



**Guidelines for proposals  
under the  
FIFTH DIPECHO ACTION PLAN FOR CENTRAL ASIA**

**For actions in the following countries:**

**Tajikistan (including cross border initiatives  
with Aghanistan),  
Kyrgystan,  
Uzbekistan,  
Turkmenistan  
Kazakhstan**

**As well as for actions at a regional level covering several or all of the  
above-mentioned countries.**

**Deadline for submitting proposals: 30 April 2008**

Budget Line 23.02.03



## **TABLE OF CONTENTS**

<b>1. BACKGROUND .....</b>	<b>4</b>
<b>2. SPECIFIC OBJECTIVE OF THE FIFTH DIPECHO ACTION PLAN FOR CENTRAL ASIA .....</b>	<b>4</b>
<b>3. PRIORITIES OF THE FIFTH DIPECHO ACTION PLAN FOR CENTRAL ASIA .....</b>	<b>4</b>
<b>4. DIPECHO AND DRR – ALL PROJECTS.....</b>	<b>6</b>
<b>5. PROJECT CONTENT AND ORIENTATIONS – ALL PROJECTS.....</b>	<b>7</b>
<b>6. ELIGIBILITY CRITERIA .....</b>	<b>9</b>
Eligibility of applicants: who can apply .....	9
Eligible actions .....	9
Duration of actions .....	9
Location of actions .....	10
Number of projects .....	10
Type of Activities .....	10
Eligibility of Costs and Financial Allocation.....	11
<b>7. HOW TO APPLY .....</b>	<b>12</b>
Application forms .....	12
Supporting documents accompanying the application .....	12
Where and how to send the applications.....	12
Deadline for receipt of applications.....	13
Acknowledgement of receipts.....	13
Further information .....	13
<b>8. EVALUATION AND SELECTION OF APPLICANTS .....</b>	<b>14</b>
Procedure - Summary .....	14
Procedure - Timing .....	14
Procedure – Evaluation of proposals.....	14
<b>ANNEXE 1 APPLICANTS CHECK-LIST .....</b>	<b>17</b>



**Application forms ..... 17**

**Supporting documents ..... 17**

**ANNEXE 2 USEFUL LINKS FOR APPLICANTS .....18**

**ANNEXE 3: GUIDELINES FOR VISIBILITY AND COMMUNICATION PLANS .....19**

**REMINDER: APPROACH..... 19**

**CONTENT OF VISIBILITY PLAN: (Single Form Section 9): ..... 19**

**SUGGESTED ACTIVITIES (selection only)..... 20**

    1. Target audience: beneficiaries ..... 20

    2. Target audience: European public ..... 20

**LIMITS OF VISIBILITY FUNDING ..... 20**

**ANNEXE 4: GLOSSARY.....21**



## 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”. The DIPECHO programme was set up in this context by DG ECHO to promote the Disaster Risk Reduction mainstreaming in development policies and 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 Central Asia, in conformity with the provisions of DG ECHO’s Framework Partnership Agreement (FPA) and the Financial Regulation applicable to the general budget of the European Community.

On March 7, 2008, the European Commission adopted the Humanitarian Aid Decision ECHO/DIP/BUD/2008/01000 “Fifth DIPECHO Action Plan for Central Asia”. The total amount of the Decision is EUR 7,325,000, and covers the period 1 July 2008 – 31 December 2009.

Applicants should thoroughly consult the reference documents and materials, in particular the text of the Humanitarian Aid Decision ECHO/DIP/BUD/2008/01000, which is the legal basis for this call under the Fifth Action Plan for Central Asia. The present guidelines complement this document by providing additional practical information to interested applicants.

These guidelines reflect the outcomes of ongoing consultations with various stakeholders undertaken in the Central Asian region during 2007, integrating the recommendations of a comprehensive external evaluation of the DIPECHO Programme in Central Asia executed in July 2003 and the national and regional consultative meetings organised in November 2007.

Links to all relevant documents and tools developed to help in the application process can be found in annex.

## 2. SPECIFIC OBJECTIVE OF THE FIFTH DIPECHO ACTION PLAN FOR CENTRAL ASIA

The specific objective of this DIPECHO Action Plan is *“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”*

## 3. PRIORITIES OF THE FIFTH DIPECHO ACTION PLAN FOR CENTRAL ASIA

All proposals should fit within the strategy elaborated in the Financing Decision ECHO/DIP/BUD/2008/01000, in particular in relation to sections 1 (“Rationale, Needs and Target population”) and 2 (“Objectives and Components”). Any action not corresponding to the criteria set out in this document, in particular the objectives (2.2) will not be considered eligible.



Applicants are encouraged to consult the materials provided during and after the regional consultative meeting held in Dushanbe in November 2007.

Within the projects to be supported, DG ECHO will pay particular attention to the following themes adapted to the context of this Action Plan:

- ***Facilitation of co-ordination and reinforcement of national and regional platforms*** by supporting initiatives which facilitate co-ordination among national and regional authorities as well as public and private institutions working on Disaster Risk Reduction and will link them to national and regional level planning activities.
- ***Advocacy of Public-Private partnership***: which will be composed of support initiatives to facilitate the participation of the private sector in disaster preparedness and risk reduction activities.
- ***Cross-cutting issues***: involvement of women, children, vulnerable groups such as disabled, ethnic minorities, environmental protection etc.

In addition to these priorities, applicants should pay attention to the following points:

- **Strategies** should encompass **low-cost solutions** 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. They should also **promote and advocacy** the integration of Disaster Risk Reduction (DRR) in the development policy at each level of intervention ( community, district, national and regional)
- **Pilot initiatives** remain at the core of DIPECHO programme interventions. This implies that innovative measures are always strongly encouraged. The geographic coverage of a pilot action should be modest. Already tested and demonstrated pilot projects should be integrated into wider framework (local planning, development programmes, dissemination tools etc.). Applicants are encouraged to use already existing information-education-communication materials.
- **Documentation and dissemination** of the experience developed as well as the development of tools to promote the integration of disaster risk reduction (DRR) into wider frameworks as mentioned above, are a priority for DIPECHO.
- While the DIPECHO programme concentrates on community-based actions, for the demonstrated pilot projects, **scaling-up measures** have to be considered through the relevant actors. In this context, the design of programmes and strategies should clearly foresee a scaling-up component through the DIPECHO projects themselves or through other longer-term instruments.
- The DIPECHO programme aims at **reinforcing local capacities and systems**. Therefore applicants should work with and through local organisations and institutions as a priority. These should be involved at all stages of the programme (design, implementation, monitoring and evaluation, follow-up and ideally takeover).
- Given DG ECHO's mandate, DIPECHO programme has a **short-term nature (15 months)**. For that reason applicants should cautiously design their interventions to ensure that the



proposed objectives and indicators can be achieved and measured within the timeframe of the project (SMART: Specific, Measurable, Achievable, Relevant, Timely).

- In view of the DRR actions to be promoted, applicants are encouraged to plan their programme interventions over the medium/long term, if necessary with several phases, some or part of which could be considered for DIPECHO funding. However, DG ECHO cannot guarantee consecutive funding phases. 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.
- This should, however, not prevent applicants from considering ad hoc, focused or stand-alone disaster preparedness activities, in particular when they apply an innovative approach.

#### 4. DIPECHO AND DRR – ALL PROJECTS

Within projects, particular attention will be paid to the **following issues adapted to the Central Asia context**:

- While DIPECHO programme concentrates specifically on **preparedness measures for natural disasters**, the Programme should be viewed in the given DRR context. Therefore any activity which can support an improved integration of DRR measures into wider frameworks at all levels will be favourably considered. The proposed actions should, however, fit in the list of eligible activities foreseen under this Action Plan.
  - *List of non exhaustive examples: advocating, training, increasing awareness and disseminating experience among those stakeholders susceptible to take over actions piloted under DRR projects; developing tools and models of DRR mainstreaming.*
- The DIPECHO Programme contributes to the implementation of the **Hyogo Framework for Action 2005-2015 (HFA)**. This is the reason why all proposed disaster preparedness actions should look at supporting the ongoing implementation measures of the HFA in the region.
- The proposed actions should also be in line with the recommendations of the **Delhi Declaration on DRR in Asia 2007<sup>1</sup>**
- **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 of evolving trends and looking at links between DRR and climate change (CC), always **in a natural disaster context**.
  - *List of non exhaustive examples: where scientific data confirmed the impact of Climate Change on natural disaster trends, increased awareness raising on integration of Climate Change 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 of guidelines and tools on how to better communicate Climate Change in a DRR context, improving and adapting practices/behaviours affecting environment and livelihoods (in a DRR context).*

<sup>1</sup> <http://www.disasterpreparedness.icimod.org>



## 5. PROJECT CONTENT AND ORIENTATIONS – ALL PROJECTS

- A single **natural hazard** or (preferably) a **multi-hazard approach must be the entry point** for a DIPECHO action. This must be clearly elaborated in the needs assessment and the consequent proposed interventions.
- The vulnerability identification of the targeted populations should be well explained and serve as a justification of the proposed target groups and intervention.
- A fundamental aspect of the DIPECHO Programme is the encouragement of **pilot actions** in order to identify successful models for replication. Replication of successful initiatives can also be accepted. Projects having already undergone several phases should aim at consolidation, up-scaling (eg through integration into local development planning) and dissemination and ideally hand-over of the experience developed, in the country and region within the framework of an exit strategy. In that case, the proposal should clearly indicate which activities had already been funded by the previous Dipecho action plans, the needs still to be covered and what will be covered in the framework of the 5<sup>th</sup> Dipecho action plan.
- **Community-based disaster preparedness measures** implemented through DIPECHO should be developed within the context of **ongoing development strategies** with the target community.
- Projects should build on and successfully **merge technical knowledge with indigenous knowledge** while respecting the socio-cultural context, thereby not only assuring an acceptable, effective system and capacities but also consequently maximising the longevity of ownership and sustainability.
- The development, consolidation and implementation of bottom-up participatory methods such as Hazard Vulnerability Capacity Assessment (**HVCA**) and Participatory Rural Appraisal (**PRA**) are necessary. This might require the training of people engaged in such exercises. In addition, relevant **local practices**, materials and resources that can be easily replicated should be used and disseminated.
- **Small-scale mitigation measures**, whether they are structural or non-structural, will be considered only for demonstrative purposes, complementary to other disaster preparedness measures. They should be the result of an appropriate methodology (eg a HVCA and/or PRA) and be affordable and easily replicable in neighbouring areas and when relevant in the country/region. Sustainable actions and maintenance schemes should be foreseen.
- **Relevant public entities, officials and stakeholders at the appropriate levels must be consulted and involved at all stages** of the action (design, preparation, implementation, monitoring and evaluation, follow-up and hand-over where feasible).
- Applicants should consider **one or more of the proposed eligible activities**, based on their experience, mandates and specialisations. The proposed interventions should be realistically integrated into and balanced within the short timeframe of the DIPECHO Programme.
- Applicants must systematically consider, preferably in a coordinated manner, the **compilation, dissemination** and in particular **integration of lessons learned** into their own programmes and strategies, those of their partners, as well as more widely to relevant stakeholders in the country and when relevant region. **Documentation of lessons learned and their dissemination should be explicitly envisaged under the activities and in the work plan of each proposal.**



- **Collaborative strategic formulation and planning** among potential DIPECHO partners, but also jointly with other interested DRR agencies, in a country or region of action is positively encouraged. This can take the form of joint projects (consortia) or joint initiatives implemented through a series of projects.
- Applicants should provide details on the **coordination mechanisms** existing both **at field/subnational and national levels** taking into account linkages with other ongoing initiatives funded by other donors and their proposed modalities they intend to/can join such fora.
- Applicants should describe in section 4.5.1 of the single form the methodology that they will apply to assess the impact of its intervention
- All proposed actions should fit within the **established legal, policy and planning DRR frameworks** and should contribute 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 should be considered.
- **Capacity-building** of local organisations and institutions, as well as mandated agencies (such as the Red Cross/Red Crescent Societies) is a crucial component of any DIPECHO action. Where capacities and mandates exist, applicants should work through identified relevant local actors.
- Strategic planning and programming should be undertaken in a fully inclusive manner so as to ensure a coherent approach and promote **synergy with other DRR strategies** in the targeted areas of action (supported by other funding sources and executed by other implementing agencies).
- Where relevant, actions must aim at contributing to the strategic objective of all ongoing and planned instruments of the **European Commission**.
- Communication activities about the project, DG ECHO and DRR in general are a requirement. In addition to relating actions foreseen in a project, innovative communication measures, in particular integrated into the activities and implemented jointly with other agencies, are welcomed. Guidance and tools are provided in annex 3 and on DG ECHO's website to advice on this issue.



## 6. ELIGIBILITY CRITERIA

### Eligibility of applicants: who can apply

- **Non-profit making organisations** having signed the Framework Partnership Agreement (FPA) with DG ECHO which entered into force on 1 January 2008, or eligible to sign such a FPA.
- **International organisations and agencies with FPA<sup>2</sup> or FAFA<sup>3</sup>, or eligible to sign such an FPA**

**At the same time, these agencies are strongly encouraged to work through and with local organisations and institutions.**

A **consortium** of agencies can also apply. In case of consortium, the application should be made by a lead agency belonging to one of the categories mentioned above and which will be responsible for all administrative, legal and financial matters vis-à-vis the European Commission. The application should be countersigned by all consortium members.

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 grants if, in accordance with article 114 of the 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.

It should be noted that the list of potential partners inserted in point 6.2 of the Humanitarian Aid Decision ECHO/DIP/BUD/2008/01000 “Fifth DIPECHO Action Plan for Central Asia” is not exhaustive and definitive. This list will be updated as per the final selection of eligible applicants following the evaluation process.

### Eligible actions

#### Duration of actions

- The duration of an action should be maximum **15 months**.
- The action can start at the earliest on **1 July 2008**.
- All actions will have to take place during the period 1 July 2008 – 31 December 2009, with the exceptional cases of *force majeure as described under 3. “Duration expected for actions in the proposed Decision of the Financing Decision”*.

<sup>2</sup> ICRC, IFRC and IOM

<sup>3</sup> UN-agencies which signed the FAFA 2003



- A grant/contribution 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 grant/contribution agreement is signed, but in any case not earlier than 1 July 2008. 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 activities does not have any legal obligations for the European Commission to sign a grant/contribution agreement.

### **Location of actions**

**Projects should be implemented in** one or several of the eligible countries or at the regional level

### **Number of projects**

- An applicant may submit only one proposal which may cover several countries or the whole region

### **Type of Activities**

The following categories and types of disaster preparedness activities are eligible:

- **Local disaster management components** (linked to population in disaster prone areas): Early Warning Systems (EWS), Mapping and data computerisation, Local capacity building/training
- **Institutional linkages and advocacy** (linked to institutions involved in disaster management): Advocacy - Facilitation of co-ordination- Institutional strengthening
- **Information, education, communication** (linked with catchment population): Public awareness raising, Education
- **Small-scale Infrastructure and Service:** Infrastructure support and mitigation works
- **Stocks building of emergency and relief items**

Some complementary eligible activities can 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. Replenishment of already stocks cannot be supported.

Specific activities in “local disaster management components”, “institutional linkages and advocacy”, “information, education and communication”, can also be considered in singled out, ad hoc projects, in particular when they are innovative, well coordinated and piloted 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 of the other activities listed.



For all activities, the relevant and corresponding support costs such as administrative expenses, logistics, audit, evaluation etc. are eligible.

All these actions are to ensure that the **skills and knowledge acquired** through the DIPECHO-project **will be applied immediately in a professional manner when a disaster strikes to save lives**.

The following actions will **not be considered eligible**:

- General poverty alleviation and development programmes.
- Actions that seek merely to address structural issues, for example, of food insecurity or inadequate delivery of basic services.
- Individual sponsorships for participation in workshops, seminars, conferences, congresses and individual scholarships for studies or training courses.

### **Eligibility of Costs and Financial Allocation**

- The overall amount made available for the Fifth DIPECHO Action Plan in Central Asia is EUR 7,325,000.
- DG ECHO's contribution to a project should fall between a **minimum amount of EUR 200,000** and a **maximum amount of EUR 500,000 per country**. Any request for an amount below the minimum or above the maximum stated should be duly justified.
- **DG ECHO's contribution will not exceed 85.00% of the total eligible costs of the action<sup>4</sup>.**
- 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 limitation to the co-financing share and as a consequence to the total amount of the action.
- 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).
- It is strongly recommended to foresee an external evaluation of the project, in particular for grant agreements with a large budget or for projects which are the follow-up of actions already funded by the previous Dipecho programmes.
- only "eligible costs" can be considered for a dipecho grant. these are detailed in the general conditions of the fpa or, for international organisations, in the corresponding framework agreement (e.g. fafa). note that the eligible costs must be based on real costs, not lump sums (except for indirect costs, which cannot exceed 7%); no reserves will be allowed.

**ALL COSTS SHOULD BE INDICATED IN EURO.**

<sup>4</sup> "Eligible costs" are detailed in article 18 of the General conditions applicable to European Community Grant or Contribution Agreements (Annex III of the Framework Partnership Agreement with DG ECHO).



NB: At the financial planning please consider your organisation's participation in a regional lessons learned workshop which should take place in the second half of 2009 in Kyrgyzstan or in another country to enhance regional exchanges and cross-fertilisation.

## 7. HOW TO APPLY

### Application forms

- Applications must be submitted on the Single Form (Please note that with the FPA 2008, there is a new Single form which can be downloaded on [http://ec.europa.eu/echo/partners/index\\_en.htm](http://ec.europa.eu/echo/partners/index_en.htm)).
- 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>5</sup>.
- Hand written applications will not be accepted.

### 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.
- Particulars 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.
- The list of interventions with their activities, beneficiaries and location funded by the previous Dipecho (1 to 4) implemented by the applicant
- Map of exact location of the proposed action
- Any other annex considered important

### Where and how to send the applications

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

#### Postal address:

DG ECHO– Unit A.2

Fifth DIPECHO Action Plan for Central Asia

To the attention of the Head of Unit, Mr. Jean-Claude HEYRAUD

AN 88, 07/10

European Commission

B-1049 Brussels

<sup>5</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

Fifth DIPECHO Action Plan for Central Asia

To the attention of the Head of Unit, Mr. Jean-Claude HEYRAUD

Avenue du Bourget,1 (Courrier central)

B-1140 Brussels

In addition, an **electronic copy of the full application must be sent to the following four addresses:** [ECHO-CENTRAL-MAILBOX@ec.europa.eu](mailto:ECHO-CENTRAL-MAILBOX@ec.europa.eu); [thierry.bertouille@ec.europa.eu](mailto:thierry.bertouille@ec.europa.eu); [adam.yao@echo.tajnet.com](mailto:adam.yao@echo.tajnet.com) and [echo@tajnet.com](mailto:echo@tajnet.com).

If the full application is too large to be sent by email, the supporting documents can be sent on a CD separately.

**Deadline for receipt of applications**

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

**30 April 2008, Wednesday, 17:30 Brussels time.**

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.

**Acknowledgement of receipts**

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.

**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 circulated to all applicants.

*ECHO Brussels:*

Thierry BERTOUILLE

Echo Central Asia Desk Officer

[thierry.bertouille@ec.europa.eu](mailto:thierry.bertouille@ec.europa.eu)

Fax: +32.(0)22.95.45.51

*ECHO Dushanbe:*

Adam YAO

Head of Echo office in Central Asia

[adam.yao@echo.tajnet.com](mailto:adam.yao@echo.tajnet.com)

Fax: +00 992 372 231 615



## 8. EVALUATION AND SELECTION OF APPLICANTS

### Procedure - Summary

- Applications will be examined and evaluated by DG ECHO with technical assistance from DG ECHO's Office in Dushanbe and with the possible assistance of assessors from other services of the Commission involved in co-operation programmes in the region.
- Each individual action submitted by applicants will be assessed according to the criteria indicated below in “procedure – evaluation of proposals”.
- A second step in the evaluation will relate 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.
- The third and final step will look at weighting the selected quality proposals with the financial allocation available.
- 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.

### Procedure - Timing

- DG ECHO intends to evaluate the proposals in **May 2008**.
- The pre-selected proposals should be negotiated during the course of **June 2008**.
- Most projects are expected to start within the period **1 July – 1 September 2008**.
- The selected applicant will be offered a grant.

### Procedure – Evaluation of proposals

#### Administrative compliance

- Verification that the application is complete in accordance with instructions in section 6.
- ECHO reserves the right to reject the applications failing to fulfil these criteria and not considered them for funding.

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

- Verification that the applicant and the proposed actions are eligible according to the criteria set out in section 6.
- Applications failing to fulfil any of these criteria will be immediately rejected and will not be considered for funding.

#### 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 section 3** and the following criteria:

Criteria	Point in the Single Form
Relevance vis-à-vis the <b>Specific objective</b> and one or several of the <b>priorities</b> of the Financing Decision and present Guidelines for applicants	4.3.1, 4.3.2, Log Frame
Relevance to the particular <b>needs and constraints</b> of the target populations and country/countries or region(s) with a special view on the proposal's connectedness to the identified strategic and operational priorities both at country and regional levels.	2, 4.2
Synergies and complementarities with other disaster risk reduction and/or development initiatives at all levels and across various sectors and programmes	2, 3, 5, 6, supporting documents
Involvement with and agreement of the local authorities and other relevant local stakeholders in the preparation, design and proposed implementation of the proposal	2, 4.2, 5, 6, supporting documents
Contribution of the proposed action to the applicant's general and ongoing <b>DRR strategy</b> in the country/region	3, supporting documents
Targeting of the most vulnerable populations and regions, according to specified and justified criteria	2, 4.1, 4.2
Integration of <b>gender, children and disabilities</b> issues in the design of the activities	4.2, 4.3, 5
Risk assessment and assumptions have been taken into consideration and appropriate measures foreseen to palliate the risks. Security and access have been properly assessed	8
<b>Methodology</b>	
The persons and entities involved in the action are clearly defined	4.2
The <b>needs</b> of the <b>target groups</b> and the final beneficiaries have been clearly defined and the proposed activities address them appropriately	4.2, 4.3, 5
The target beneficiaries have been involved in the project design and preparation, and their role in project implementation is clear	4.2.5, 4.3, supporting documents
The overall design of the action is coherent	4.3, logical framework
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. In particular, it reflects the analysis of the problems involved, takes into account external factors and anticipate an <b>evaluation</b> .	4.4, activity Schedule
The proposed human resources should be adequate in terms of supervision, management, expertise and programme implementation, in the country and for the relevant staff in terms of DRR-related skills	10
The proposal contains <b>indicators objectively verifiable within the timeframe of the action</b> for the outcome of the action which are SMART (Specific, Measurable, Achievable, Relevant, Timely).	4.3, 4.5, 5, Logical Framework
<b>Sustainability</b>	
The expected results of the proposed action are <b>sustainable</b>	
<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>)</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>)</li> <li>- Will the action have a tangible <b>impact</b> on its target groups?</li> </ul>	4.2, 4.3, 5, 6, 7, supporting documents
<b>Budget and cost-effectiveness</b>	
The ratio between the estimated costs for the EU and the expected results is satisfactory, taking into account in particular the level of co-financing	11, financial overview
The proposed expenditure is <b>necessary</b> for the implementation of the action - adequacy of budget with the proposed activities	4, 10, 11, financial overview
Costs related to activities must be indicated in the Single form	4.3, 11, Log Frame
<b>Material</b> resources and services needed are properly described	4.3, 4.5, 10, 11
<b>Other</b>	
A visibility and communication plan is provided	9



## ANNEXE 1 APPLICANTS CHECK-LIST

### Application forms

- The application has been filled in full on the proper form (Single Form)
- The logical framework and the activity schedule of the action 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 (ie including both the requested European Commission's contribution and the co-financing share) in euro.
- 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 ECHO Brussels
- An electronic copy of the file has been sent to ECHO Brussels [ECHO-CENTRAL-MAILBOX@ec.europa.eu](mailto:ECHO-CENTRAL-MAILBOX@ec.europa.eu) and [thierry.bertouille@ec.europa.eu](mailto:thierry.bertouille@ec.europa.eu)
- An electronic copy of the file has been sent to DIPECHO Central Asia in Dushanbe [echo@tajnet.com](mailto:echo@tajnet.com) and [adam.yao@echo.tajnet.com](mailto:adam.yao@echo.tajnet.com)

### Supporting documents

- All annexes have been attached to the original paper application sent to ECHO Brussels
- All annexes have been copied and sent by email to ECHO Brussels (or on CD if too large)
- All annexes have been copied and sent by email to Echo office in Central Asia (or on CD if too large)
- Relevant correspondence from other entities important to justify the sustainability of the action and the involvement of local stakeholders in the preparation of the action has been attached
- Particulars of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources have been attached
- Further relevant information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations has been attached
- The list of interventions with their activities, beneficiaries and location funded by the previous Dipecho (1 to 4) implemented by the applicant
- A map of the proposed location of the action is attached



## **ANNEXE 2 USEFUL LINKS FOR APPLICANTS**

Financing Decision “DIPECHO Fifth Action Plan for Central Asia” ECHO/DIP/BUD/2008/01000:  
[http://ec.europa.eu/echo/information/decisions/2008\\_en.htm](http://ec.europa.eu/echo/information/decisions/2008_en.htm)

Framework Partnership Agreement (FPA) for NGOs and International Organisations:  
[http://ec.europa.eu/echo/partners/fpa\\_en.htm](http://ec.europa.eu/echo/partners/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 Grant Agreement

Report on the regional consultative meeting organized by DG ECHO in Dushanbe, November 2007  
available in the coming days on

[http://ec.europa.eu/echo/field/dipecho/index\\_en.htm](http://ec.europa.eu/echo/field/dipecho/index_en.htm)

**External evaluation of the DIPECHO Central Asia Programme, December 2003:**

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

General information on DIPECHO, DIPECHO Central Asia:

[http://ec.europa.eu/echo/field/dipecho/index\\_en.htm](http://ec.europa.eu/echo/field/dipecho/index_en.htm)

ISDR, Hyogo Framework for Action, World Campaigns on School safety and Hospitals Safe from  
Disasters:

<http://www.unisdr.org/>

Delhi Declaration on DRR in Asia 2007

<http://www.disasterpreparedness.icimod.org/publications.php>

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)



## ANNEXE 3: GUIDELINES FOR VISIBILITY AND COMMUNICATION PLANS

### REMINDER: APPROACH

- Why visibility/communication:
  1. informing beneficiaries that aid is impartial and a sign of European solidarity
  2. accountability towards EU taxpayers.
- Partner has contractual commitment to do visibility through art 6. of the General Conditions unless it harms the organisations mandate or the safety of its staff (specific request to be submitted to ECHO).
- Definition of visibility activities:
  1. Activities allowing donor identification (stickers, banners etc);
  2. Communication activities with the central objective of raising awareness for the project and its aims, and/or Commission humanitarian aid and the partner's role and/or the principles of humanitarian aid.
- The Commission considers donor identification a must and strongly encourages pro-active communication, i.e. explaining who we and the partner are, what we do, why and how we do it.

### CONTENT OF VISIBILITY PLAN: (Single Form Section 9):

#### Principles:

- Each crisis requires a specific relief strategy and a specific communication strategy.
- Communication strategy and related activities need to be adapted to the type of crises and to evolve according to phases of a crisis (e.g. first days of emergency: stickers and interviews; third week: radio shows for beneficiaries explaining role of NGO's and donors; 3 months later: organised press trips).
- Communication strategy and suggested activities must take into account the cultural and political context of the project.
- Strategy and activities should be in line with partner's own communication strategy, their resources and competences.

#### Structure:

- |                         |  |
|-------------------------|--|
| • Objective(s)          | • Distribution                           |
| • Target audience(s)    | • Timing of activity in project context  |
| • Communication tool(s) | • Expected impact e.g. number of viewers |

Style: SMART- Specific, Measurable, Achievable, Relevant, Timely for each activity planned

Budget: Up to 5% of project budget, with a maximum of €50,000 (budget line 0208, presented by type of activity). Budgets above €10,000 need to be submitted to RIO/ECHOA5 for approval.



## SUGGESTED ACTIVITIES (selection only)

### Target audience: beneficiaries

#### Donor identification (Basic visibility):

Such as display panels and banners at sites, visible identity on supplies and equipment are a must. The use of other items such as T-shirts and caps is encouraged. Where appropriate an explanatory text or a tag line ‘*assisting the victims of humanitarian crises*’ can be added.

#### Communication activities:

- The **minimum required**: press release issued to local media at launch or important project achievement(s), events organised at important project achievements (always invite local media and EC/ECHO staff).
- 1 step further: brochures, paid or free advertisement, journalists visit, larger-scale events, ...
- Complex: photo exhibitions, audiovisual or radio productions: spots and documentaries, ...

### Target audience: European public

#### Communication activities

- **Minimum required**: press release at launch/signature, article on partner’s web site/publications.
- 1 step further: paid or free advertisements, journalist’s visits, brochures, ...
- Complex: photo exhibitions, audiovisual or radio productions (spots, documentaries), public events, ...

**Note:** Partner can include costs for human resources dedicated to the implementation of communication activities in visibility budget (justification in visibility plan required).

## LIMITS OF VISIBILITY FUNDING

Activities that are **part of the operational content** of a project and which, by definition, require the use of communication tools **may not be funded under the visibility budget**. Example: training manuals, hygiene promotion campaigns. They should nevertheless feature the visual identity like all supplies/equipments under a Commission-funded humanitarian project, subsequent of Echo's approval.

**All activities** funded under the visibility budget line **need to be documented in the final report in order to be considered an eligible cost** e.g. press clippings as a result of a press trip, leaflets produced, photos taken, use of basic visibility items such as stickers and panels through photos.

**ECHO’s office in Dushanbe is available to review, comment and coordinate partners’ visibility plans (echo@tajnet.com).**



## ANNEXE 4: GLOSSARY

CC		Climate Change
DRR	-	Disaster Risk Reduction
DIPECHO	-	ECHO Disaster Preparedness Programme
DG ECHO		European Commission Directorate-General for Humanitarian Aid
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
IFRC		International Federation of Red Cross Red Crescent Societies
IOM		International Organisation for Migration
ISDR		International Strategy for Disaster Reduction
JICA		Japan International Cooperation Agency
PRA	-	Participatory Rural Appraisal
SMART		Specific, Measurable, Achievable/Attributable, Relevant/Realistic, Timebound/Trackable/Timely/Targeted (indicators)
UN		United Nations