



Guidelines for proposals

under the

SIXTH DIPECHO ACTION PLAN FOR CENTRAL ASIA

For actions in the following countries:

**Tajikistan (including cross border initiatives
with Afghanistan),
Kyrgyzstan,
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: 15 February 2010

Budget Line 23.02.03

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1. BACKGROUND

The activities of the European Commission Humanitarian Aid department (DG ECHO) in the field of Disaster Preparedness aims to increase resilience and to reduce vulnerability of local communities and institutions through support to strategies that enable them to better prepare for, mitigate and respond to natural disasters. After several DIPECHO action plans in which the community based approach in each country was successfully tested along with the reinforcement or the establishment of some key institutions operating in disaster risk reduction, it is time to scale up and initiate operations that address mainstreaming of DRR in government and development policies and regional networking of common interest institutions and activities, to better take into account climate change adaptation in DRR interventions and to hand over operations initiated by the Dipecho programmes to local authorities and communities or to development cooperation actions.

These guidelines set out the rules for the submission, selection and implementation of project proposals financed under the Sixth 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 December 17, 2009, the European Commission adopted the Humanitarian Aid Decision ECHO/DIP/BUD/2010/02000 "Sixth DIPECHO Action Plan for Central Asia". This decision with a total amount of EUR 7,295,000 covers the period 1 April 2009 – 31 August 2011.

Applicants should thoroughly consult the reference documents and materials, in particular the text of the Humanitarian Aid Decision ECHO/DIP/BUD/2010/02000, which is the legal basis for this call under the Sixth 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 the five national conferences and the Regional Consultative Meeting held in Bishkek in November 2009. They also integrate some key recommendations made by the external evaluation of the 4th and 5th DIPECHO Central Asia action plans.

Links to all relevant documents and tools developed to help in the application process can be found in annex 2.

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

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

3. PRIORITIES OF THE SIXTH DIPECHO ACTION PLAN FOR CENTRAL ASIA

All proposals should fit within the strategy elaborated in the Financing Decision ECHO/DIP/BUD/2010/02000, 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 Bishkek in November 2009.

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

- **Mainstreaming of disaster risk reduction in Government strategy and in development actions** as an important approach to scale up the implementation of the main goals of the Hyogo Framework for Action for building the resilience of the population at all levels.
- **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.
- **Advocacy of Public-Private Partnership:** which concerns support initiatives to facilitate the participation of the private sector in disaster preparedness and risk reduction activities.
- **Advocacy and mainstreaming climate change adaptation at all levels of intervention.** There is a need to work out concrete approach on how to address this new topic, especially tangible measures for populations, which livelihoods are negatively impact by climate change phenomenon.
- **Integration of DRR training in the education curriculum** as vector to create awareness and build the resilience of the population exposed to natural disasters
- **Facilitation of the reinforcement of the legal framework for DRR interventions** and protection of population exposed to natural disasters in the region and promotion of trans-border operations in emergency situations
- **Cross-cutting issues:** involvement of women, children, vulnerable groups such as disabled, ethnic minorities, environmental protection etc.

4. PRINCIPLES AND GOOD PRACTICES – ALL PROJECTS

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

- Any project must aim at **protecting and saving lives** rather than reducing of economical impact of disasters.
- The **vulnerability identification** of the targeted populations should be well explained and serve as a justification of the proposed target groups and intervention.
- **Community-based disaster preparedness measures** implemented through DIPECHO should be developed within the context of **ongoing development strategies** with the target community.
- **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 describe in section 4.5.1 of the single form the methodology that they will apply to **assess the impact of its intervention**
- 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). For countries (Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan) of the region where the national strategies on DRR and action plans have been already developed, applicants must considering those plans and demonstrating that their interventions are contributing to some components or segment of mentioned plans. In case

the proposed is innovative, applicants should demonstrate how this contributes to improve the mentioned plans.

- Where relevant, actions must aim at contributing to the strategic objective of all ongoing and planned cooperation interventions of the **European Commission**.
- A single **natural hazard** or (preferably) a **multi-hazard approach must be the entry point** for a DRR/DIPECHO action. This must be clearly elaborated in the needs assessment based on a recent and validated risk analysis where the vulnerability identification of the targeted populations should be well explained and serves as a justification of the proposed target groups and intervention.
- **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 equally **promote and advocate** the integration of Disaster Risk Reduction - DRR into the development policy at each level of intervention (community, district, national and regional). When intervening at central, district or regional levels, applicants should demonstrate that the relevant authorities responsible for DRR and political decision making are the key drivers of the action but not just passive observers to whom pilot actions and achievement should be handed over upon completion.
- **Pilot initiatives** remain at the core of DRR/DIPECHO programme interventions. This implies that innovative measures are always strongly encouraged. The geographic coverage of a pilot action should be modest. For the already tested and demonstrated pilot projects, they should be in that case integrated into wider framework (local planning, development programmes, dissemination tools etc.). Applicants are encouraged to use already existing information-education-communication materials.
- **Small-scale mitigation¹ measures**, whether they are structural or non-structural, will be considered only for demonstrative purposes, and always complementary to other disaster preparedness measures. They should be the result of an appropriate methodology (eg a HVCA (Hazard Vulnerability Capacity assessment) and/or PRA (Participatory Rural Appraisal)) and be affordable and easily replicable in neighbouring areas and when relevant in the country/region. Sustainable actions and maintenance schemes should be foreseen. In any case, each mitigation project should be designed by professionals. A technical note detailing calculations and specifications of the work performed will be prepared for each mitigation action.
- 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 and dissemination** of the experience developed as well as the development of tools to promote the integration of disaster risk reduction into wider frameworks as mentioned above, are an obligation for DRR/DIPECHO. **Therefore, documentation of lessons learned and their dissemination should be explicitly envisaged under one specific result and in the work plan of each proposal.** Applicants should ensure that the outputs of the projects will be made available through appropriate distribution mechanisms including existing **web-resource centres** such as PreventionWeb or other relevant information management systems.
- While the DRR/DIPECHO programme concentrates on community-based actions, for the demonstrated pilot projects, **scaling-up measures** have to be considered at this stage through other financial instruments.

¹ Structural and non-structural measures undertaken to limit the adverse impact of natural hazards, environmental degradation and technological hazards. (Examples of structural measures are engineering works and hazard resistant construction, while non-structural measures include awareness-raising, knowledge development, policies on land use and resource management, and facilities' operating practices) (ISDR, 2004).

- The DRR/DIPECHO programme aims to **reinforce local capacities and systems**, including local and national authorities (Ministry of emergency situations, Ministry of Education, municipalities,...) . 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). **Capacity building, setting-up and strengthening coordination mechanisms** at the different levels of intervention (local, district, national, international) are a priority for this action plan.
- Given DG ECHO's mandate, DRR/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). **Clear entry and exit strategies** need also to be defined.
- Applicant should clearly demonstrate how **the proposed action is sustainable** and will allow a phase out strategy as it will be mounted on existing long term strategically approach already ongoing at country or regional level. Applicants willing to design and implement an “innovative stay alone action” should seek the cooperation of existing operations in which this action could be integrated. Applicant should indicate a clear timeline for such phase out strategy.
- All proposed actions should fit within the **current 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 pilot actions should be considered.
- **Basic donor visibility** is a requirement. Partners should indicate the measures proposed to ensure such visibility, as well as the eventual costs related to these. 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.

In addition to these priorities and principles, applicants should pay attention to the following **good practices**:

- 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.
- **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.
- **Capacity-building** of existing local and national 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.

- **Capacity building and training** must sought to be action oriented along with **simulation exercises and drills**. When designing training programme this must be fit into a strategy aiming to addressing the entire communities or special groups for identified topics related to risk reduction
- **Ex post evaluation**. Applicants are requested to foresee an external evaluation at the end of the project implementation.

5. INTEGRATION TO DRR POLICIES AND STRATEGIES – 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.
 - Ø *List of non exhaustive examples: advocating, training, increasing awareness and disseminating experience among those stakeholders susceptible to take over actions piloted under DRR projects; mainstreaming of DRR in government development policies and regional networking of specialised institutions, 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.
- **Climate change adaptation** cannot be the sole focus of a specific and ad hoc DIPECHO project. However, projects should integrate components reflecting the necessity to raise awareness of evolving trends and looking at links between DRR and climate change, always **in a natural disaster context**.
 - Ø *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).*

6. ELIGIBILITY CRITERIA

Eligibility of applicants: who can apply

- Ø **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.
- Ø **International organisations and agencies with FPA² or FAFA³, 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.

The applicant should have a **DDR recognized experience** and **operational presence in the countries** where the operation is foreseen.

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/2010/02000 "Sixth 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

- Ø The duration of an action should be maximum **15 months**.
- Ø The action can start at the earliest on **1 April 2010**.
- Ø All actions will have to take place during the period 1 April 2010 – 30 September 2011, with the exceptional cases of *force majeure as described under 3. "Duration expected for actions in the proposed Decision of the Financing Decision"*.

² ICRC, IFRC and IOM

³ UN-agencies which signed the FAFA 2003

- Ø 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 April 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 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.

Consortium of partners

In order to favour exchange of know-how and coordinated approaches, partners whose operations are located in the same province are encouraged to form a consortium and to present a joint proposal.

Number of projects

An applicant must 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:

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

Examples of possible eligible activities:

- Development and setting up of early warning systems through local and national structures, adapting or developing user-friendly and locally-appropriate systems; training of the beneficiaries through simulation exercises, mock drills, dry-run rehearsals, etc.
- Mapping and data computerisation through local actors, linked with the study of hazards and vulnerabilities and the establishment of emergency plans.
- Capacity building and training of natural disaster management committees (including preparedness and response) at the local level, with direct involvement of the beneficiary communities; development and management of community disaster preparedness action plans; integration of such measures into economic plans at the proper administrative level; simulation and evacuation exercises; training of trainers, community facilitators, fire brigades and other response groups.

b) Institutional linkages and advocacy, targeting institutions involved in disaster management/ disaster risk reduction: **advocacy, facilitation of coordination, institutional strengthening.**

Examples of possible eligible activities:

- § Communication activities aimed at raising awareness on DRR.
- § Coordinated and collaborative national programming for disaster risk reduction, particularly amongst DRR fora.
- § Joint strategy formulation and programming, through joint project proposals, establishment of common indicators and measurement systems, joint identification of categories of beneficiaries, joint events and activities.
- § Technical studies, workshops and surveys to increase knowledge about preparedness issues and dissemination of results.

- § Facilitating co-ordination; support of existing networks, institutions working on DRR and notably disaster preparedness and response.
- § Strengthening of institutional capacities on DRR; training of decision-makers on the HFA.
- § Supporting the establishment of regional centres or regional platform active in the field of DRR.
- § Advocating the development of public private partnership in the field of communication, insurance, social advertising and other relevant sectors.
- § Promotion of the legal framework aiming to better prepare, protect and assist the populations against the effect of potential disasters.

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

Examples of possible eligible activities:

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

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

Examples of possible eligible activities:

- § Provision of equipment and reinforcement of infrastructure to support disaster preparedness plans; rehabilitation of evacuation routes; refurbishment of health posts; temporary shelter for evacuated populations and sign-posting of evacuation routes.
- § Small-scale infrastructure works aimed at reducing the physical vulnerability of the beneficiaries, complementing the preparedness component of project strategy; training on operation and maintenance systems; provision of knowledge and tools for replication of measures in neighbouring communities or for integration into local development plans.
- § Protection walls along river banks; structural works on existing public buildings to increase their resistance to disasters; identification and reinforcement of safe places; reforestation/plantation; small-scale drainage.
- § Non structural mitigation measures.

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

Examples of possible eligible activities:

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

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**:

- Ø General poverty alleviation and development programmes.
- Ø Actions that seek merely to address structural issues, for example, of food insecurity, pest control or inadequate delivery of basic services.
- Ø 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 Sixth DIPECHO Action Plan in Central Asia is EUR 7,295,000.
- DG ECHO’s contribution to a project should reach a **minimum amount of EUR 200,000 for one-country operations and EUR 500,000 for multi-countries operations**. Any request for an amount below the minimum stated should be duly justified.
- **DG ECHO’s contribution will not exceed 85% of the total eligible costs of the action⁴**.
- 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 (i.e. the co-financing and the contribution requested to ECHO, without separate earmarking).
- It is required to foresee an external evaluation of the project.
- 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). Applicants must note that the eligible costs must be

⁴ “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).

based on real costs, (except for indirect costs, which cannot exceed 7%); no reserve will be allowed.

ALL COSTS SHOULD BE INDICATED IN EURO.

NB: For your financial planning, please consider your organisation's participation in a regional workshop which should take place in Mid 2011 in Central Asia to enhance regional exchanges and cross-fertilisation.

7. HOW TO APPLY

Application forms

- Applications must be submitted on the Single Form which can be downloaded on: 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**⁵.
- Hand written applications will not be accepted.

Supporting documents accompanying the application

- Correspondence or memorandum of understanding 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.
- The DRR institutional strategy of the applicant.
- Further information on the applicant's strategy, needs assessment, studies including reference to previous programmes and evaluations.
- Correspondence from other co-financing entities regarding their contribution to the project.
- Map of exact location of the proposed action.
- Any other annex considered important and pertinent.

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.3
DRR / DIPECHO Action Plan for South Caucasus,
To the attention of the Acting Head of Unit, Mr. Pablo IBANEZ
AN 88, 07/10
European Commission
B-1049 Brussels

Address for hand delivery or delivery by private courier:

⁵ At application stage, some annexes can be provided in other European or local languages, provided a short summary is submitted in English or French.

DG ECHO– Unit A.3
DRR / DIPECHO Action Plan for South Caucasus,
To the attention of the Acting Head of Unit, Mr. Pablo IBANEZ
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; thierry.bertouille@ec.europa.eu; stephane.quinton@ec.europa.eu and 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:
15 February 2010, Monday, 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.

<i>ECHO Brussels:</i> Thierry BERTOUILLE Echo Central Asia Desk Officer thierry.bertouille@ec.europa.eu Fax: +32.(0)22.95.45.51	<i>ECHO Dushanbe:</i> Adam YAO Head of the Echo Dushanbe office echo@tajnet.com Fax: +992 372 231 615
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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 in Amman 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 during the second half of February and in March 2010.
- The pre-selected proposals should be negotiated during the course of **March 2010**.
- Most projects are expected to start within the period **1 April – 30 June 2010**.
- The selected applicants will be offered a grant.

Procedure – Evaluation of proposals

a) 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.

b) 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 applicant’s **operational capacity and effective presence** in the country/region and in terms of professional competencies and qualifications required to successfully complete the proposed action. This also applies to each partner of the applicant.

- The **relevance of the proposal** will be appraised on the basis of **priorities, principles and good practices raised in section 3, 4 and 5** with the following criteria:

Criteria	Point in the Single Form
Relevance and methodology	
Relevance vis-à-vis the Specific objective and one or several of the priorities of the Financing Decision	4.3.1, 4.3.2
The persons and entities involved in the action are clearly defined	4.2
The needs of the target groups and the final beneficiaries have been clearly defined and the proposed activities address them appropriately	4.2, 4.3, 5
Observance vis-à-vis the priorities of the present guidelines: <ul style="list-style-type: none"> • Mainstreaming of DRR in Government strategy and in development actions • Facilitation of coordination and reinforcement of national and regional platforms • Advocacy of Public-Private Partnership • Advocacy and mainstreaming of climate change adaptation • Integration of DRR training in the education curriculum • Facilitation of the reinforcement of the legal framework for DRR interventions • Cross-cutting issues 	4.2.3, 4.3.1, 4.3.2
Relevance vis-à-vis the principles of the present guidelines: <ul style="list-style-type: none"> • Aiming at protecting and saving lives. • Explaining the vulnerability identification of the targeted populations • Integration of community-based disaster preparedness into ongoing development strategies • Consultation and involvement of the key stakeholders and public entities in all staged of the action • Description of the intervention impact assessment • Synergy with other DRR strategies • Contribution to strategic objective of the cooperation programmes of the European Commission • Natural hazard approach must be the entry point based on a recent and validated risk analysis. • Strategies should encompass low-cost solutions and technical assistance designs with promotion and advocacy of the integration of DRR into the development policy. • Pilot initiatives which imply innovative measures. • Small-scale mitigation measures, only for demonstrative purposes, designed by professionals. • Documentation and dissemination of the experience as one specific result and in the work plan and publication on internet. • Scaling-up measures have to be considered at this stage through 	4.3.1 2.2, 4.2 4.3.1 6.1, 6.2 4.5.1 5.2 6.1 2.2, 2.3 4.3.2, 5.2 4.3.2 4.3.2, 5.1 4.3.1, 4.3.2, 4.4, annex 5.1, 5.2

<p>other financial instruments.</p> <ul style="list-style-type: none"> • The project aims to reinforce local capacities and systems and works with and through local organisations and institutions as a priority at all stages of the programme. • Intervention ensures that the proposed objectives and indicators can be achieved and measured within the timeframe of the project (maximum 15 months) and clear entry and exit strategies have been defined. • The proposed action sustainability has been demonstrated • Applicants provides an outline of their DRR strategy including a phase-down/consolidation or hand-over if applicable. • Legal, policy and planning DRR frameworks are respected and supported. • Basic donor visibility is respected. 	<p>4.3.2, 6.1, 6.2</p> <p>4.3.2, 4.4</p> <p>5.1, 5.2</p> <p>5.1</p> <p>5.2</p> <p>3.1, 4.3.2, 5.1</p> <p>9.</p>
<p>Relevance vis-à-vis the good practices of the present guidelines:</p> <ul style="list-style-type: none"> • Projects should build on indigenous knowledge. • The development, consolidation and implementation of bottom-up participatory methods • Collaborative strategic formulation and planning among potential DIPECHO partners. • Capacity-building of existing local and national organisations and institutions with simulation exercises and drills. • Ex-post evaluation has been foreseen 	<p>3.,4.5, 6., 7.</p>
<p>Relevance vis-à-vis the integration to DDR policies and strategies of the present guidelines</p> <ul style="list-style-type: none"> • The DRR/DIPECHO Programme contributes to the implementation of the Hyogo Framework for Action 2005-2015 (HFA). • The current or foreseen DRR initiatives at regional or national level are taken into account. • Projects integrate climate change adaptation components. 	<p>2.2, 3.1, 3.2, 4.3.2, 5.</p>
<p>Risk assessment and assumptions have been taken into consideration and appropriate measures foreseen to palliate the risks. Security and access have been properly assessed.</p>	<p>8.</p>
<p>The overall design of the action is coherent.</p>	<p>4.3, logical framework</p>
<p>The activities proposed are eligible, appropriate, practical and consistent with the local constraints, the objectives and expected results.</p>	<p>4.3</p>
<p>The action plan is clear and feasible. In particular, it reflects the analysis of the problems involved, takes into account external factors and anticipate an evaluation.</p>	<p>4.4, 4.5, activity Schedule</p>
<p>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.</p>	<p>10</p>
<p>The proposal contains indicators objectively verifiable within the timeframe of the action for the outcome of the action which are SMART (Specific, Measurable, Achievable, Relevant, Timely).</p>	<p>4.3, 4.5, 5, Logical Framework</p>

Budget and cost-effectiveness	
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 necessary 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
Material resources and services needed are properly described.	4.3, 4.5, 10, 11

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% 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 and thierry.bertouille@ec.europa.eu
- An electronic copy of the file has been sent to DIPECHO Central Asia in Dushanbe echo@tajnet.com and ECHO Amman Regional Support Office stephane.quinton@ec.europa.eu

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
- A map of the proposed location of the action is attached

ANNEXE 2: USEFUL LINKS FOR APPLICANTS

Financing Decision “DIPECHO Sixth Action Plan for Central Asia” ECHO/DIP/BUD/2010/02000:
http://ec.europa.eu/echo/funding/decisions_en.htm

Framework Partnership Agreement (FPA) for NGOs and International Organisations:
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 Bishkek, November 2009 available by Mid-January on
http://ec.europa.eu/echo/field/dipecho/index_en.htm

External evaluations of the DIPECHO Central Asia Programme, December 2003 and May 2009:
http://ec.europa.eu/echo/evaluation/thematic_en.htm

General information on DIPECHO and DIPECHO Central Asia:
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/>

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

Communication on European Union Strategy on supporting Disaster Risk Reduction in developing countries:
http://ec.europa.eu/development/icenter/repository/COMM_PDF_COM_2009_0084_F_EN_COMMUNICATION.pdf

General information on the European Union relation with Central Asia and the strategy for a new partnership: http://ec.europa.eu/external_relations/central_asia/index_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 4. 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 recognition (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 recognition 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:

- The principle of effectiveness applies as much to communication as to any other element of the project.
- 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.

Information required for information/communication activities :

- Objective(s)
- Distribution
- Target audience(s)
- Timing of activity in project context
- Communication tool(s)
- Expected impact e.g. number of viewers
- Costs (section 11 of Single Form)

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

Budget: Up to 0.5% of the direct eligible costs, with a maximum of €8,000. Exceptions are possible if agreed with DG ECHO's Information/Communication Unit.

SUGGESTED ACTIVITIES (selection only)

Target audience: beneficiaries

Donor recognition (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 'helping when needed most' can be added.

Target audience: local/national audience

Communication activities:

- **Min Requirements:** 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

- **Min Requirements :** press release at launch/signature, article on partner's web site/publications; series of photos and testimonial from a beneficiary
- 1 step further: paid or free advertisements, journalist's visits, brochures, ...
- Complex: photo exhibitions, audiovisual or radio productions (spots, documentaries), public events, ...

Note: Partners 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 takes, use of basic visibility items such as stickers and panels through photos.

The regional information officer based in ECHO's office in Amman is available to review, comment and coordinate partners' visibility plans (heinke.veit@ec.europa.eu) . For further details and examples please consult also ECHO's visibility toolkit at http://ec.europa.eu/echo/about/actors/visibility_en.htm

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