



Guidelines for proposals under the  
7<sup>th</sup> DIPECHO ACTION PLAN FOR SOUTH EAST ASIA  
for actions in one or several of the following countries:

**Burma/Myanmar**  
**Cambodia,**  
**Indonesia,**  
**Laos,**  
**the Philippines,**  
**Vietnam,**

as well as

**Timor Leste** (through regional actions only)

Deadline for submitting proposals to DG ECHO in Brussels:  
**Monday 8<sup>th</sup> March 2010, 17:30 CET**

Budget Line 23.02.03

## TABLE OF CONTENT

1 - Background	p.3
2 - Objective of the 7 <sup>th</sup> DIPECHO Action Plan for South East Asia	p.3
3 - Priorities of the 7 <sup>th</sup> DIPECHO Action Plan for South East Asia	p.4
3.1 – General Principles Applicable to DIPECHO	p.4
3.2 – Disaster Risk Reduction Framework	p.5
3.3 – Compulsory Project Components – All Projects	p.6
4 - Country/Region Specifications	p.7
4.1 – Burma/Myanmar	p.8
4.2 – Cambodia	p.9
4.3 – Indonesia	p.11
4.4 – Laos	p.13
4.5 – The Philippines	p.15
4.6 – Timor Leste	p.16
4.7 – Vietnam	p.16
4.8 – Multi-Country Initiatives	p.18
4.9 – Regional and Sub-Regional Initiatives	p.18
4.10 – Thailand	p.19
5 - Eligibility criteria	p.19
5.1 – Who can Apply	p.19
5.2 – Eligible Operations	p.20
5.3 – Eligibility of Costs and Financial Allocation	p.21
6 - How to Apply	p.22
6.1 – Application	p.22
6.2 – Where and How to Send the Application	p.22
6.3 – Deadline for Receipt of Applications	p.23
6.4 – Acknowledgement of Receipts	p.23
6.5 – Further Information	p.24
7 - Evaluation and Selection of Applicants	p.24
7.1 – Procedure – Summary	p.24
7.2 – Procedure – Timing	p.24
7.3 – Procedure – Evaluation of Proposals	p.25
Annexes:	
Applicants Check List	p.26
Useful Links	p.27
Criteria for Evaluation of Proposals	p.28
HFA Indicators - Indicative DIPECHO Priorities	p.31
List of Acronyms	p.33

## 1 - BACKGROUND

The activities of the European Commission Humanitarian Aid department (DG ECHO) in the field of Disaster Preparedness are “*to ensure preparedness for risks of natural disasters or comparable circumstances and use a suitable rapid early-warning and intervention system*”<sup>1</sup>. In 1998, the DIPECHO programme was set up in this context by DG ECHO to improve the capacities of communities at risk to better prepare and protect themselves against natural hazards.

On 17 December 2009, the European Commission adopted the **Financing Decision ECHO/DIP/BUD/2010/01000 “7<sup>th</sup> DIPECHO Action Plan for South East Asia”**, which is the legal basis for the present Call for Expression of Interest. The total amount of the Decision is €10,000,000, covering the period **01/05/2010 – 31/10/2011**.

The present guidelines set out additional information regarding the rules for the submission, selection and criteria for project proposals to be financed under the 7<sup>th</sup> DIPECHO Action Plan for South East Asia, in conformity with the provisions of DG ECHO’s Framework Partnership Agreement (FPA) and the Financial Regulations applicable to the general budget of the European Union.

The document reflects the outcomes of consultation processes with Disaster Risk Reduction stakeholders undertaken in all targeted countries during the period May – November 2009, including consultative and *ad hoc* meetings, programming missions, information sessions for applicants. The priorities defined also take into consideration prior recommendations from external and internal reviews and evaluations<sup>2</sup>.

## 2 - OBJECTIVE of the 7<sup>TH</sup> DIPECHO ACTION PLAN for SOUTH EAST ASIA

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

This will be achieved primarily by:

- **Fostering appropriate and sustainable preparedness activities**, in coordination with local and national public institutions and easily **replicable** in other parts of the region and beyond.
- **Reinforcing local response capacities and mechanisms.**
- **Focusing on the areas most exposed to frequent natural hazards and with less coping capacities**, with special attention to remote and isolated areas.
- **Targeting the most vulnerable communities** and categories of population with the lowest coping capacities, using bottom-up participatory methods and relevant local materials/resources.
- Prioritising **inclusive and participatory approaches** addressing properly gender, children, the elderly and the disabled in line with DG ECHO’s policies related to the most vulnerable groups and cross-cutting issues.

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

<sup>2</sup> See in annex: outcomes of consultative process as well as list of evaluations and reviews.

### 3 - PRIORITIES of the 7<sup>th</sup> DIPECHO ACTION PLAN for SOUTH EAST ASIA

#### 3.1 – GENERAL PRINCIPLES APPLICABLE TO DIPECHO

In addition to eligibility criteria established in the Financing Decision ECHO/DIP/BUD/2010/01000, applicants should pay particular attention to the following principles and general issues applicable to DIPECHO:

- The amount available under the 7<sup>th</sup> Action Plan is the same as under the 6<sup>th</sup> Action Plan. In this framework, DG ECHO will encourage **consolidation and dissemination** of the experience as a priority. The selection process will be competitive, due to an expected large number of applications. DG ECHO will favour complementary actions in each country and regionally and will prioritise **joint initiatives** apt to maximise the Action's impact.
- **Pilot initiatives and innovative measures** remain at the core of DIPECHO interventions. This implies that the proposed geographic coverage of an action should be commensurate to its pilot nature.
- Applicants should also take into account the timeframe of a DIPECHO Action Plan. Where required, multi-phased approaches may need to be envisaged and carefully developed. Most CBDRR models require several phases (depending on capacities and models proposed) and linkages with development frameworks. However, DG ECHO cannot guarantee follow-up and uninterrupted funding. Agencies are strongly encouraged to design their project according to these factors.
- It is considered that at this stage, numerous **Community-Based DRR (CBDRR)** approaches and models have been tested or are available. In this context, DIPECHO will not support projects focusing on start up measures likely to duplicate what already exists. Similarly, DG ECHO will not support measures that primarily aim to build DRR and CBDRR capacity of organisations not familiar with the concepts and processes. To be selected, projects should have accrued components of documentation, dissemination, scaling up or advocacy measures for institutionalisation and standardisation of the models piloted.
- Follow-up of projects that have run over several phases will be considered if the proposal includes a justified **consolidation and an exit strategy with a clear timeline**. This should not prevent the continuation of models not yet shaped or the implementation of different pilots offering **innovative and improved approaches**.
- **Upscaling** measures relate to local planning, sub-national (e.g. provincial) DRR/CBDRR modeling, improved DRR integrated development or sectoral approaches etc. Upscaling shall not consist of sheer replication or geographical expansion.
- **Dissemination** of the experience through modeling tools and development of systems is necessary. Actions should look at reviewing good practices and methodologies, in order to support the development of consensual joint education and communication products. When possible and relevant, such products should be designed and certified through mandated actors.
- **Standardisation** and accrued **coordination** in the development and use of advocacy and communication tools, Information, Educational, and Communication (IEC) materials, training systems will be required. This applies also for the development of DRR integrated sectoral approaches.

- DIPECHO aims at **reinforcing local capacities and systems**. Working with and through local organisations and institutions is a priority. Local actors should be involved at all stages of the programme (design, implementation, monitoring and evaluation, follow-up and takeover).
- Agencies should ensure that proposed **approaches** are **inclusive** and properly involve (as actors rather than as “recipients” or “vulnerable categories”) **children, the elderly, the disabled, ethnic groups**, and that they include **gender** as a cross-cutting issue<sup>3</sup>.
- **Outputs** proposed should be **measurable** within the proposed timeframe. **Impact assessments / studies and cost-benefit analyses** are encouraged.

### 3.2 – DISASTER RISK REDUCTION FRAMEWORK

Particular attention will be paid to the following **international and regional DRR agenda adapted to the South East Asian context**:

- The DIPECHO Programme is one of the contributions of DG ECHO to the implementation of the **Hyogo Framework for Action 2005-2015 (HFA)**. Within the HFA, it concentrates specifically on **preparedness measures for natural disasters**.
- Applicants are requested to contribute to the HFA reporting process by referencing in their proposals to HFA priorities and when possible to relevant indicators<sup>4</sup>.
- DIPECHO projects should contribute to the international, regional and national DRR efforts and priorities identified by governments and non governmental actors. This will include participation in DRR platforms and coordination, as well as inputs to the HFA mid term review process in 2010.
- DIPECHO encourages contribution to the relevant priorities established under the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) and its work plan in preparation, the Kuala Lumpur Declaration on DRR in Asia and other DRR regional platforms and strategic frameworks.
- DIPECHO strongly favours components or actions supporting the implementation at regional and country levels of the **World DRR Campaigns** promoted through the International Strategy for Disaster Reduction (ISDR): “**Safer Schools**”, “**Safer Hospitals**” and “**Safer Cities**”.
  - **Safer School Campaign, Bangkok Action Agenda on School Education and DRR**: education measures and child-focused approaches remain a high priority.
  - **Safer Hospital Campaign**: measures to improve DRR integration into the health sector and the preparedness levels of health staff and structures can be supported<sup>5</sup>.

<sup>3</sup> Examples: training of relevant personnel of implementing agencies, community facilitators, decision-makers on inclusion of gender, child-focus and disability issues in programming; awareness raising measures; measures promoting increased participation of the above-mentioned groups in leadership and implementation; development and dissemination of tools and materials.

<sup>4</sup> See table in annex for some possible – but not exhaustive or compulsory - references.

<sup>5</sup> Examples: awareness raising of staff, policy-makers and planners; health workers’ training; development of tools and guidelines for risk assessment, preparedness levels, advocacy, communication etc.; studies on the impact of disasters; integration of lessons learned into planning; improved linkages between the health and disaster management systems; capacity-building etc.

- **“One million safe schools and hospitals” Pledging Campaign:** mechanisms to contribute to the Web-Campaign can be foreseen in project design.
- **Safer City Campaign:** DIPECHO will prioritise pilots in **small and medium cities**, as well as support the implementation of the urban risk campaign through safe schools and safe hospitals. Pilots should build on existing experience<sup>6</sup>.
- **Climate Change (CC)** cannot be the sole focus of a DIPECHO project. However, DRR measures can integrate Climate Change Adaptation (CCA) components, where relevant and **always in a natural disaster context**. Agencies should ensure that DRR and CBDRR actions are appropriately linking with CCA initiatives being implemented or planned, in particular in Cambodia, the Philippines and Vietnam<sup>7</sup>.

### 3.3 – COMPULSORY PROJECT COMPONENTS –ALL PROJECTS

Although project proposals submitted under the present Call may be subject to refining during the selection phase, DG ECHO expects all proposals to allocate **costs, human resources and time** to the following actions (preferably in a coordinated manner and from inception):

- **Coordination** mechanisms on DRR at all relevant levels and for appropriate sectors or topics (for instance: education, IEC materials). In case such mechanisms are not in place, DIPECHO partners should *ad minima* organise their own coordination and experience sharing framework, while supporting wider mechanisms in conjunction.
- **Joint activities:** within each target country, a minimal number of joint activities on DRR communication, advocacy, awareness campaigns, visibility events etc. is required.
- Whenever possible and relevant, **collaborative strategy formulation and planning** among potential DIPECHO partners, but also jointly with other interested DRR agencies, in a country or region of operation is encouraged. Collaborative planning should give rise to joint actions (consortia) or to joint activities implemented through a series of projects.
- A **training plan** should be attached in annex to the proposal, indicating: proposed type of training, target group(s), training entity, proposed training system and duration, outline of training content.
- Proposals should include provisions for supporting and participating in any relevant **DRR programming and consultation processes** at national or sub-national level.
- Activities of **documenting, disseminating and integrating lessons learned and good practices** aiming at improving strategies beyond the project perspective, at country and regional levels.

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<sup>6</sup> Examples: advocacy measures, awareness raising and communication campaigns for public and for decision-makers, municipal authorities; experience exchange; demonstrative pilots; development or dissemination of tools adapted to urban risks.

<sup>7</sup> Examples: Advocacy on DRR aiming at Climate Change stakeholders and decision makers; studies on local perceptions on CC; integration of CCA notions and methodologies into DRR / CBDRR strategies, training tools communication and information products.

- When possible and relevant **joint monitoring, impact assessment or evaluation** exercises addressing an area, a topic or sector.
- Proposed **linkages between national and relevant regional initiatives** should be clearly stated in the proposals.
- Cross-visits, exchange of experience and similar promotional activities are encouraged within a country and when relevant within the region.
- Agencies will ensure that the outputs of the projects are made available through appropriate distribution mechanisms including existing **web-resource centers** such as PreventionWeb or other relevant information management systems.
- When **disseminating products or materials**, potential needs of other recipients (in country or regionally) should be borne in mind (for instance: resource centers, local NGOs, community facilitators, actors in other countries using similar languages etc.). This might imply the preparation of guidance notes for users.
- **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 case an applicant wishes to propose costs higher than those suggested in the DG ECHO communication toolkit<sup>8</sup>, a communication plan has to be submitted for approval.  
A group of agencies can propose a joint visibility plan, focusing on local audiences or EU-based targets (or both). Such a plan will have to be approved by DG ECHO.
- Activities related to the **promotion of DRR** (communication and advocacy on DRR, awareness-raising, public events such as DRR Day celebrations, journalists' visits as part of DRR training etc.) should be included under project results and their associated means and costs. Agencies are strongly encouraged to carry out such activities jointly, involving or supporting relevant stakeholders. All DRR communication initiatives and products should systematically include DG ECHO visibility, or involve DG ECHO where applicable. Agencies are requested to indicate in the relevant section of the proposal how this will be ensured and to identify clearly the costs related to DG ECHO visibility.

#### 4 - COUNTRY / REGION SPECIFICATIONS

- Key priorities have been elaborated in various levels of details in the [reports of the Consultative Meetings](#) held in July-November 2009. Applicants are strongly encouraged to review these reports.
- For most countries, **general orientations** had been identified in the 6<sup>th</sup> AP for the **period 2008-2011** (i.e. over two cycles including this one)<sup>9</sup>. Under the 7<sup>th</sup> AP (2010-2011), a refining of the said orientations is proposed.
- In some countries, the proposed **priority geographical areas** deliberately remain general, given the pilot nature of DIPECHO. Nevertheless, applicants should thoroughly justify their geographical choice, based on the identified natural hazards,

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

<sup>9</sup> See previous Guidelines for Applicants (2008) and Funding Decision ECHO/DIP/BUD/2008/01000.

vulnerabilities and capacities, as well as strategy of interventions, complementarities with other initiatives, and results of needs assessment.

- The country or regional priorities detailed below are **complementary to the specifications in point 3** of the present document and to the strategic outline laid out in the Financing Decision ECHO/DIP/BUD/2010/01000.

#### 4.1 - BURMA/MYANMAR

In view of the **initiation of the DIPECHO Programme** in Burma/Myanmar, the proposed first implementation stage will focus more on **stock-taking, context analysis and research, as well as on learning and preparatory measures**, than on full scale DRR programmes.

- The actions should be of a **realistic and limited scope**, as per the above-mentioned orientations of this DIPECHO start-up phase in the country.
- The proposed actions will specifically target the **Western coastal areas** of the country from the Irrawaddy delta to the Rakhine state.
- Actions will focus on the following main hazards, through either specific or multi-hazard approaches: **cyclone, tropical storm, storm surge and tidal wave**.
- Priority will be given to the **poorest and most vulnerable communities living in rural areas of targeted areas known to be highly exposed to recurrent hazards**.
- The rather complex operating environment will have to be taken into consideration in the proposals, notably with regards to CBDRR aspects.
- Priority will be given to agencies with in-country presence, i.e. not localised only in the Irrawaddy delta, and with solid DRR institutional experience. Organisations working in a same area are encouraged to consider a consolidated/joint programme.
- The following actions will be considered as a priority:
  - Analysis, harmonisation, standardisation of existing IEC and training materials/tools. This can include compiling, pilot testing, proofing and certifying materials/tools, as well as development of packages of consensually approved products.
  - Training of Trainers (ToT) guidelines and systems.
  - Compilation and dissemination of good practices appropriate to the local context.
  - Capacity building of local actors.
  - Studies, research and analyses on: hazard-related vulnerabilities, coping mechanisms, existing (indigenous) prevention and preparedness schemes or mechanisms; impact of previous DRR or development programmes.
  - Disaster risk profiling; hazard risk and vulnerability assessment by areas targeted; user-friendly mapping; assessment and prioritisation of hazards and risks communities face and their traditional coping mechanisms.
  - Dissemination and promotion measures via practical demonstrative and contextually-adapted DRR practices at local level, taking into consideration the above-mentioned aspect of a first pilot phase.

- Applicants should consider active participation and support to technical coordination mechanisms at local, regional and national levels. This can be done through the existing relevant working groups or through the creation of appropriate mechanisms as integral components of any relevant programme.
- Construction and infrastructure measures, as well as hard-ware components will not be supported in this first DIPECHO phase.

## 4.2 - CAMBODIA

- **Multi-hazard approaches (slow onset floods, flash floods, storms and drought, but also other natural hazards such as fire and lightning)** will be prioritised.
- **Flood preparedness measures** (floods in the Mekong and Tonle Sap areas; flash floods in provinces along the Mekong River and in the South) can be continuously considered specifically, although shifting towards multi-hazard approaches.
- As a confirmation of the shift started in the previous Action Plan, **drought preparedness** actions will be **re-focused** into: improved review and assessment of drought typologies and context, physical mapping looking at “eco-areas” or “drought clusters”, physical and sociological mapping of vulnerabilities and capacities, development of innovative and alternative approaches.

In all drought preparedness actions, there should be a strong focus on documentation and promotional tools, training systems, research and increased involvement of the relevant institutions, local institutes and universities, local NGOs.

Priority will be for actions at sub-national level (decentralised context and drought in a localised context), although *ad hoc* measures at national level, in joint frameworks, networks or partnerships, can be considered (e.g. for mapping systems, policy or guidance tool development, training systems, advocacy, linkage with relevant institutions including those dealing with environment and climate change etc.).

Drought preparedness components should be supporting the development of proper DRR integrated methodologies into the agriculture, environment and water management sectors.

Drought preparedness components will be funded with a clear hand-over perspective.

### Examples of drought preparedness actions or components

*Basic irrigation/water provision will not be considered drought “demonstrative mitigation measures”. The latter should relate to the development or promotion of innovative or alternative methodologies, tools and good practices such as:*

- *Improvement of water information delivery systems and water conservation practices, strengthening capacities for drought monitoring, including user-friendly local EWS (linking with national and regional level systems including those dealing with food security);*
- *Data and information collection on previous and existing drought preparedness; lessons learned and documentation on good practices (to be defined and identified);*
- *Training and capacity-building of local actors on issues related to drought preparedness EWS, alternative disaster-resilient agricultural and cultivation practices (in drought and flood contexts);*

- *Development of guidelines for handling drought preparedness in Cambodia (including Climate Change components and as part of Hazard Vulnerability Capacity Assessment (HVCA) processes).*

*Studies, research, documentation or implementing measures can be considered, related to:*

- *key drought indicators; understanding of variability factors so to define benchmarks, thresholds and mitigation triggers*
- *stakeholder analysis (including definition of levels, roles and responsibilities), identification of capacities and resources, drought impact assessment; (if already existing) action planning for drought risk reduction measures*
- *economic and social indicators related to drought impact and information systems*
- *improvement of crop irrigation efficiency at system or crop levels*
- *appropriate monitoring systems for water availability, soil moisture etc.*
- *safety net and insurance measures at various levels (e.g. functioning of rice banks)*
- *Livestock rearing (disaster preparedness and management measures).*

- For all hazards, priority will be given to **poor and remote rural areas**. However, education and communication/information management components can also address **urban areas**.
- Actions should support the five **priorities of the Government Strategic Action Plan 2008-2012**, the development and/or implementation of a disaster management **legislation framework**, as well as support the key priority sectors identified in the **Strategic National Action Plan on DRR**.

This will be the case in particular at national level for: DRR awareness-raising, advocacy and training, continued development of sectoral methodologies through one or two selected Line Ministries as well as the Ministry of Planning and the National Committee for Disaster Management, support to coordination frameworks.

- **Education** will remain a priority sector and topic, at all levels.
- Overall priority will be given to **dissemination and replication mechanisms of CBDRR models**, as well as development and consolidation of **capacity-building and training systems**.
- There will be a stricter requirement for **harmonised and standardised approaches and products (including IEC materials, training modules/systems, improved inclusive approaches)**, as well as **scaling up and dissemination** of the experience developed so far to the commune, district and province levels.

Ideally, **provincial or district modelling** will be proposed.

- **DRR integration into local development planning should be continuously addressed**, in the **deconcentration and decentralisation context** and through standardised approaches and systems.
- Active participation in (and when necessary support to) the **DRR forum** and any other **coordination** mechanisms is crucial, at national and relevant sub-national levels. This can also relate to joint components or actions, as well as to improved **networking and experience sharing** with neighbouring countries.
- **Linkages** with initiatives such as the World Bank Global Facility for Disaster Reduction and Recovery, the Avian Influenza Preparedness Programme, the

Programme in Support of Decentralisation and Deconcentration and new Climate Change Adaptation initiatives should be increased.

- Improvement of risk and hazard data collection/consolidation, assessment and impact analysis, enhancement of sub/national DRR information management systems, improved monitoring and evaluation systems.
- Improved coordination in design, linkages between all ongoing initiatives at local, country and sub-regional (Mekong) level, and action planning for **early warning systems** in flood (and where relevant drought) preparedness can be considered.

### 4.3 - INDONESIA

- Prioritised sub-sectors and/or actions will focus on: **education, CBDRR pilot activities and institutional linkages (local government planning)**.
- Proposed actions should be framed in a **multi-hazard approach**. It is however possible for actions to target or combine **floods, landslides, earthquakes**. Actions considering preparedness components for earthquakes and tsunamis should look at replicating existing models and experiences. Other hazards such as **volcanoes** can also be considered within innovative pilots. **Haze and forest fire** should be addressed as part of integrated approaches, considering that such hazards are also dealt with by the ASEAN initiative with Ministries of Environment, and that on its side, the European Union has funded actions addressing similar hazards.
- **Drought preparedness can be addressed only within a multi-hazard approach and as a complement to ongoing development initiatives, believing that a multi-phased action is the most appropriate instrument.**
- In Indonesia, DG ECHO will continue supporting actions with a focus on demonstrative activities in districts/sub districts in **rural areas**. In **urban areas**, the focus will be on DRR in schools, in particular through the 2010-2011 ISDR “Safer City campaign”. Examples of activities or actions: DRR in school interventions, advocacy or awareness-raising measures, promotion of best practices resulting from studies, implementation of innovative actions aiming to mitigate urban risks.
- Given the scope of geographic, hazard and risk issues in relation to natural disasters, **priority will be given to actions which offer synergies and complementarities not only within the DIPECHO programme, but also with other DRR initiatives**, and where DIPECHO can provide a clear added value. Actions should **develop**, as a priority, **the existing comprehensive experience from past and ongoing recovery as well as DRR programmes**. Actions should also aim to **complement the numerous other ongoing DRR actions or establish linkages with them**, in particular the DRR initiatives supported by the World Bank, AusAid, USAID, the European Commission and European Union Member States and the various Multi-Donor Trust Funds for post disaster recovery.
- Such synergies or complementarities should aim at sectors (e.g. education), hazard-related approaches, or geographic typologies and areas (when several projects are prepared in one area or address similar types of problems). Actions should look,

above all, at **dissemination and replication of existing experiences, as well as integration into development programmes.**

- In addition, priority will be given to proposals **implemented through/by local actors and promoting tools and methodologies for sustainability** (e.g. encouraging contributions from authorities and the private sector, accrued ownership of local actors etc.), including monitoring, evaluation and other impact measurement processes or tools.
- Piloting and modelling CBDRR approaches should have a clear perspective of hand-over and replication mechanisms. Start-up or singled out CBDRR pilots will not be selected at this stage of the DRR processes in the country.
- In terms of **geographical coverage**, areas where substantial DRR/DP experience has been piloted, such as Aceh, will not be prioritised. Regions such as Papua and remote Eastern islands will not be targeted due to sustainability and replicability constraints at community level, considered challenging for actions of such a short timeframe.
- Applicants, in particular new ones, are advised not to be too ambitious in terms of geographical coverage, limiting the proposed action to a maximum of two districts, with the exception of specific actions promoting technical support, whenever justified.
- Applicants should provide information on the medium-term DRR strategy of their organisation and programme(s) within the country.
- All projects should look at supporting the **implementation and dissemination of the new DRR National Policy and legislative framework at sub-national levels**, in a standardised and coordinated manner. This is the case in particular for Priority 1 (“Incorporating DRR into national and local priority policies with a strong institutional basis for implementation”) and Priority 3 (“Using knowledge, innovation and education to build a safety culture and resilience at all administrative and community levels”) of the National Policy on DRR.
- In this context, priority will be given to **sub-national levels**, looking at consolidation of CBDRR models, their integration into socio-economic planning through up-scaling measures. Other priorities will be: continued improvement of risk and hazard assessment and land-use planning, capacity-building of local actors and institutions, as well as institutional strengthening. Through mandated agencies, some measures aiming to improve preparedness to respond to natural disasters can be considered, as per Priority 3 of the National Policy on DRR.
- At both national and sub-national levels, advocacy in favour of **specific target groups** (such as the disabled) or **topics** (such as linkage between DRR and climate change), communication and public awareness, will be considered, in particular in the continued development of DRR legislation and in the education sector.
- Strong linkages should be established with **regional DRR initiatives**.
- Support to and participation in **coordination** mechanisms will be strongly encouraged, both at national and sub-national levels. Considering past experience on networking and coordination, actions will be required to promote **coordinated and/or joint approaches**. Similarly, improved documentation and dissemination mechanisms will

be necessary, feeding into scaling-up strategies. These aspects should be clearly visible in the proposal.

- Existing **IEC materials** should be used as point of reference for training activities, workshops and other forms of capacity building activities, in complement to other available and certified resources.

#### 4.4 - LAOS

- Actions will address specific hazard or **multi-hazard approaches** (floods, flash floods, storm, hail, landslides, earthquake, fire, drought), depending on and **appropriate to the geography, topology, hazards and sociological factors** (e.g. mountainous areas, ethnic groups). Drought preparedness approaches would rather be addressed in a multi-hazard context and through very specific actions focusing on promotion and dissemination of experience; studies and research, promotion of good livelihood practices, training and capacity-building (in line with the approach proposed for Cambodia in point 4.2).
- Priority will go to actions piloted in the **most vulnerable, remote and isolated areas**, as well as generally to **local pilots and systems**. The latter should be closely linked with national initiatives on DRR or DM. In case of gaps identified at **national level**, some complementing actions or components can be proposed at that level.
- **Urban areas** can be addressed through components related to education, communication and public awareness.
- All approaches should consider integrating the **lessons learned and experience** from recent disasters, however not neglecting anticipation of future threats, as well as from neighbouring countries, with a focus on low-cost, replicable and sustainable options.

Documentation processes should continue and relevant recommendations integrated. DIPECHO actions should closely interact with the LANGOCA<sup>10</sup> regular review process.

- Specific to DIPECHO, but even more important in the Lao context, actions should take into consideration the aspect of **recurrent small scale disasters**, looking at improved understanding of concepts, awareness raising and capacity building, information management.
- Given the number of ongoing or planned DRR or DRR-integrated actions, **linkages and partnerships at various levels will be crucial**, in particular for some sectors or for scaling-up models, for advocacy measures for integration and mainstreaming of DRR into corresponding longer term development programmes (food security, rural development, education etc.), as well as in coordination with other disaster preparedness frameworks related to health, food security, man-made threats.

This in the case notably for DRR initiatives in preparation (such as the Disaster Management Programme through the National Disaster Management Office), or

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<sup>10</sup> Laos-Australia NGO Cooperation Agreement

initiatives funded among others by AusAid, the European Union, the World Bank Global Facility for Disaster Reduction and Recovery, the Asian Development Bank.

Linkages must be considered with sub-regional (Mekong countries) initiatives, in the establishment of communication networks, information sharing and documentation.

- All actions should include support and participation in **coordination** mechanisms both at national and local levels.
- Given the constraints on **working modalities and timeframe**, DG ECHO will assess proposals based on the feasibility of partner agencies to implement the action within the proposed 15 month timeframe. The **scope of actions in Laos should be realistic and focused**, with contingency measures foreseen for any identified limitations.

In this context, agencies might propose short term, focused and *ad hoc* measures with a direct impact, as well as “**service providing**” actions for development actors.

- In general, strong emphasis should be given to **capacity-building of local actors**, as well as to **children** and the **education sector**. Components related to child protection and care during disasters can also be considered.
- All actions should include the development, or rather, when existing, **harmonisation and dissemination of tools, IEC and training materials and approaches**.
- Some examples of possible DIPECHO actions or components:
  - Continued capacity-building and support for DRR and Disaster Management institutions and mandated actors, in particular the Disaster Management Office’s local structures, the Lao Red Cross branches, local non governmental or mass organisations, but also village disaster management units etc. Agencies should however cautiously assess the capacities and availability of local counterpart to contribute to or benefit from the proposed actions.
  - Improved DRR-integrated approaches into sectors or topics (health, education, rural development, food security, livelihood etc.) through development or guidance or training tools focusing on disaster preparedness aspects.
  - Improved disaster planning methodologies, hazard-related information systems, as well as EWS at provincial or lower administrative levels. This could include gap assessment, feasibility studies, system development, ToT systems etc.
  - Continued risk identification, mapping and monitoring, studies on perception, vulnerabilities, coping capacities, indigenous practices etc.
  - Identification of the relevance and modalities for potential local stock systems (feasibility studies, practical recommendations for various actors, hazards, geographical areas), contingency planning and follow-up action plans, training.
  - Methodologies and tools for public awareness, communication and advocacy campaigns. Standardised warning and community-based educational campaigns materials and methodologies, building on the existing experience. Conduct public, awareness raising, education, pre-disaster season campaigns, as well as community-based educational campaigns adapted to various local contexts

- Consolidation of Hazard Vulnerability Capacity Assessment (HVCA) approaches and tools, standardised IEC materials and methodologies, users guidelines. Dissemination of these tools through training of relevant personnel or agencies.
- Joint development or dissemination of IEC materials, games and child-friendly learning tools or products, guidelines for users, teachers, media representatives, officials, universities etc.

#### 4.5 - THE PHILIPPINES

##### At all levels:

- Priority will be given to **multi-hazard approaches**, while specific actions addressing **typhoons, floods, landslides and earthquakes** can be considered separately. Innovative or complementary pilots addressing **tsunami and volcano** hazards can also be considered.
- **Education** will remain a key sector for intervention, ensuring the appropriate involvement of all levels (i.e. notably the Department of Education).
- Agencies should ensure the inclusion of a **wider group of stakeholders**, including the private sector and charity associations, universities, the media, cultural and ethnic diversity, vulnerable people etc.
- Actions will aim at addressing the needs of **most remote and isolated areas**.
- While the needs in terms of disaster preparedness in **Mindanao** are recognised, this area will not be particularly prioritised, due to working constraints. Agencies wishing to include pilots in that area should carefully elaborate on the hazard/security situation and working modalities in their proposal.
- Support to **GIS** actions or components will be done only upon a proposed standardised or through compatible systems as indicated by the relevant institutions, favouring cost-efficient measures.

##### At national level, DIPECHO will prioritise:

- Advocacy measures to national level actors for adoption of the DRR developed strategic and legislative frameworks.
- DRR coordination mechanisms involving in particular NDCC members, implementing agencies and donors. This should include support to prioritisation and action planning of the numerous recommendations identified for a good implementation of Disaster Risk Reduction in the country.
- Standardisation and harmonisation of DRR tools, materials, approaches and systems. Promotion and certification of these. Improvement of their content (e.g. through more inclusive approaches). Documentation systems and measures.

##### At sub-national levels, DIPECHO will prioritise:

- DRR regional and **provincial modelling**, including promotion of CBDRR approaches.
- **Mechanisms for dissemination** and promotion of successfully piloted CBDRR approaches, models and tools.

- DIPECHO will continue supporting actions aiming at **reinforcing the linkages between the experience developed at local levels (e.g. LGUs) and the provincial/regional/national levels.**
- Strong **coordination and linkages** with other DRR programmes supported by AusAid, the World Bank, JICA, the United Nations and other donors or agencies along with the Government should be maintained. DIPECHO actions will complement these actions and ensure that the community-based approach is being promoted for integration, institutionalisation or take-over of CBDRR models.
- As far as **CBDRR piloting** is concerned, innovative actions, actions supporting modelling and dissemination systems, or completion of pilots still not finalised, will be prioritised (by opposition to replication or start-up of CBDRR already tested). Agencies should therefore cautiously elaborate on the proposed approach and complementarities between various other initiatives.
- Innovative pilots in **small or medium urban centres** can be considered, also building on the existing experience.
- **Capacity-building of local actors and transfer of implementation capacities** to these are strongly encouraged.

#### **4.6 - TIMOR-LESTE (in regional initiatives only)**

- There will be no stand-alone DIPECHO projects in Timor Leste.
- However, activities in that country or benefiting local agencies/actors can be included in regional initiatives. Within the latter, priority actions targeting Timor Leste's actors will focus on:
  - The decentralisation process at district and sub-district levels, in support to the implementation of the National Disaster Risk Management Plan;
  - Actions such as networking, continued development and dissemination of tools adapted to the Timor Leste context and promoting DRR;
  - Communication, advocacy, capacity building, training and education measures.

#### **4.7 - VIETNAM**

- DIPECHO will continue supporting the implementation of the National Strategy on Natural Disaster Prevention, Response and Mitigation until 2020, the Programme on Capacity-Building, the DRR legislative, strategic and programmatic frameworks being developed, including participation in the DRR National Platform.
- **Advocacy measures** at national level should continue, preferably in joint frameworks.
- In Vietnam, **a large amount of CBDRR pilots have been carried out and some of them are considered ready for dissemination, in the country but also in the region.** The key priority of DIPECHO in this country will therefore shift to the

accompaniment of the **new National Programme for CBDRR** – both in its preparation and implementation - and in particular through joint frameworks.

- This will be done through a more **comprehensive programmatic approach** (rather than project-focused actions) by:
  - **Closely coordinating actions at all stages** and/or proposing **joint actions**.
  - **Mapping and reviewing** the past, ongoing and planned **CBDRR measures, tools and impact**, in order to facilitate the planning and programming and the selection of pilots to be supported with DIPECHO and other funding. This will include an inventory of existing methodologies and pilots, assessing the changes of behaviour patterns and the impact of past actions, diversified and innovative options, improvement of the quality of models and of coordination mechanisms.
  - Supporting the **consolidation, harmonisation and standardisation of tools, guidelines, methodologies and systems** (training, IEC materials, model dissemination, improved DRR-integrated sectoral or inclusive approaches etc.). This will be in particular the case for awareness-raising and capacity-building.
  - Consolidating capacity-building of **implementing agencies and key local actors/vectors** such as mass organisations, local NGOs and institutions, universities etc.
- The proposed actions might require an **inception phase**, jointly with the Government and other key DRR actors, in order to properly identify the locations, timing and priorities of a proposed DIPECHO support, based on the various phases of the CBDRR National Programme, the other identified geographical and hazard-related priorities. All proposed actions should clearly indicate the expected timing of the strategies, with an exit perspective.
- **CBDRR pilots** can continue, strictly with the following focuses:
  - In areas where **models have not yet been completed** (in particular in mountainous or ethnic environments), or when they are **innovative**, and as a contribution to the relevant priorities of the new CBDRR National Programme.
  - As part of the **support to the definition, development and modelling of the new CBDRR National Programme, depending on the identified gaps and needs for the proposed hazard(s) and area(s)** (scaling-up, transfer, dissemination of models etc.).
  - Even more than in the past, the priority for such pilots should be the **most vulnerable and remote areas**.
  - DIPECHO actions will contribute to ensuring that the CBDRR National Programme is prepared and implemented in a **participatory and inclusive manner**.
  - There should be a clear shift to **implementation through and by local actors**.
  - **Joint mechanisms** will have to be established with the Government mandated structures, as well as with other key DRR programmes or actors, in particular the VANGOCA programme (AusAid) and the World Bank Disaster Management Programme.
- Innovative pilots in **small or medium urban centers** can be considered, also building on the existing experience.

- Specific measures in the **education** sector are continuously encouraged, in particular in improved integration of DRR into school curricula and training programmes, harmonisation of education materials and tools, promotion of safe school building design and construction (also for shelter and evacuation), consolidation of coordination and working group mechanisms.

#### 4.8 - MULTI-COUNTRY INITIATIVES

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

#### 4.9 - REGIONAL AND SUB-REGIONAL INITIATIVES<sup>11</sup>

- As part of, or in complement to the issues identified in **point 3.2** of the present guidelines, priority will be given to “service providing” actions related to:
  - Networking, experience sharing; continued development, promotion and dissemination of DRR and in particular CBDRR good practices and tools adapted to the region’s context.
  - Communication and advocacy measures, public campaign and awareness tools and their implementation mechanisms.
  - DRR capacity-building and training, including in sectors such as education, health, livelihood etc.
  - Education measures for local actors or entities.
  - Improvement of DRR-inclusive approaches, in particular involving the disabled, the elderly, the most vulnerable, and properly addressing cross-cutting issues.
  - Improvement of DRR indicators, impact measurement, cost-analysis, monitoring and evaluation standards and any other tools or methodologies.
- Regional and sub-regional initiatives can address equally groups of hazards, topics, sectors or target actors, or they can single them out as required.
- All actions should look at the **consolidation and up-scaling of experiences** developed in the region during the past few years. This will in particular be the case for projects implemented in Vietnam, Cambodia and Lao PDR within the framework of the Lower Mekong area, also looking at sharing experience with Burma/Myanmar.
- In addition and on *ad hoc* bases, initiatives looking at **linkages with other regions** and dissemination of existing experiences, in particular in Asia and the Pacific, are

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<sup>11</sup> Regional and sub-regional actions can only directly benefit the eligible countries as defined in the Financing Decision ECHO/DIP/BUD/2010/01000. “Sub-regional” actions would usually relate to the Mekong area i.e. Vietnam, Cambodia, Laos and Burma/Myanmar.

welcome. Countries of implementation and cost allocation for such linkages will be however limited to the list of eligible countries under the present Guidelines.

- **Components with a strong country focus should be implemented locally** by and through country-based actors/agencies, rather than through regional initiatives. The latter should be devoted to promotion of linkages, good practices, harmonisation of approaches of the said national initiatives.
- Agencies interested in submitting a regional programme should demonstrate their capacity to implement multi-sectoral, multi-country approaches. When necessary, focal points in the relevant countries, to be based within established structures or organisations, should be considered, in order to facilitate the implementation and help liaising by promoting ownership in-country.
- At design stage, regional initiatives should demonstrate a **close linkage with DRR national initiatives** to be supported in the countries involved.
- The inclusion of components in countries with less developed DRR capacities (such as Laos, Burma/Myanmar, Timor Leste) is encouraged.
- Linkages, consolidation and complementarities with other existing and planned regional DRR initiatives are crucial. This is the case in particular for the support to DRR and Disaster Management initiatives of the ASEAN, as well as regional DRR programmes supported by AusAid and OFDA/USAID, among others.

#### **4.10 - THAILAND**

- DIPECHO will not support actions aimed directly at Thailand, which is included in the present guidelines in its status of regional hub.
- However, relevant personnel and organisations based in this country can be invited to events such as training, cross visits and be part of actions for networking and information management.
- In addition, DIPECHO can consider dissemination of relevant materials for the DRR practitioners of this country, provided dissemination mechanisms are in place.

### **5 - ELIGIBILITY CRITERIA**

#### **5.1 - ELIGIBILITY OF APPLICANTS: WHO CAN APPLY**

- Non-profit making organisations having signed the Framework Partnership Agreement (FPA) with DG ECHO,
- International organisations and agencies with FPA<sup>12</sup> and FAFA<sup>13</sup>,
- Other International Organisations without FPA<sup>14</sup>,
- Member States' specialised agencies.

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<sup>12</sup> ICRC, IFRC and IOM

<sup>13</sup> UN agencies having signed the EC-UN Framework Administrative and Financial Agreement.

<sup>14</sup> International Organisations other than ICRC, IFRC and IOM interested in submitting project proposals for the present Financing Decision should contact DG ECHO B2 Unit ([echo-fpa@ec.europa.eu](mailto:echo-fpa@ec.europa.eu)).

- All agencies should work through local organisations and institutions with which they have established sound partnerships, with the purpose of capacity-building, ownership-development and handover.
- A consortium of agencies can apply. In such a case, the application should be made by a lead agency belonging to one of the eligible categories mentioned above and which will be responsible for all operational, administrative, legal and financial matters vis-à-vis the European Commission. Copy of the agreements/MoU concluded among the parties to the consortium will be requested.
- Applicants must be directly responsible for the preparation and management of the action, not acting as an intermediary.
- Potential applicants may not participate in the call for expression of interest or be awarded grants if, in accordance with article 114 of the Financial Regulation applicable to the general budget of the European Union (Council Regulation N° 1605/2002), they are in one of the situations referred to in Articles 93 and 94 of the same Regulation.
- The list of potential partners in point 6.2 of the Financing Decision ECHO/DIP/BUD/2010/01000 is indicative only. It will be updated as per the final selection of eligible applicants following the proposals evaluation process.

## **5.2 - ELIGIBLE OPERATIONS**

### Duration of actions

- The duration of an action should be of **15 months** maximum.
- The action can start at the earliest on **1<sup>st</sup> May 2010**.
- All actions will have to take place during the period 1<sup>st</sup> May 2010 – 31<sup>st</sup> October 2011 (with the exceptional cases of *force majeure* as described under point 3 of the Financing Decision ECHO/DIP/BUD/2010/01000).

### Location of actions

- Projects are to be implemented in one or several of the following eligible countries: Burma/Myanmar, Cambodia, Indonesia, Laos, the Philippines, Vietnam.
- Timor Leste can be included only in regional initiatives.
- Applicants can consider the participation of relevant organisations or persons based in Thailand or Timor Leste in some of the activities proposed in their project for knowledge-sharing, in particular in the case of sub-regional and regional initiatives.

### Number of projects

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

### Type of Activities and Target Groups

- The eligible disaster preparedness components and target groups are detailed in points 1.3 and 2 of the Financing Decision ECHO/DIP/BUD/2010/01000.
- Specific activities or actions in “local disaster management components”, “institutional linkages and advocacy”, “information, education and communication”,

can be considered in singled out, *ad hoc* projects, in particular when they are innovative, well-coordinated and have potential for further dissemination.

- Activities in “small-scale infrastructure and services” and in “stock-building of emergency and relief items” will be supported only in complement with the other listed components. Replenishment of stocks already purchased cannot be supported.
- Activities should be implemented in an integrated manner through mandated actors and agencies. Applicants should ensure that the scope and design of the project are realistic and achievable within the proposed timeframe, and that agencies have the adequate skills in the proposed sectors.
- Actions should ensure that the skills and knowledge acquired will be applied immediately in a professional manner to save lives when a disaster strikes.
- Agencies are encouraged to set up reporting and feedback mechanisms on the impact of prior or still ongoing disaster preparedness actions, in particular during or after a disaster situation in the targeted area(s).
- For all activities, the relevant and corresponding support costs such as administrative expenses, logistics, audit, evaluation etc. are eligible.

The following actions will not be considered eligible:

- Projects addressing as a main issue epidemics preparedness, health/food security surveillance systems, pest infestation (locusts, rodents etc.), as well as man-made threats such as unexploded ordnance.
- Actions generally seeking to address structural issues such as food insecurity, inadequate delivery of basic services, poverty reduction.
- Individual sponsorships for participation in workshops, seminars, conferences, congresses and individual scholarships for studies or training courses.

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

- The overall amount made available for the Action Plan is €10,000,000.
- There is no specific pre-allocation per country. However, DG ECHO will seek to fund complementary actions in each country, as well as groups of actions ensuring the achievement of DG ECHO's strategic priorities both at country and regional levels.
- DG ECHO's contribution per each individual action will not be less than €200,000, except in well justified, specific frameworks.
- Given the options of multi-country actions and joint actions (in consortia), there is no specific ceiling proposed for DG ECHO's contributions. Applicants are however reminded that the level of costs for a designed action and timeframe has to be realistic. This aspect will be closely assessed during the proposals evaluation process.
- DG ECHO's contribution will not exceed 85% of the total eligible costs of the action.
- At least 15% of the total eligible costs must be financed from the applicant's own resources, or its partners', or from sources other than the European Union budget. This requirement applies to all categories of applicants. There is no upper limit to the applicant's co-financing share and as a consequence to the total amount of the action.

- Indirect costs (overheads) cannot exceed 7% of the direct eligible costs.
- The proposal, both in the narrative and financial documents, should reflect the full cost of the proposed operation, with no specific earmarking of DG ECHO's contribution.
- The definition and criteria of cost eligibility are detailed in the General Conditions of the FPA or, for international organisations, in the corresponding framework agreement (e.g. FAFA).
- Eligible costs must be based on real costs and indicated in Euro.
- No reserve will be allowed.

## **6 - HOW TO APPLY**

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

#### 6.1.1 - Application forms

- Applications must be submitted on the latest version of the Single Form, available on DG ECHO's website.
- The complete application must include the Single Form as well as a signed cover letter and the relevant supporting documents.
- Applicants must apply in either English or French<sup>15</sup>.
- Hand written applications will not be accepted.

#### 6.1.2 - Supporting documents accompanying the application

- The Single Form should include a map of the project's location as well as a work plan.
- The application should include the information requested in point 3.3 of the present guidelines, in particular a training plan and, if applicable, a visibility plan.
- Applicants should provide all additional annexes considered important, in order to support or complement the information contained in the Single Form (e.g. needs assessment, applicant's strategy, correspondence for relevant entities involved in the preparation and implementation of the project, information on co-financing, terms of reference of studies, evaluations or audits etc.)
- The annexes have to be submitted officially and timely as full part of the application.

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

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

Postal address:

DG ECHO– Unit A4

Seventh DIPECHO Action Plan for South East Asia

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<sup>15</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.

To the attention of the Head of Unit, Mr. Esko KENTRSCHYNSKYJ  
AN 88, 06/12  
European Commission  
B-1049 Brussels

Address for hand delivery or delivery by private courier:

DG ECHO-Unit A4  
Seventh DIPECHO Action Plan for South East Asia  
To the attention of the Head of Unit, Mr. Esko KENTRSCHYNSKYJ  
Avenue du Bourget, 1 (Courrier central)  
B-1140 Brussels

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

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

[ECHO-DIP-7AP-SEA@ec.europa.eu](mailto:ECHO-DIP-7AP-SEA@ec.europa.eu)

[drrc@echo-bangkok.org](mailto:drrc@echo-bangkok.org) .

6.2.3 - Size of electronic documents

- The size of the email application can not exceed 10 MB.
- In case the complete application exceeds this limit, the supporting documents can be sent in several batches of emails, or on a CD, within the set deadline.
- Applicants should ensure that DG ECHO Regional Support Office in Bangkok receives the complete set of documents, either electronically ([drrc@echo-bangkok.org](mailto:drrc@echo-bangkok.org)) or in paper copy to the following address:

DIPECHO South East Asia  
DG ECHO Regional Support Office for East, South East Asia and the Pacific  
4<sup>th</sup> Floor, Indosuez House, 152 Wireless Road  
Lumpini, Pathumwan, Bangkok 10330, Thailand

### **6.3 - DEADLINE FOR RECEIPT OF APPLICATIONS**

- The deadline for the receipt of applications, in both hard and electronic formats, is **Monday 8<sup>th</sup> March, 17:30 CET**.
- Any application received after the deadline is not guaranteed to be taken into consideration even if the postmark indicates a date preceding the deadline or if the delay is due to the private courier service.

### **6.4 - ACKNOWLEDGEMENT OF RECEIPTS**

- DG ECHO will send an acknowledgement of receipt to all applicants, indicating the date of receipt and informing them of the reference number they have been allocated.

Any further correspondence related to the application and selection process should use this reference number.

## 6.5 - FURTHER INFORMATION

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

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*ECHO Brussels:*

Silvia Ermini

DIPECHO South East Asia Focal Point

[Silvia.Ermini@ec.europa.eu](mailto:Silvia.Ermini@ec.europa.eu)

Fax: +32.(0)2.295.45.71

*DIPECHO South East Asia:*

Cécile Pichon

Disaster Risk Reduction Coordinator

[drrc@echo-bangkok.org](mailto:drrc@echo-bangkok.org)

Fax: +66.(0)2255.10.34

## 7 - EVALUATION AND SELECTION OF APPLICANTS

### 7.1 - PROCEDURE - SUMMARY

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

### 7.2 - PROCEDURE - TIMING

- DG ECHO intends to evaluate the proposals in March-April 2010.
- The pre-selected proposals should be discussed and refined during the course of April-May 2010.
- The majority of projects are expected to start within the period May-July 2010.

- The selected applicant will be offered to sign a Grant or Contribution Agreement with DG ECHO.

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

#### **7.3.1 - Administrative compliance**

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

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

- Verification that the applicant and the proposed actions are eligible according to the criteria set out in point 5.
- Applications failing to fulfil any of these criteria will be rejected and will not be considered for funding.

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

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

## APPLICANTS CHECK-LIST

### **Application form**

- The application has been filled in full on the proper format (Single Form)
  - The activity schedule of the action and the map of the location(s) have been inserted
  - The application is typed, in English or French
  - A signed cover letter is attached
  - The application contains a financial overview in euro with complete information
  - The requested European Commission's contribution does not exceed 85% of the total eligible costs of the action
  - The indirect costs do not exceed 7% of the direct eligible costs
  - The total eligible costs include only eligible costs and no in-kind contribution
  - One original application (hard copy) with all supporting documents has been sent to DG ECHO at Brussels level by Monday 8<sup>th</sup> March, 17:30 CET
- An electronic copy of the file has been sent to DG ECHO:
- at Brussels level to [ECHO-CENTRAL-MAILBOX@ec.europa.eu](mailto:ECHO-CENTRAL-MAILBOX@ec.europa.eu) and to [ECHO-DIP-7AP-SEA@ec.europa.eu](mailto:ECHO-DIP-7AP-SEA@ec.europa.eu)
  - at field level to [drrc@echo-bangkok.org](mailto:drrc@echo-bangkok.org)

### **Supporting documents**

- All annexes have been attached to the original, paper copy, application sent to DG ECHO
- All annexes have been sent by email and/or CD to DG ECHO Brussels
- All annexes have been copied and sent by email and/or CD to DG ECHO field office
- Relevant correspondence from all entities important to justify the sustainability of the action and the involvement of local stakeholders in the preparation and implementation of the action (in particular in case of co-implementing actors).
- Particulars of current or earlier participation in Disaster Risk Reduction operations financed by the European Commission or other sources
- Relevant information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations
- Correspondence from other co-financing entities regarding their contribution
- Draft terms of reference and memorandum of understanding related to proposed services, partners etc. and notably in the case of consortia
- Training plan
- Visibility plan (in case costs are higher than 0.5% of the direct eligible costs)

## USEFUL LINKS FOR APPLICANTS

### [Financing Decision “DIPECHO Seventh Action Plan for South East Asia” ECHO/DIP/BUD/2010/01000](#)

[Preparation of the 7<sup>th</sup> Action Plan for South East Asia](#), May-November 2009: outcomes of DIPECHO National Consultative Meetings in Laos, Cambodia, Vietnam, the Philippines, Indonesia; regional information meeting; information sessions for applicants.

### [Framework Partnership Agreement](#) (FPA) for NGOs and International Organisations

- [Application form \(Single Form\)](#)
- [Guidelines for Single Form and financial information](#)
- [FPA Factsheets, Frequently asked questions, interactive training and Help-Desk](#)
- [FPA regulations and documents; General Conditions](#)
- [Communication and Visibility Toolkit](#)

### [DG ECHO’s Policies and Evaluations](#)

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

### **Other information**

General information on [DIPECHO](#)

DIPECHO SEA [project sheets](#) of the 5<sup>th</sup> and 6<sup>th</sup> Action Plans

[Preparation of the 6<sup>th</sup> Action Plan for South East Asia](#), November-December 2007

[EXTERNAL EVALUATION OF THE DIPECHO SOUTH EAST ASIA PROGRAMME](#) (1998-2006), June 2007, Ian Wilderspin and Jerome Casals

[5<sup>th</sup> Disaster Management Practitioners’ Workshop](#), 2008

DIPECHO [Joint Advocacy Network initiative in Vietnam](#) (JANI)

[European Union Strategy on supporting Disaster Risk Reduction in developing countries](#)

[INTERNATIONAL STRATEGY FOR DISASTER REDUCTION](#), Hyogo Framework for Action, World Campaigns on Safer Schools, Safer Hospitals and Safer Cities, [One Million Safe Schools and Hospital Pledging Campaign](#)

[Bangkok Action Agenda 2007 on School Education and DRR](#)

[Kuala Lumpur Declaration on DRR in Asia 2008](#)

[Association of Southeast Asian Nations \(ASEAN\)](#)

Criteria for Evaluation of Proposals	Single Form
<b>Relevance and Methodology</b>	
Relevance vis-à-vis the <b>Specific objective</b> , and one or several of the <b>priorities</b> of the Financing Decision and points 2 and 3 of the present Guidelines.	4.3.1
The entry point of the proposed action is <b>natural hazard(s)</b> .	2, 3, 4.3, annexes
<b>Criteria</b> and methodologies used to identify hazard(s), their recurrence, frequencies and impact, the levels of <b>vulnerabilities</b> , and needs and constraints of target populations are clearly detailed and justified, based on reliable data, assessment, maps, scientific information from appropriate institutions.	2, annexes
The <b>most vulnerable populations and regions</b> are targeted.	2, 4.1, 4.2
<b>Piloting</b> is core to the strategy, aiming at demonstrating successful models for replication. Projects having already undergone several phases should aim at consolidation, up-scaling and dissemination, or a hand-over/exit (3-4 phases).	(2,) 3, 4.3.2, 5
Strategies encompass <b>low-cost solutions</b> . The action design takes into consideration the degree of take-over and commitment that can realistically be expected from national, sub-national and/or local budgets or actors.	(2,) 4.3.2, 5
The action builds on and <b>merges technical knowledge with indigenous knowledge</b> , respecting the socio-cultural contexts.	(2,) 4.3.2, 5
<b>Community-based disaster preparedness measures</b> are developed within <b>ongoing or planned development strategies</b> in the target communities.	2, 3, 5, (6, 7)
The consolidation, implementation and dissemination by local actors of bottom-up participatory methods such as Hazard Vulnerability Capacity Assessment ( <b>HVCA</b> ) and Participatory Rural Appraisal ( <b>PRA</b> ) are proposed. These methodologies favour the relevant <b>local practices</b> , materials and resources that can be easily replicated.	4, 5, (6, 7, 10)
One or more of the proposed <b>eligible activities</b> are considered, based on the applicant's experience, mandate and specialisation. The proposed intervention is realistically integrated into and balanced within the short timeframe of DIPECHO.	4.3, 4.4
When considered, <b>small-scale mitigation measures</b> , whether structural or non-structural, are for demonstrative purposes and complement other components (in particular capacity-building and training). They are <b>linked to a natural hazard</b> and are designed as the result of appropriate methods (e.g. HVCA-like process). They look at affordable and easily replicable models in neighbouring areas and when relevant in the country/region. Sustainable operations and maintenance schemes are foreseen, including if necessary the establishment of communal/district activities generating resources for enhanced mitigation of consequences of the targeted hazard.	(2,) 4.3, 4.4, 4.5, 5, 7, 10
<b>Relevant public entities, officials and stakeholders at the appropriate levels have been consulted in the design and will be involved at all stages</b> of the action (preparation, implementation, monitoring and evaluation, as well as follow-up and	2, 4.2, 5, 6, 7, supporting documents

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

<ul style="list-style-type: none"> <li>- Financially - <i>How will the activities be financed after the funding ends?</i></li> <li>- Institutionally - <i>Will there be local “ownership” of the results of the operation?</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 operation, e.g. will it lead to improved legislation, codes of conduct, methods etc.?</i></li> <li>- Will the operation have a tangible <b>impact</b> on its target groups?</li> </ul>	supporting documents
<b>Budget and cost-effectiveness</b>	
<p>The cost allocation and the proposed means for each result are appropriate and justified, given the expected outputs.</p> <p>DG ECHO’s contribution is cost-effective for the proposed output.</p>	4.3.2 (means and costs, other costs), 10, 11
<p>The proposed expenditure is <b>necessary</b> for the implementation of the action.</p> <p>The costs (including for management) are adequate to the proposed activities.</p>	4.3.2, 10, 11
<p>Means and costs related to results and activities are sufficiently explained.</p>	4.3.2 (means and costs, other costs), 11
<p><b>Material</b> resources and services needed are properly described.</p> <p><i>Both P- and A-partners should provide sufficient information in means and costs/ other costs and where relevant. Only A-partners need to fill in Annex A.</i></p>	4.3.2 (means and costs, other costs), 4.5, 11, Annex A
<b>Other</b>	
<p>Visibility measures have been included (activities in point 9 with costs indicated in “other costs” of point 4.3.2 and in the relevant line in point 11).</p> <p>A visibility plan has been submitted (in case the proposed visibility costs are higher than 0.5% of the direct eligible costs).</p>	4.3.2 (other costs), 9, 11
<p>A training plan has been submitted.</p>	Annex

<b>HFA Priorities and Proposed Indicators</b> <sup>16</sup>	<b>Indicative Priority and Relevance for DIPECHO</b>
<p>1. Ensure that disaster risk reduction (DRR) is a national and a local priority with a strong institutional basis for implementation</p> <p>Support countries and their institutions in:</p> <ol style="list-style-type: none"> <li>1.1. Engaging in multi-stakeholder DRR dialogue.</li> <li>1.2. Strengthening mechanisms for systematic coordination for DRR.</li> <li>1.3. Assessing and developing the institutional basis for DRR.</li> <li>1.4. Prioritising DRR and allocating appropriate resources.</li> </ol>	<p><b>Medium.</b> Focus on advocacy &amp; institutional linkage, including the promotion of CBDRR.</p> <p>Participation and contribution to dialogue and coordination efforts. If necessary, temporary or start up support to mechanisms can be provided.</p> <p>Assist institutions in identifying priorities and with capacity-building measures.</p> <p>Community aspirations and local priorities should be voiced in such dialogue and frameworks.</p>
<p>Support to the following possible indicators:</p> <ul style="list-style-type: none"> <li>• Contribution to / advocacy for a legal framework for DRR with explicit responsibilities defined for all levels of government.</li> <li>• Contribution to the operationalisation of / participation in national multi-sectoral platform for DRR.</li> <li>• Contribution to the development or implementation mechanisms of a national policy framework for DRR and its plans and activities at all administrative levels, from national to local levels.</li> <li>• Support to identification of / advocacy measures for dedicated and adequate resources are available to implement DRR plans at all administrative levels.</li> </ul>	
<p>2. Identify, assess and monitor disaster risks and enhance early warning</p> <p>Supporting countries and their institutions in</p> <ol style="list-style-type: none"> <li>2.1. Contributing to or linking with initiatives for countrywide risk assessments.</li> <li>2.2. Reviewing the availability of risk-related information and the capacities for data collection and use.</li> <li>2.3. Assessing capacities and strengthening early warning systems.</li> <li>2.4. Developing communication and dissemination mechanisms for disaster risk information and early warning.</li> </ol>	<p><b>Medium to High</b> (depending on level). Focus on Local DM components, IEC and on institutional linkage.</p> <p>Priority for actions which ensure that communities are part of the EWS developed, are well informed, are contributing to systems.</p> <p>2.3: High priority for EWS at local level and for linkage with higher level systems.</p> <p>2.4: Is a high priority.</p> <p>Linkage with HFA Priority 5 is crucial.</p>
<p>Support to the following possible indicators:</p> <ul style="list-style-type: none"> <li>• National risk assessments based on hazard data and vulnerability information are available and include risk assessments for key sectors.</li> <li>• Systems are in place to monitor, archive and disseminate data on key hazards and vulnerabilities.</li> <li>• Early warning systems are in place for all major hazards.</li> <li>• <b>Early warnings reach and serve people at the community level.</b></li> </ul>	
<p>3. Use knowledge, innovation and education to build a culture of safety and resilience at all levels</p> <p>Supporting countries and their institutions in:</p> <ol style="list-style-type: none"> <li>3.1. Developing programmes to raise awareness of DRR.</li> <li>3.2. Including DRR in the education system and the research community.</li> <li>3.3. Developing DRR training for key sectors.</li> <li>3.4. Enhancing the compilation, dissemination and use of DRR information.</li> </ol>	<p><b>High.</b> Focus on IEC, advocacy and institutional linkage, local DM components.</p> <p>All are high priorities.</p>

<sup>16</sup> Words into Action, <http://www.unisdr.org/eng/hfa/docs/Words-into-action/Words-Into-Action.pdf>

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

## LIST OF ACRONYMS

AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ASEAN	Association of Southeast Asian Nations
AusAid	Australian Government overseas aid programme
CET	Central European Time
CBDRR	Community-Based Disaster Risk Reduction
CC / CCA	Climate Change / Adaptation
DG ECHO	European Commission Directorate-General for Humanitarian Aid
DIPECHO	Disaster Preparedness Programme of DG ECHO
DRR	Disaster Risk Reduction
EC	European Commission
EU	European Union
EWS	Early Warning System
FAFA	Financial and Administrative Framework Agreement
FPA	Framework Partnership Agreement
GIS	Geographic Information System
HFA	Hyogo Framework for Action 2005-2015
HVCA	Hazard and Vulnerability Capacity Assessment
ICRC	International Committee of the Red Cross
IEC	Information, Education and Communication
IFRC	International Federation of Red Cross and Red Crescent Societies
IOM	International Organization for Migration
ISDR	International Strategy for Disaster Reduction
JANI	Joint Advocacy Network Initiative
JICA	Japan International Cooperation Agency
LANGOCA	Laos-Australia NGO Cooperation Agreement
NCDM	National Committee on Disaster Management (Cambodia)
NDCC	National Disaster Coordinating Council (the Philippines)
NGO	Non-Governmental Organisation
OFDA	Office of United States Disaster Assistance
PRA	Participatory Rural Appraisal
SEA	South East Asia
SMART	Specific, Measurable, Achievable, Relevant and Time-Bound (indicators)
ToT	Training of Trainers
VANGOCA	Vietnam-Australia NGO Cooperation Agreement
UN	United Nations
USAID	United States Agency for International Development