real costs and indicated in Euro.
- No reserve will be allowed.

## **6. HOW TO APPLY**

### **6.1. APPLICATION (See also checklist in annex)**

#### **6.1.1 Application forms**

- Applications must be submitted on the latest version of the Single Form, available on DG ECHO's website.

- The complete application must include the Single Form as well as a signed cover letter and the relevant supporting documents.
- Applicants must apply in either English or French<sup>13</sup>.
- Hand written applications will not be accepted.

### **6.1.2. Supporting documents accompanying the application**

- The Single Form should include a map of the project's location as well as a work plan.
- The application should include:
  - The information requested in point 3.3 of the present guidelines, in particular a training plan and, if applicable, a visibility plan.
  - Terms of reference of studies, evaluations, audits for the project.
  - Correspondence from any relevant entities such as local partners, authorities and institutions, upon whom the success or viability of the project may depend.
  - A brief description of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources.
  - 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.
  - Any other annex considered important.
- The annexes must be submitted officially and timely as a full part of the application.

## **6.2. WHERE AND HOW TO SEND THE APPLICATION**

### **6.2.1 Applications must be received in full at the address below in one original, paper copy:**

Postal address:

DG ECHO– Unit A2  
 Second DIPECHO Action Plan for south east African and south-west Indian  
 Ocean Region  
 For the attention of the Head of Unit, Mr Cornelis WITTEBROOD  
 AN 88, 05/44  
 European Commission  
 B-1049 Brussels

---

<sup>13</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.

Address for hand delivery or delivery by private courier:

DG ECHO– Unit A2

Second DIPECHO Action Plan for south east African and south-west Indian Ocean Region

For the attention of the Head of Unit, Mr Cornelis WITTEBROOD

Avenue du Bourget, 1 (Courrier central)

B-1140 Brussels

**6.2.2 In addition, an electronic copy of the full application must be sent simultaneously to the following email addresses:**

[ECHO-CENTRAL-MAILBOX@ec.europa.eu](mailto:ECHO-CENTRAL-MAILBOX@ec.europa.eu)

[clementina.tibazarwa@ec.europa.eu](mailto:clementina.tibazarwa@ec.europa.eu)

[borja.cuervo-alonso@ec.europa.eu](mailto:borja.cuervo-alonso@ec.europa.eu)

**6.2.3 Size of electronic documents**

- The size of the email application can not exceed 10 MB.
- In case the complete application exceeds this limit, the supporting documents can be sent in several batches of emails, or on a CD, within the set deadline.

**6.3. DEADLINE FOR RECEIPT OF APPLICATIONS**

- The deadline for the receipt of applications, in both hard and electronic formats, is **Monday 26 April 2010, 17:30 CET.**
- Any application received after the deadline is not guaranteed to be taken into consideration even if the postmark indicates a date preceding the deadline or if the delay is due to the private courier service.

**6.4. 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.

**6.5. FURTHER INFORMATION**

- Questions may be sent by e-mail or fax to either address indicated below. Questions that may be relevant to other applicants, together with the answers, will be made available to all interested applicants.

*ECHO Brussels:*

Clementina Tibazarwa

Desk Officer Southern Africa / Indian Ocean

[clementina.tibazarwa@ec.europa.eu](mailto:clementina.tibazarwa@ec.europa.eu)

Fax: +32.(0)2.299.28.77

*ECHO Harare:*

Borja Cuervo

Technical Assistant Southern Africa / Indian Ocean

[borja.cuervo-alonso@ec.europa.eu](mailto:borja.cuervo-alonso@ec.europa.eu)

Fax: + 263 4 775 075

## **7. EVALUATION AND SELECTION OF APPLICANTS**

### **7.1. PROCEDURE – SUMMARY**

- Applications will be examined and evaluated by DG ECHO with the possible assistance of assessors from other services of the Commission involved in co-operation programmes in the region.
- Each individual operation submitted by applicants will be assessed according to the criteria indicated below in “procedure – evaluation of proposals” and in annex.
- A second step in the evaluation will relate to the overall consistency and synergy among preselected quality proposals and with other ongoing interventions in the field of Disaster Risk Reduction in each country/the region. Proposals at regional or sub-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.
- The third and final step will look at weighting the pre-selected quality proposals with the financial allocation available as well as with proposed trends in each country.
- Applicants will be informed in writing about the European Commission's decision concerning their application.
- Justifications will be provided to the applicant concerning any negative decision.
- The European Commission’s decision to reject an application or not to award a grant is final.

### **7.2. PROCEDURE – TIMING**

- DG ECHO intends to evaluate the proposals in **May 2010**.
- The pre-selected proposals should be discussed and refined during the course of **May-June 2010**.
- The majority of projects are expected to start within the period **1 June – 1 August 2010**.
- The selected applicant will be offered the possibility of signing a Grant or Contribution Agreement with DG ECHO.

### **7.3. PROCEDURE - EVALUATION of PROPOSALS**

#### **7.3.1 Administrative compliance**

- Verification that the application is complete in accordance with instructions in point 6.1 and in the check list in annex.
- DG ECHO reserves the right to reject the applications that fail to fulfil these criteria.

#### **7.3.2 - Eligibility of the applicants, partners and operations**

- Verification that the applicant and the proposed actions are eligible according to the criteria set out in point 5.

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

### **7.3.3 - Evaluation of the proposals**

- Evaluation of the applicants' **operational capacity** in the country/region and in terms of professional competencies and qualifications required to successfully complete the proposed action. This also applies to partners of the applicant.
- The **relevance of the proposal** will be appraised on the basis of priorities raised in points 3 and 4 and the evaluation criteria submitted in annex.

## APPLICANTS CHECK-LIST

### **Application form**

- The application has been filled in full in the proper format (Single Form)
- The logical framework, activity schedule of the action, and the map of the location(s) have been inserted in the proposal
- 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 contribution requested from European Commission and the co-financing share) in euro.
- The contribution requested from the European Commission does not exceed 85% of the total eligible costs of the action
- The indirect costs do not exceed 7% of the direct eligible costs
- The total eligible costs include only eligible costs and not in-kind contributions
- One original application (hard copy) with all supporting documents has been sent to DG ECHO in Brussels by Friday 23 April 2010, 17:30 CET
- An electronic copy of the file has been sent to DG ECHO Brussels to: [ECHO-CENTRAL-MAILBOX@ec.europa.eu](mailto:ECHO-CENTRAL-MAILBOX@ec.europa.eu) and to [clementina.tibazarwa@ec.europa.eu](mailto:clementina.tibazarwa@ec.europa.eu)
- An electronic copy of the file has been sent to DG ECHO field office in Harare to: [borja.cuervo-alonso@ec.europa.eu](mailto:borja.cuervo-alonso@ec.europa.eu)

### **Supporting documents**

- All annexes have been attached to the original paper application sent to DG ECHO
- All annexes have been sent by email and/or CD to DG ECHO Brussels
- All annexes have been copied and sent by email and/or CD to DG ECHO field office
- Relevant correspondence from other entities important to justify the sustainability of the action and the involvement of local stakeholders in the preparation and implementation of the action.
- Particulars of current or earlier participation in disaster risk reduction operations financed by the European Commission or other sources
- Further relevant 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
- Draft terms of reference and memorandum of understanding related to proposed services, partners etc. and notably in the case of consortia
- Training plan
- Visibility plan (in case costs are higher than 0.5% of the direct eligible costs)
- Curriculum vitae of the main personnel responsible for implementing the activities of the project.

## USEFUL LINKS FOR APPLICANTS

- 📖 Financing Decision "DIPECHO Second Action Plan for the south-east African and south-west Indian Ocean Region "  
[ECHO/DIP/BUD/2010/04000](http://ec.europa.eu/echo/dip/bud/2010/04000)
- 📖 **Preparation of the 2<sup>nd</sup> Action Plan for the south-east African and south-west Indian Ocean Region**, November-December 2009: [outcomes of the DIPECHO National Consultative Meetings](#) in Comoros, Madagascar, Malawi, Mozambique.
- 📖 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 (Single Form)
  - Guidelines for Single Form and financial information
  - FPA Factsheets, Frequently asked questions, interactive training and Help-Desk
  - FPA regulations and documents; General Conditions
  - [Communication and Visibility Toolkit](#)
- 📖 [DG ECHO's Policies and Evaluations](#)
- 📖 [Council Regulation No 1605/2002 of 25/06/2002 on the Financial Regulation applicable to the general budget of the European Union](#) (OJ L 248, 16/09/2002) and Commission Regulation No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation No 1605/2002

### **OTHER INFORMATION**

- 📖 General information on [DIPECHO](#)
- 📖 [DIPECHO project sheets of the 1st Action Plan](#)
- 📖 [EU Strategy on supporting Disaster Risk Reduction in developing countries](#)
- 📖 [International Strategy for Disaster Reduction](#), Hyogo Framework for Action
- 📖 [Programme of Action for the Implementation of the Africa Regional Strategy for DRR \(2006 – 2015\)](#)
- 📖 World Campaign on [Safe Hospitals](#)
- 📖 Country and Regional Strategy Papers for the [10<sup>th</sup> EDF](#)

Criteria for Evaluation of Proposals	Single Form
<b>Relevance and Methodology</b>	
Relevance vis-à-vis the <b>Specific objective</b> , and one or several of the <b>priorities</b> of the Financing Decision and points 2 and 3 of the present Guidelines.	4.3.1
The entry point of the proposed action is <b>natural hazard(s)</b> .	2, 3, 4.3, annexes
<b>Criteria</b> and methodologies used to identify hazard(s), their recurrence, frequencies and impact, the levels of <b>vulnerabilities</b> , and needs and constraints of target populations are clearly detailed and justified, based on reliable data, assessment, maps, scientific information from appropriate institutions.	2, annexes
The <b>most vulnerable populations and regions</b> are targeted.	2, 4.1, 4.2
<b>Pilot aspects are core</b> to the strategy, aiming at demonstrating successful models for replication. Projects having already undergone several phases should aim at consolidation, up-scaling and dissemination, or a hand-over/exit (3-4 phases), in the framework of LRRD.	(2,) 3, 4.3.2, 5
Strategies encompass <b>low-cost solutions</b> . The action design takes into consideration the degree of take-over and commitment that can realistically be expected from national, sub-national and/or local budgets or actors.	(2,) 4.3.2, 5
The action builds on and <b>merges technical knowledge with indigenous knowledge</b> , respecting the socio-cultural contexts, thereby not only assuring an acceptable, effective system and capacities but also consequently maximising the longevity of ownership and sustainability.	(2,) 4.3.2, 5
<b>Community-based disaster preparedness measures</b> are developed within <b>ongoing or planned development strategies</b> in the target communities.	2, 3, 5, (6, 7)
The consolidation, implementation and dissemination by local actors of bottom-up participatory methods such as Hazard Vulnerability Capacity Assessment ( <b>HVCA</b> ) and Participatory Rural Appraisal ( <b>PRA</b> ) are proposed. These methodologies favour the relevant <b>local practices</b> , materials and resources that can easily be replicated.	4, 5, (6, 7, 10)
One or more of the proposed <b>eligible activities</b> are considered, based on the applicant's experience, mandate and specialisation. The proposed intervention is realistically integrated into and balanced within the short timeframe of DIPECHO.	4.3, 4.4
When considered, <b>small-scale mitigation measures</b> , whether structural or non-structural, are for demonstrative purposes and complement other components (in particular capacity-building and training). They are <b>linked to a natural hazard</b> and are designed as the result of appropriate methods (e.g. HVCA-like process). They look at affordable and easily replicable models in neighbouring areas and when relevant in the country/region. Sustainable operations and maintenance schemes are foreseen, including if necessary the establishment of communal/district activities generating resources for enhanced mitigation of consequences of the targeted hazard.	(2,) 4.3, 4.4, 4.5, 5, 7, 10
<b>Relevant public entities, officials and stakeholders at the appropriate levels have been consulted in the design and will be involved at all stages</b> of the action (preparation, implementation, monitoring and evaluation, as well as follow-up and hand-over where/when feasible). Agreements by local authorities have been secured.	2, 4.2, 5, 6, 7, supporting documents

<b>Capacity-building</b> of local organisations and institutions, as well as mandated agencies such as the national Red Cross/Red Crescent Societies is appropriately considered. Where capacities and mandates exist, the action is implemented through or in close cooperation with the identified relevant local actors.	2, 4.2, 4.3, 4.5, 5, 6, 7, 10
The <b>compilation, dissemination</b> and in particular <b>integration of lessons learned</b> into the applicant's own programmes and strategies, those of their partners, as well as more widely to relevant stakeholders in the country and when relevant region, are systematically considered, preferably in a coordinated/joint manner.	2, 3, 4.3, 6, supporting documents
The action fits within the established <b>DRR legal, policy and planning frameworks</b> and contributes to their implementation and consolidation, in particular at the appropriate sub-national and local levels. When those frameworks do not exist or should be updated, adequate supporting actions are considered.	2, 3, 4.3, 5, 6, 7
Strategic planning and programming are undertaken in a fully inclusive manner, so as to ensure a coherent approach and promote <b>synergy with other DRR strategies</b> in the targeted areas of operation.	2, 3, 5, 6, 7 supporting documents
When feasible, the action aims at contributing to the strategic objective of ongoing and planned instruments of the <b>European Union</b> .	3, 5, 6
Support to and participation in <b>coordination mechanisms</b> existing or needed <b>at field/sub-national and national levels</b> , are included. This takes into account linkages with other ongoing initiatives funded by other donors.	4.3, 6
The identity and needs of the persons/entities involved in the action and in general the <b>target groups</b> are clearly defined. The proposed activities address them appropriately.	4.2, 4.3
The <b>target beneficiaries</b> have been involved in the project design and preparation, and their role in project implementation is clear.	4.2.5
Approaches are inclusive and appropriately address <b>gender, children, disabilities, the elderly, ethnic groups, HIV/AIDS</b> , and other relevant cross-cutting issues.	4.2, 4.3, 4.5, 5
<b>Risk assessment and assumptions</b> have been taken into consideration and appropriate measures foreseen to palliate the risks. Security and access have been properly assessed	4.3.1, 4.4, 8.1
The <b>activities</b> proposed are appropriate, practical and consistent with the local constraints, the objectives and expected results.	4.3
The <b>action plan</b> is clear and feasible. It reflects the analysis of the problems involved, takes into account external factors and when relevant anticipate evaluation processes.	4.4, 4.5, 8.1
The proposed human resources are adequate in terms of supervision, management, expertise and programme implementation, in the country and in DRR-related skills.	(4.3, 4.5), 10
The proposal contains <b>indicators objectively verifiable within the timeframe of the operation</b> for the outcome of the operation (SMART).	4.3, 4.5, (5)
The proposal refers to the HFA, its priorities and if possible its core indicators.	4.3
The expected results of the proposed operation aim at <b>sustainability over a clearly indicated period of time:</b> - Financially - <i>How will the activities be financed after the EU funding ends?</i> - Institutionally - <i>Will there be local "ownership" of the results of the operation?</i> - Locally - <i>What are the links and coordination with the relevant authorities?</i> - At policy level, where applicable - <i>What will be the structural impact of the</i>	(4.2.5), 4.3, 5, (6), 7, supporting documents

<p><i>operation, e.g. will it lead to improved legislation, codes of conduct, methods etc.?</i></p> <p>- Will the operation have a tangible <b>impact</b> on its target groups?</p>	
<b>Budget and cost-effectiveness</b>	
<p>The cost allocation and the proposed means for each result are appropriate and justified, given the expected outputs.</p> <p>The ratio between the estimated costs for the EU and the expected results is satisfactory, taking into account the level of co-financing.</p>	4.3.2 (means and costs, other costs), 10, 11
<p>The proposed expenditure is <b>necessary</b> for the implementation of the action.</p> <p>The costs (including for management) are adequate to the proposed activities.</p>	4.3.2, 10, 11
<p>Means and costs related to results and activities are sufficiently explained.</p>	4.3.2 (means and costs, other costs), 11
<p><b>Material</b> resources and services needed are properly described.</p> <p><i>Both P- and A-partners should provide sufficient information in means and costs/ other costs and where relevant. Only A-partners need to fill in Annex A.</i></p>	4.3.2 (means and costs, other costs), 4.5, 11, Annex A
<b>Other</b>	
<p>Visibility measures have been included (activities in point 9 with costs indicated in “other costs” of point 4.3.2 and in the relevant line in point 11).</p> <p>A visibility plan has been submitted (in case the proposed visibility costs are higher than 0.5% of the direct eligible costs).</p>	4.3.2 (other costs), 9, 11
<p>A training plan has been submitted.</p>	Annex

<b>HFA Priorities and Proposed Indicators</b> <sup>14</sup>	<b>Indicative Priority and Relevance for DIPECHO</b>
<p>1. Ensure that disaster risk reduction (DRR) is a national and a local priority with a strong institutional basis for implementation</p> <p>Support countries and their institutions in:</p> <ol style="list-style-type: none"> <li>1.1. Engaging in multi-stakeholder DRR dialogue.</li> <li>1.2. Strengthening mechanisms for systematic coordination for DRR.</li> <li>1.3. Assessing and developing the institutional basis for DRR.</li> <li>1.4. Prioritising DRR and allocating appropriate resources.</li> </ol> <p>Support to the following possible indicators:</p> <ul style="list-style-type: none"> <li>• Contribution to / advocacy for a legal framework for DRR with explicit responsibilities defined for all levels of government.</li> <li>• Contribution to the operationalisation of / participation in national multi-sectoral platform for DRR.</li> <li>• Contribution to the development or implementation mechanisms of a national policy framework for DRR and its plans and activities at all administrative levels, from national to local levels.</li> <li>• Support to identification of / advocacy measures for dedicated and adequate resources are available to implement DRR plans at all administrative levels.</li> </ul>	<p><b>Medium.</b> Focus on advocacy &amp; institutional linkage, including the promotion of CBDRR.</p> <p>Participation and contribution to dialogue and coordination efforts. If necessary, temporary or start up support to mechanisms can be provided.</p> <p>Assist institutions in identifying priorities and with capacity-building measures.</p> <p>Community aspirations and local priorities should be voiced in such dialogue and frameworks.</p>
<p>2. Identify, assess and monitor disaster risks and enhance early warning</p> <p>Supporting countries and their institutions in</p> <ol style="list-style-type: none"> <li>2.1. Contributing to or linking with initiatives for countrywide risk assessments.</li> <li>2.2. Reviewing the availability of risk-related information and the capacities for data collection and use.</li> <li>2.3. Assessing capacities and strengthening early warning systems.</li> <li>2.4. Developing communication and dissemination mechanisms for disaster risk information and early warning.</li> </ol> <p>Support to the following possible indicators:</p> <ul style="list-style-type: none"> <li>• National risk assessments based on hazard data and vulnerability information are available and include risk assessments for key sectors.</li> <li>• Systems are in place to monitor, archive and disseminate data on key hazards and vulnerabilities.</li> <li>• Early warning systems are in place for all major hazards.</li> <li>• <b>Early warnings reach and serve people at the community level.</b></li> </ul>	<p><b>Medium to High</b> (depending on level). Focus on Local DM components, IEC and on institutional linkage.</p> <p>Priority for actions which ensure that communities are part of the EWS developed, are well informed, are contributing to systems.</p> <p>2.3: High priority for EWS at local level and for linkage with higher level systems.</p> <p>2.4: Is a high priority.</p> <p>Linkage with HFA Priority 5 is crucial.</p>
<p>3. Use knowledge, innovation and education to build a culture of safety and resilience at all levels</p> <p>Supporting countries and their institutions in:</p> <ol style="list-style-type: none"> <li>3.1. Developing programmes to raise awareness of DRR.</li> <li>3.2. Including DRR in the education system and the research community.</li> <li>3.3. Developing DRR training for key sectors.</li> <li>3.4. Enhancing the compilation, dissemination and use of DRR information.</li> </ol> <p>Contribution to the following possible indicators:</p> <ul style="list-style-type: none"> <li>• National public awareness strategy for DRR exists that reaches all communities and people of all education levels.</li> <li>• School curricula at all levels include DRR elements and instructors are trained in disaster risk reduction at national through to</li> </ul>	<p><b>High.</b> Focus on IEC, advocacy and institutional linkage, local DM components.</p> <p>All are high priorities.</p>

<sup>14</sup> Words into Action, <http://www.unisdr.org/eng/hfa/docs/Words-into-action/Words-Into-Action.pdf>

local levels.	
4. Reduce the underlying risk factors	<b>Medium to High.</b> Local DM component, small scale demonstrative infrastructure and services, advocacy and institutional linkage.
Supporting countries and their institutions in	4.1 & 4.2: Support to:
4.1. Environment: Incorporate DRR in environmental and natural resources management.	- methodologies and tools for improved integrated approaches and cross-cutting issues;
4.2. Social needs: Establish mechanisms for increasing the resilience of the poor and most vulnerable.	- inclusive approaches, taking into consideration the needs, capacities and vulnerabilities of the most vulnerable.
4.3. Physical planning: Establish measures to incorporate DRR in urban and land-use planning.	4.3 & 4.4: Support to improvement of norms and local planning, advocacy for enforcement of norms; pilots for disaster-resistant constructions and methodologies; risk assessment tools.
4.4. Structures: Strengthen mechanisms for improved building safety and protection of critical facilities.	4.5 & 4.6: Advocacy measures
4.5. Stimulate DRR activities in production and service sectors.	4.7: Training, awareness raising, tool development etc.
4.6. Financial/economic instruments: Create opportunities for private-sector involvement in DRR.	
4.7. Disaster recovery: Develop a recovery planning process that incorporates DRR.	
Contribution to the following possible indicators:	
<ul style="list-style-type: none"> <li>• Environmental protection, natural resource management and climate change policies include DRR elements.</li> <li>• Specific policies and plans are being implemented to reduce the vulnerability of impoverished groups.</li> <li>• Land-use development zoning and plans and building codes exist and include disaster risk related elements which are rigorously enforced.</li> <li>• A long-term national programme is in place to protect schools, health facilities and critical infrastructure from common natural hazard events.</li> <li>• A procedure is in place to assess the disaster risk implications of major infrastructure project proposals.</li> </ul>	
5. Strengthen disaster preparedness for effective response at all levels	<b>High.</b> All components.
Supporting countries and their institutions in:	Priority for pilots at local level, in particular through CBDRR models and tools; promotion and dissemination of experience
5.1. Develop a common understanding and activities in support of disaster preparedness.	Institutionalisation measures for CBDRR.
5.2. Assess disaster preparedness capacities and mechanisms.	Standardisation and coordination.
5.3. Strengthen planning and programming for disaster preparedness.	
Contribution to the following possible indicators:	
<ul style="list-style-type: none"> <li>• An independent assessment of disaster preparedness capacities and mechanisms has been undertaken and the responsibility for implementation of its recommendations have been assigned and resourced.</li> <li>• Disaster preparedness plans and contingency plans are in place and functional at all administrative levels, and regular training drills and rehearsals are held to test and develop disaster response programmes.</li> <li>• All organizations, personnel and volunteers responsible for maintaining preparedness are equipped and trained for effective disaster preparedness and response.</li> <li>• Financial reserves and contingency mechanisms are in place to support effective response and recovery when required.</li> <li>• Procedures are in place to document experience during hazard events and disasters and to undertake post-event reviews.</li> </ul>	

## LIST OF ACRONYMS

BNGRC	Bureau National de Gestion des Risques et Catastrophes
CBDRR	Community-Based Disaster Risk Reduction
CC / CCA	Climate Change / Adaptation
CET	Central European Time
COSEP	Centre des Opérations de Secours et de la Protection Civile
DAMSUR	Sub-Regional Centre for Disaster Adaptation, Mitigation and Sustainable Reconstruction
DG ECHO	European Commission Directorate-General for Humanitarian Aid
DIPECHO	Disaster Preparedness Programme of DG ECHO
DoDMA	Department of Disaster Management Affairs
DRR	Disaster Risk Reduction
EC	European Commission
EU	European Union
EWS	Early Warning System
FAFA	Financial and Administrative Framework Agreement
FPA	Framework Partnership Agreement
GDP	Gross Domestic Product
GIS	Geographic Information System
HFA	Hyogo Framework for Action 2005-2015
HVCA	Hazard and Vulnerability Capacity Assessment
ICRC	International Committee of the Red Cross
IEC	Information, Education and Communication
IFRC	International Federation of Red Cross and Red Crescent Societies
INGC	Instituto Nacional pela Gestão de Calamidades
IOM	International Organization for Migration
ISDR	International Strategy for Disaster Reduction
MDG	Millennium Development Goal
NFI	Non Food Item
NGO	Non-Governmental Organisation
OFDA	Office of United States Disaster Assistance
PRA	Participatory Rural Appraisal
SMART	Specific, Measurable, Achievable, Relevant and Time-Bound (indicators)
UN	United Nations
USAID	United States Agency for International Development