



EUROPEAN COMMISSION

Instructions and guidelines
for potential DG ECHO partners wishing to submit proposals for
the

SEVENTH DIPECHO ACTION PLAN FOR THE CARIBBEAN

Budget line 23 02 03

Deadline for submitting proposals: 13 July 2009



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1. Background

According to Article 2(f) of Council Regulation (EC) No. 1257/96 of 20 June 1996 concerning humanitarian aid, the main objective of operations in the field of Disaster Preparedness funded by the European Commission Directorate-General for Humanitarian Aid (DG ECHO) will be “to ensure preparedness for risks of natural disasters or comparable circumstances and use a suitable rapid early-warning and intervention system”.

DIPECHO (which stands for *Disaster Preparedness DG ECHO*) is a programme set up by DG ECHO to improve the capacity of at-risk communities to prepare for and protect themselves from natural disasters. Initially the DIPECHO programme focused on three regions: Central America, South-East Asia (including Bangladesh) and the Caribbean. The DIPECHO programme was extended over the years to four more regions with high exposure to natural disasters, South Asia, the Andean Community, Central Asia and South East Africa & the Indian Ocean. While DG ECHO provides humanitarian aid for any kind of disaster, in the field of disaster preparedness DG ECHO focuses on natural events of hydro-meteorological or geological origin.

The Caribbean region regularly experiences natural disasters, particularly the hurricane season that lasts for six months (i.e. from June to November), with tropical storms often taking the form of a hurricane. The region is also prone to floods, flash floods, tsunamis, landslides and mudslides. Some islands experience earthquakes and volcanic eruptions. The physical risk is combined with socioeconomic factors, such as high population density, fast demographic growth, inequality and great poverty; it is the combination of these factors which affect vulnerable communities with limited coping capacity in the event of a disaster. Moreover, climate change is likely to have a negative impact in disaster trends in the region.

In response to the risks encountered by the vulnerable populations, DG ECHO, selected the Caribbean for inclusion in its DIPECHO programme. Since then, six Disaster Preparedness Action Plans have been implemented with the help of NGOs, Red Cross, UN agencies and other regional partners. In total, some EUR 16 millions have been spent on disaster preparedness projects implemented through the DIPECHO programme for the Caribbean.

In 2004 an external evaluation¹ was carried out to analyse the strategy and relevance of the programme. The evaluation report strongly recommended continuation of DIPECHO in the Caribbean, albeit with a focus on partners who had incorporated the concept of disaster preparedness as an essential part of their strategy. Of the key findings of this evaluation, DG ECHO acted on the following recommendations for the *fifth action plan*, selecting 9 projects for an amount of EUR 3.5 million for the period 2005-2007.

¹ The full report can be found under http://ec.europa.eu/echo/evaluation/thematic_en.htm



In February 2009, at the end of the funding cycle of the *sixth action plan*, a regional consultative meeting took place in Santo Domingo, Dominican Republic. This Action Plan of EUR 4 millions, funded 11 projects through its partners during the period of 2007 – 2009. With over 85 representatives from all over the Caribbean, from EC Delegations, NGOS, UN, Red Cross and other Donors this meeting confirmed the DIPECHO Caribbean orientations. It also included discussions on the hazards, vulnerabilities, thematic and geographical priorities of the region. Special attention was given to the lessons learned during the implementation of the *sixth action plan* and the existing collaboration among partners². The present guidelines reflect the outcomes of the consultative meeting.

A third external evaluation³ in January 2009 was funded both to provide DG ECHO with a clear understanding of the degree of success our latest Action Plan has achieved in attaining its objectives and to review the LRRD strategy implemented so far by DG ECHO in the Caribbean within the Commission and vis-à-vis other donors. Most of the recommendations of this evaluation have been integrated into these guidelines and will be used during the project selection process. The main conclusions are:

- In general, the DIPECHO projects were relevant to the needs of the most vulnerable target communities, impacting their lives through well designed, interventions which met the stated objectives of the projects themselves as well as those of DIPECHO. Most importantly they were successful, to varying degrees, in impacting the lives of people through strengthening the capacity of communities to address the risks they face.
- The efficiency, effectiveness and impact of some DIPECHO projects were reduced in part by weak project design and implementation strategies that were not adequately addressed during the proposal development and approval process. Compounding this is a range of issues including:
 - Weak local partners either in terms of capacity or commitment.
 - Weak assessments
 - A lack of comprehensive baseline data
 - Overly ambitious number of activities in projects focusing on implementation quantity rather than quality
- Current thematic areas and Strategic Programming Imperatives are appropriate but could be expanded to reflect additional DRR related issues.

On 25 May 2009, the European Commission adopted the **Humanitarian Aid Decision ECHO/DIP/BUD/2009/03000 “Seventh DIPECHO Action Plan for the Caribbean”**. The total amount of the Decision is **EUR 5,000,000**. It covers the period **1 September 2009 – 28 February 2011**.

² The final report of the Regional Consultative Meeting as well as the presentations made are available upon request at the DG ECHO Office in Santo Domingo, please send your requests to SantoDomingo@echodom.net

³ Also available at http://ec.europa.eu/echo/evaluation/thematic_en.htm



Applicants should thoroughly consult the reference documents and materials, in particular the text of the Humanitarian Aid Decision **ECHO/DIP/BUD/2009/03000**, which is the legal basis for this call. The present guidelines complement these documents by providing additional practical information related to the submission of proposals.

2. Objectives And Priority Issues For The Seventh DIPECHO Action Plan In The Caribbean

2.1 Principal objective

The overriding objective of this DIPECHO programme is “**to reduce the impact of future disasters in the Caribbean region by preparing vulnerable populations in the areas most affected by recurrent natural hazards**” – increasing the preparedness and awareness and the response capacities of local communities to potential and frequent natural disasters and to reduce the effects of these disasters on the most vulnerable.

The programme aims to do this by:

- targeting the most vulnerable communities and categories of population, using bottom-up participatory methods and relevant local materials/resources that can be easily replicated ; specific attention will be given to projects taking into account gender, children, elderly and the disabled in line with DG ECHO’s strategy on the most vulnerable populations;
- fostering appropriate and sustainable preparedness activities that are co-ordinated with local, national and regional public institutions and can be easily replicated in other parts of the region and beyond. Small-scale mitigation and prevention activities can complement the project if they have a demonstrative purpose within financial reach for replicability by government and local authorities in particular and have proven impact;
- focusing on the areas most exposed to frequent natural hazards and with less coping capacities. Special attention could be given to the remoteness and difficulty of access of the proposed areas of intervention;
- reinforcing local capacities by building stocks of emergency and relief items

2.2 Specific objective / prioritised fields on intervention

Please note that for the purpose of this expression of interest, DG ECHO understands *coping capacity* as the level of resources and the manner in which people or organizations use these resources and abilities to face the adverse consequences of a disaster. *Local level* refers to community and district levels. *Sub-national level* refers to provincial and departmental (according to the political



administrative division of the country). *National level* refers to country level. *Regional level* refers to the Caribbean region.

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

Specific objective:

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

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

DG ECHO will also take into account, when evaluating the proposals, the overall consistency and synergy between selected proposals and other ongoing interventions in the field of Disaster Risk Reduction in the countries/ territories. For projects with a similar evaluation, priority will be given to projects under point (a).

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

2.3 Strategic Programming Imperatives (sine qua non)

All proposals shall fit within the strategy elaborated in the Financing Decision **ECHO/DIP/BUD/2009/03000**, in particular in sections 1 (“Rationale, Needs and Target Population”) and 2 (“Objectives and Components”). Any action not corresponding to the criteria set out in the Decision, in particular in its objectives (2.1) will not be considered eligible.

Applicants are encouraged to consult the materials provided during and after the Consultative Meeting. These provide further details on priorities and orientations for DIPECHO in the Caribbean for the concerned period as well as on joint and individual activities to be addressed in all proposals. These documents are available at the ECHO website or upon request.

The following implementation priorities **should be taken into consideration** when preparing proposals, in order for these to be eligible for funding under the Seventh DIPECHO Action Plan in the Caribbean:



1. 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.⁴

HAZARDS

2. The **starting point for the intervention logic of any DIPECHO project must be the hazard itself**, rather than a problem that is essentially structural in nature and unrelated to a disaster event. This entails a **thorough analysis of the natural disaster context** (at the appropriate level), resulting in the following:
 - i. a typology of hazards,
 - ii. the determination of the range of negative consequences of these hazards,
 - iii. an analysis of these negative consequences and a prioritisation of those considered most important by the population(s) at risk,
 - iv. a breakdown of the needs ensuing from these hazards and the identification (prioritisation) of those which can most appropriately be addressed by DIPECHO.
3. For a **disaster preparedness intervention** (particularly at community level) to have relevance from the perspective of the end-user, it should address the most pressing concerns of the community, even individual households. Without an appropriate analysis through Hazard Vulnerability Capacity Assessment (HVCA) / rapid Participatory Rural Appraisal (PRA) for example, this can easily be overlooked by external actors when formulating an appropriate strategy of intervention⁵. The chosen methodology should be clearly stated and detailed in the project proposal as well as an indication of how it will be implemented.
4. A comprehensive baseline study should be carried out for each target community upon which plans can be developed and impact measured. The KAP (Knowledge, Attitudes and Capacities) and VCA assessments should be complemented with additional information (e.g. infrastructure, production, demographics) in order to ensure a **comprehensive baseline**. This should be done as part of the proposal writing process (as an assessment tool). This will help ensure the right interventions are being proposed for the right places with the right target populations

SUSTAINABILITY –LRRD

5. In recognition of the complementary nature of DISASTER PREPAREDNESS programming and its contribution to safeguarding cumulative development gains, partners implementing disaster preparedness projects should develop these actions in **the context of an ongoing**

⁴ For instance, the revised Comprehensive Disaster Management Strategy (CDMS) presented and endorsed at the inaugural CDM Conference 2007 in Barbados uses a results-based management approach with a focus on national and regional outcomes that will contribute to the implementation of the Hyogo Framework of Action and the Caribbean Community Regional Programming Framework 2005-2015

⁵ It is highly recommended to use the Red Cross Vulnerability Capacity Assessment adapted to the local context.



development strategy with the target community. DIPECHO support should not be solicited for projects at community level where a minimum development interface does not exist⁶, as it *should not be seen as a start-up fund*.

6. ***Complementarities with other co-operation instruments of the European Commission, member states of the European Union or any relevant initiatives in the field of Disaster Risk Reduction.*** Strategic planning and programming should be undertaken in a fully inclusive manner so as to ensure harmony and promote synergy with other Disaster Risk Reduction strategies in targeted areas of action (sponsored by other funding sources and executed by other implementing agencies). All projects must be developed with *cognisance of* (and relevance to the strategic objective of) ***ongoing and planned instruments of donors co-operation*** in the third country, including those of DG ECHO, where relevant. Particular attention should be paid to the Disaster Management, Prevention, Preparedness and Risk Reduction programmes being implemented under the European Development Fund (EDF) in the Dominican Republic, Haiti and as well as regional initiatives .
7. Successful implementation of a DISASTER PREPAREDNESS strategy requires the sustained investment of all stakeholders at multiple levels before, during and on completion of the project cycle. Partners should **demonstrate sufficient involvement of stakeholders** in their project proposals, including beneficiary communities, local authorities, national disaster management organisations, the Red Cross and regional bodies, such as CDERA.
8. DISASTER PREPAREDNESS mechanisms are not always sustainable. It is therefore imperative that strategies ***encompass low-cost solutions and technical designs*** that reflect the degree of sustained budgetary commitment that can *realistically* be expected from national, sub-national and/or local budgets. The key components of a system, which require maintenance by the community or nominated individuals, must have relevance to the lives of community members.
9. In view of the fact that enhancing risk awareness and identification, strengthening capacities, increasing resilience and installing sustainable management systems at community level is a process that can only be achieved in the long-term, favourable consideration will be given to Disaster Preparedness strategies that are ***multi-phased in nature***, with a series of phases implemented during at least one Action Plan⁷. This may entail the following programming

⁶ The introduction of a DIPECHO project should have been preceded by a substantial socio-economic-anthropological study, to ensure that basic community dynamics, governance and decision-making systems are adequately understood.

⁷ **N.B.** Although 15-month proposals that comprise a component part of a multi-phased strategy will be considered, there is **no guarantee** that funding will be made available for subsequent phases of the strategy. The decision to provide funds or not under subsequent Action Plans will be made on a case-by-case basis, following the publication of the guidelines for that Action Plan, and will be contingent on availability of funds, partner's prior performance, retention of key project personnel, as well as other criteria. A project proposal of this nature is subject to the same terms and conditions as single-phased interventions i.e. must be justified by clear objectives, results and indicators. The strategy can, however, be set in the context of a longer-term strategy, where the outputs of the current phase contribute to attainment of a broader objective.



phases: inception, consolidation, phase-out and evaluation. For this to be possible the *partner must demonstrate a clearly defined intervention strategy at the time of submission* that will *conclude with phase-out and hand-over*, either to the target community/institution, the appropriate authorities or an appropriate longer-term funding instrument, so that *sustainability* is maximised.

10. Applicants submitting proposals should include as an integral part of their project an ad-hoc sustainability strategy. The strategy, which shall be an identifiable part of the action workplan, shall aim at implementing feasible and relevant actions to sustain the results achieved by the project after its conclusion. The strategy should be developed beyond targeting the community itself to targeting municipal and national authorities and other donors including the European Commission. The level of development and sustainability of the strategy will be appraised against the national context.
11. In the context of DG ECHO's mandate, DIPECHO has a **short-term nature (15 month projects)**. For this reason applicants should design their actions realistically (avoid ambitious proposals i.e. huge geographical coverage or too wide-ranging activities) in order to ensure that the proposed objective can be achieved and measured by "SMART" indicators in this timeframe – ensuring good quality and sustainable impacts as opposed to quantity coverage with no impact at the end of the project.

COORDINATION

12. *Strategic planning and programming should be undertaken in an inclusive manner*, to ensure harmony and promote synergy with disaster risk reduction strategies in targeted areas, sponsored by other funding sources and pursued by other implementing agencies.
13. *Collaborative strategic formulation and planning* among potential DIPECHO partners, but also jointly with other interested DRR agencies, in a country or region of operation promoting complementarities is positively encouraged. This can take the form of joint projects (consortia) or joint initiatives implemented through a series of projects.
14. Applicants should provide details of the *coordination mechanisms* existing both *at local, sub-national and national levels* taking into account linkages with other ongoing initiatives funded by other donors and the proposed modalities for joining such fora.
15. **National and regional platforms**: national platform for disaster risk reduction. Projects supporting and participating in national mechanisms for coordination and policy guidance on disaster risk reduction that are multi-sectoral and inter-disciplinary in nature, with public, private and civil society participation involving all concerned entities within a country are



highly recommended. The partner should explain what mechanism is supported and why they intend to do so⁸.

MITIGATION

16. Small-scale mitigation⁹ activities are to remain *secondary and complementary* (in terms of strategic priority and resource allocation) to **DISASTER PREPAREDNESS programming**. Resources available under a DIPECHO Action Plan *should not be considered as alternative funding* for activities that are covered by medium to long-term funding instruments of the European Commission (e.g. EDF National Indicative Programmes, B Envelopes, Regional Indicative Programmes and EC budget lines) or by other multi-lateral or bi-lateral funding sources. Proposals that seek merely to address structural issues, such as food insecurity or inadequate delivery of basic services, **will not be considered eligible**. Actions of this type will need to show how they fit into a disaster risk reduction strategy that is both complementary and sustainable. Only small-scale mitigation activities which fit into the broader disaster risk management planning process at local level will be considered eligible.
17. The strategic dialogue that results in the conception and design of DIPECHO-funded projects will need to take into account the indigenous know-how in a socio-culturally appropriate manner, thereby assuring an acceptable, effective system that builds on existing capacities, maximising ownership and sustainability.

ADVOCACY

18. All proposed actions should fit within the *established national Disaster Management legal, policy and planning DRR frameworks* and should contribute to their implementation and consolidation, in particular at the appropriate sub-national and local levels. The proposals should clearly state how they contribute to these frameworks, particularly:
 - a. CARICOM Countries: Comprehensive Disaster Management Strategy
 - b. Haiti: Système National de Gestion des Risques (National Risk Management System)
 - c. Dominican Republic: Sistema Nacional de Preparación, Mitigación y Respuesta (National System for Preparedness, Mitigation and Response) - Law No.147-02
 - d. Cuba: Defensa Civil (Civil Defence)

⁸ This paragraph refers to the creation of new platforms as well as the support of existing platforms, the existence of a national platform doesn't preclude the creation of a new one, but this has to be duly explained and justified in the project proposal

⁹ DIPECHO's main focus is on "preparedness" and "non-structural mitigation" (i.e. measure not involving physical construction that uses knowledge, practice or agreement to reduce risks and impacts) rather than "structural mitigation" or "prevention", though some financing of small-scale mitigation works with demonstrative purpose may be included.



19. Inclusion of specific actions supporting the **International Day for Natural Disaster Reduction (IDNDR) should be clearly indicated in project proposals.** These actions should target the general public, national and local authorities, to promote and advocate good practice in community risk reduction, and should take place during the week of October that includes the IDNDR. This should be clearly stated and detailed in the proposal
20. Applicants must systematically consider the **capitalization of experiences** and their dissemination in widely and appropriate manner. These activities should be explicitly envisaged under the activities and in the work plan of each proposal. **The proposed methodology should be included in the proposal.**
21. All programme strategies submitted should assimilate *lessons learned* from past DISASTER PREPAREDNESS (DP) programming in the respective country. This should be clearly stated in the project proposal.
22. **Documentation and dissemination** of the experience developed as well as development of tools to promote the integration of disaster risk reduction (DRR) into existing frameworks, should be included in the design of the proposals. Applicants are encouraged to use and disseminate already existing and successfully tested information, education and communication materials (IEC) – in particular those developed by previous DIPECHO partners in the Caribbean and beyond, ensuring necessary acknowledgment of agency(ies) responsible developed of such materials.
23. At the core of DIPECHO's conception was the philosophy of supporting *demonstrative projects in DP (pilot initiatives) so as to identify successful models for replication* elsewhere by other funding instruments of the European Commission, other donors or national governments. The pilot aspect implies that the proposed geographic coverage of an action should be modest. Applicants should take into account the timeframe available under the DIPECHO programme. Bearing in mind this is the 7th Action Plan for the Caribbean, already tested and demonstrated pilot projects should aim at being integrated into wider frameworks (local planning, development programmes, dissemination tools etc.). This approach should remain at the core of any DIPECHO intervention.
24. While the DIPECHO programme concentrates on community-based actions, for the already demonstrated pilot projects, **scaling-up measures** should be considered through relevant local actors. In this context, the design of multi-phased programmes and strategies should clearly foresee a scaling-up component through the DIPECHO projects themselves or through other longer-term instruments.

SECTORS

25. Applicants should consider one or more of the proposed eligible activities, based on their experience, mandates and specializations. The proposed interventions should be *realistically integrated into and balanced within the short timeframe* of the DIPECHO Programme.



26. Projects integrating youth and schools in their awareness actions will be prioritized. Encompassing school environment in a holistic way throughout the project will be considered a positive element of the project.

Non exhaustive examples:

- **Create safe learning environments with retrofit:** Minimize non-structural risks from all sources;
- **Maintain safe learning environments with school disaster management:** engage school administrators, staff, students and parents in ongoing school community disaster prevention activities, practice simulation drills for expected and recurring disasters and planning for safe reunification, maintain building structural and non-structural safety measures;
- **Protect access to education with educational continuity planning:** develop school and national contingency plans in advance, learn and implement “Minimum Standards for Education in Chronic Emergencies and Disasters”, incorporate the needs of children not-yet-in-school, children with disabilities, girls;
- **Teach and learn disaster prevention and preparedness:** disaster prevention and preparedness and principles of disaster-resilient construction and environmental protection inside and outside the curriculum, engage teachers and students in adapting, developing and testing strategies and materials for risk reduction education;
- **Build a culture of access and safety:** develop and support training programmes for safe school construction and maintenance, incorporate this content into the curricula of pedagogic institutes and post-secondary trade schools, reach out to and involve school communities through non-formal education

27. Innovative approaches through pilot actions in health, water, sanitation and hygiene as well as in livelihoods will be welcomed. These innovative approaches should be *secondary and complementary* (in terms of strategic priority and resource allocation) to **DISASTER PREPAREDNESS programming**. A diffusion plan should be included to ensure that these innovative approaches reach decision makers, at local and national level as well as donors and other stakeholders.

2.4 Type of activities:

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

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

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



Sectors and Sub-Sectors:

1. LOCAL DISASTER MANAGEMENT COMPONENTS, targeting local actors in disaster prone areas:

DIPECHO projects are designed to increase the local response and coping capacities and at the same time prepare communities to increase their resilience in order to avoid disasters.

Local Capacity Building/Training

Capacity building/Training for natural disaster preparedness conducted at local level, with a direct involvement of the beneficiary communities, adapting or developing user-friendly and locally-appropriate systems.

Examples:

- Support in the organization and training of local emergency committees
- Development and management of community emergency plans
- Training and equipment of community emergency brigades
- Training of the beneficiaries through simulation exercises, mock drills, dry-run rehearsals etc.
- Support to initiatives from the local emergency committees in awareness (community-based information campaign)
- Provision of basic equipment such as rescue kits and first aid kits complemented by training activities
- Measures that reinforce the self-management means of the local committees, in coordination with the Civil Protection Direction

Communication and early warning systems (EWS)

All activities and the provision of equipment related to the setting up of an EWS. In an EWS the following main components should be considered: 1) risk knowledge/analysis, 2) hazard monitoring/warning/capability, 3) communication (alert mechanism), and 4) adequate response to an alert.

Studies, survey and mapping

Studies, survey, and mapping linked with the study of hazards, vulnerabilities, climate changes coping capacities and the elaboration of emergency plans.

The elaboration of baseline studies in the projects will facilitate future evaluation of impact; adapted indicators have to be considered.

Examples:

- Improvement of hazard monitoring
- Data collection for risk mapping purposes (scientific maps)
- Feasibility studies (Baseline, other research studies)
- Preparation of climate change risk assessment and action plan at communities, sub national and national levels



2. INSTITUTIONAL LINKAGES AND ADVOCACY

A timely and effective response at local level depends on good inter-institutional linkages and appropriate coordination mechanism among the institutions involved in disaster management, at local, sub-national levels and national. Such activities should contribute to the stated objective of DIPECHO, and indeed the Hyogo Framework for Action 2005 – 2015, of seeing Disaster Risk Reduction included or given greater attention in the political agenda of countries at risk at a local, regional and national level as well as in the development plans of international donors.

Facilitation of co-ordination

Support initiatives to facilitate co-ordination among institutions working on disaster preparedness, prevention and response.

Examples:

- National workshop for standardization of tools (e.g. damage evaluation and needs assessment [DANA])
- Inter-institutional meetings
- Specific coordination activities with sectorial line (health, education, public works, agriculture, etc)

Advocacy and institutional strengthening

One-way communication activities aimed at raising awareness on disaster risk reduction issues among decision-makers and to strengthen institutional capacities.

Examples:

- Specific training for decision-makers (e.g. on HFA)
- Promotion of networking at inter-municipal level and national level.
- Contribution to DRR national platforms (encouraged by the ISDR [International Strategy for Disaster Reduction]).
- Climate change impact on natural disasters.

3. INFORMATION, EDUCATION, COMMUNICATION,

Communication and awareness are a significant contribution for disaster risk reduction.

Public awareness raising

One-way communication activities aimed at raising awareness on disaster risk reduction issues among the local population.

Examples:

- Radio spots/radio communication in communities; TV broadcasts
- Media interaction: newspapers, journals, magazines, etc.
- Conferences, symposia, seminars, workshops, peer-to-peer awareness initiatives
- Innovating communication tools, messages...



Education

Activities aimed at creating a “culture of safety and resilience” within the formal education system pursuing a change of attitude and practice.

Examples:

- Design and production of training materials for pupils
- Training of teachers and pupils
- Elaboration of emergency plans for schools
- Climate change impact on the environment

Sharing and capitalization of experiences

Workshops, studies, surveys, and other initiatives conducted in order to increase knowledge about preparedness issues considering a proper promotion and dissemination of achievements.

Examples:

- Workshops/seminars aimed at dissemination of DP capitalized experiences, lessons learnt
- Contribution to virtual exchange platforms and or publication of a specific experience
- Support to national and regional information management centres
- **Systematization (impact, experiences, good practices)**

N.B. **proposals should include as an activity** (reflected in the budget and logical framework) the following:

1. Co-organisation and participation in a *National DIPECHO Workshop*
2. Participation in the 3 *Regional DIPECHO Workshops* (at least two people)
3. Capitalisation of the lessons learned, tools, experiences developed by the project.

4. SMALL SCALE INFRASTRUCTURE AND SERVICES

Other significant actions to protect and save lives are: strengthening basic infrastructure according to contingency plans and to promote small-scale mitigation works at community level.

Infrastructure support

Goods and services aimed at providing support to basic infrastructure within emergency plans.

Examples of activities:

- Improvement of basic services in an emergency situation (ex: access to safe water in secure areas)
- Construction and/or improvement of public temporary shelters
- Refurbishment of health post
- Rehabilitation and sign-posting of evacuation routes
- Works associated with safeguarding livelihoods

Small-scale mitigation works

Small-scale infrastructure works aimed at reducing physical and economic vulnerability, which serve to complement the preparedness component of the project strategy. These activities shall protect life and/or basic resources.



Examples:

- Protection walls along river banks
- Structural works on existing public buildings to increase their resistance to disasters
- Small scale reforestation for slope stabilisation
- Training on action and maintenance systems
- Provision of knowledge and tools for replication of measures in neighbouring communities or for integration into local development plans

5. STOCKPILING OF EMERGENCY AND RELIEF ITEMS: targeting the reinforcement of the response capacity of local actors and institutions in disaster-prone areas in view of ensuring an adequate response in the early hours and days of a disaster. Activities in “stock-building of emergency and relief items” will be supported only in complement with the other listed activities. **Replenishment of stocks already purchased cannot be supported under the same agreement**

Examples:

- Stockpiling of emergency non-food items at local level through mandated actors, entities or local partners
- Training on stockpiling and warehouses management
- Establishment of distribution mechanism
- Establishment of links with suppliers

An adequate level of transparency and accountability needs to be ensured for this component (details must be provided in the proposal).

2.5 Priorities in terms of regions and hazards:

Activities must be located in one or more of the following eligible countries and/or territories: Anguilla (OCT), Antigua and Barbuda, Netherlands Antilles (OCT), Aruba (OCT), Bahamas, Barbados, Belize, Cuba, Dominica, Grenada, Guyana, Haiti, Cayman Islands (OCT), Turks and Caicos Islands (OCT), British Virgin Islands (OCT), Jamaica, Montserrat (OCT), Dominican Republic, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago¹⁰.

APPLICABLE TO ALL COUNTRIES:

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

¹⁰ OCT: Overseas Countries and Territories, as defined by EC Regulation 2001/829/EC of 27 November 2001 on the association of overseas countries and territories with the European Community



DG ECHO welcomes projects that take into account:

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

2.5.1 DIPECHO and DRR – All Projects

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

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



2.5.2 *Compulsory Project components –all projects¹¹*

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

- All proposals should include, as part of their assessment, a **mapping of institutions** working in the geographic area of the project including an analysis of all stakeholders
- **Coordination** mechanisms at all relevant levels and for the necessary area/sectors/topics with specific emphasis on DIPECHO partners' coordination in given country.
- **Joint initiatives** (communication, awareness campaigns, visibility etc.)
- When possible and relevant, **collaborative strategy formulation and planning** among potential DIPECHO partners, but also jointly with other interested DRR agencies, in a country or region of action is encouraged. This can take the form of joint projects (consortia) or joint initiatives implemented through a series of projects.
- Actions aiming at **documenting, disseminating and integrating lessons learned and good practices** in strategies beyond the project perspective, at country and regional levels. This implies supporting the organisation of *ad hoc* events or processes within the projects duration.
- Cross-visits, exchange of experience and similar activities promoting **cross-fertilisation**.
- When possible and relevant **joint monitoring/evaluation** mechanism for a country, topic or sector.
- **Linkages between local, national and relevant regional initiatives** should be clearly stated in the proposals.
- **Proposals should include as an activity** (reflected in the budget and logical framework) the following: contribution to the elaboration/update of the DP country document if relevant.

2.6 Visibility and communication requirements

New approach

With a view of boosting the impact of the resources, both human and financial, that ECHO devotes to communicating about its humanitarian aid, a new approach has been adopted whose objective is to limit to the basics visibility and communication activities funded through agreements with the partners and develop communication activities managed directly by DG ECHO information unit.

Therefore the funding that partners can normally allocate to institutional visibility/communication in humanitarian operational agreements is limited to a maximum of €8,000 or 0.5% of the direct eligible costs, whichever is smaller. No minimum figure is imposed.

¹¹ Refining of the proposed actions and corresponding costs will take place when the pre-selected projects are negotiated in each country and regionally.



These amounts are sufficient for partners to meet the costs arising from basic visibility obligations in the FPA (stickers, posters, signboards, tee-shirts etc.) with a modest margin in larger financing agreements for pro-active communication work in line with Article 4.1 of the FPA General Conditions. In very limited circumstances, DG ECHO might consider specific proposals from experienced partners for larger amounts to be spent on communication actions but only on the basis of convincing impact indicators set out in the single form and following prior discussion with ECHO A5.

Eligible activities

Activities funded under the Visibility Heading will have the following objectives:

- 1 - Making visible EC support to the project
- 2 – Raising awareness on the DIPECHO-funded project and its aims, plus the role of the EC and its partner.
- 3 - Promoting the role/mandate of the European Commission Humanitarian Aid Department (ECHO), especially its principles of intervention: needs based operations implemented through non-governmental partners (European NGOs, Red Cross Movement, UN specialised agencies)
- 4 – Promoting the humanitarian principles: humanity, impartiality, independence and neutrality.

This is distinct from activities considered eligible under Advocacy and Public Awareness-raising, where the objective will favour promotion of Disaster Risk Reduction and the Hyogo Framework for Action, in which reference must be made to the EC support, and the role of the partner and the European Commission.

Basic visibility activities for **donor identification**, such as the use of signboards and stickers, are **mandatory** unless they entail security risks for the partner's staff.

In terms of communication activities, the activities expected could consist of:

- i. a press release at the signature of the agreement or the project's start
- ii. a press release or event for closure or a key achievement of the project
- iii. an article in the partner's newsletter/web-site mentioning EC role and support to the project, with display of ECHO logo and a link to DG ECHO website (<http://ec.europa.eu/echo>)

Those basic communication activities generate very limited expenditure and often no cost at all, for the projects.

Some other activities could be envisaged for limited expenditure:

- iv. an article in European media with full recognition of the EC funding.

How to meet the requirements?

The visibility and communication activities planned, their objective, target group, timing, relevant costs (unit costs, quantities and distribution planned should be provided) and expected impact is to be included under section 9 of the Single Form and the related total amount under section 4.3.2.y. (first



line) of the Single Form (See Single Form Guidelines). It should clearly reflect the two categories of activities:

- i. Basic visibility for donor identification (e.g. stickers, signboards, etc.)
- ii. Communication activities

Please note that **activities which are part of the operational content of the project and which, by definition, require the use of communication tools, cannot be funded under the Visibility Heading** e.g. training manuals and advocacy campaigns. These should nevertheless feature the visual identity, like all supplies and equipment funded by the European Commission.

Support available

New visibility guidelines for partners have been produced to reflect DG ECHO new approach on visibility and communication issues. Those guidance sheets are available on DG ECHO website: http://ec.europa.eu/echo/about/partners_en.htm

For further questions, please contact DG ECHO Information Unit:
echo-info@ec.europa.eu

2.7 Mainstreaming

As per minimum requirements under the Hyogo Framework for Action 2005–2015, a gender perspective should be integrated in all disaster risk management policies, plans and decision-making processes, including those related to risk assessment, early warning, information management, and education and training.¹² Cultural diversity, age and vulnerable groups, such as disabled people, should be taken into account when selecting the target beneficiaries and when designing implementation strategies.

As per DG ECHO's priorities, an increased ***involvement of women, children, the elderly, ethnic minorities, vulnerable groups such as disabled*** is strongly encouraged.

Non exhaustive examples: training of relevant personnel of implementing agencies, community facilitators, decision-makers on inclusion of gender and in particular women's involvement, consultation and participation in projects, development of training materials in local languages, hiring bi-lingual staff, 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.

¹² As reaffirmed at the twenty-third special session of the United Nations General Assembly on the Topic "Women 2000: gender equality, development and peace for the twenty-first century".



Early warning systems should be designed which are timely and understandable to those most at risk, and which take into account demographic (particularly children and elderly), gender, cultural and livelihood characteristics of target audiences, including guidance on how to react to warnings in an effective way.

Project proposals should ensure equal access to appropriate training and educational opportunities for women and vulnerable groups, and should promote gender and cultural sensitivity as integral components of education and training for disaster risk reduction.

Climate change adaptation cannot be the sole focus of a specific and ad hoc DIPECHO project. However, projects should promote the integration of components reflecting the necessity to raise awareness on evolving trends and looking at links between DRR and climate change (CC), always **in a natural disaster context**. Focus must be kept on the consequences of CC on disaster risk reduction at local level subnational and national levels. To estimate the climate change related risks, a preliminary assessment of the potential impacts of CC can be done.

Non exhaustive examples: where scientific data confirmed the impact of CC on natural disaster trends, increased awareness raising on integration of CC adaptation into programming and planning (both through community based activities and public awareness campaigns), preparation of climate risk assessments and action plans ,reinforced vulnerability and risks and capacities assessments, early warning systems, land-use planning and building codes, institutional and legal capacities, development of guidelines and tools on how to better communicate CC in a DRR context, improving and adapting practices/behaviours affecting environment and livelihoods (in a DRR context).

Partners are encouraged to consider Sphere minimum standards, indicators and guidance notes so as to ensure the quality of the DP actions proposed.

3. FINANCIAL ALLOCATION PROVIDED

The total amount available for the Seventh DIPECHO Action Plan in the Caribbean is **EUR 5,000,000**. This allocation is subject to adoption of a funding decision by the European Commission, which reserves the right not to award all the funds.

The Commission reserves the right to award a grant of less than the amount requested by the applicant. Grants will not be awarded for more than the amount requested.

A grant may not exceed **80 %** of the total eligible project costs of the Action. The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget.



4. RULES OF THIS MANIFESTATION OF INTEREST

These guidelines set the rules for submission, selection and implementation of projects financed under the Seventh DIPECHO Action Plan in the Caribbean 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 Communities (Council Regulation N°1605/2002) and its implementing rules (Commission Regulation 2342/2002):

4.1 Eligibility criteria

There are three sets of eligibility criteria, relating to:

- organisations which may request an agreement
- actions for which an agreement may be awarded
- types of cost which may be taken into account when setting the amount of the agreement

4.1.1 Eligibility of applicants: Who can apply?

In order to be eligible for a DIPECHO agreement for the Caribbean, applicants must:

- be in one of the following categories :
 - A **Non-Governmental Organisation** signatory of the Framework Partnership Agreement (FPA) with the Humanitarian Aid Directorate General (DG ECHO) or in a position to become FPA signatory in accordance with the procedures in place at the moment of signature of the Grant Agreement.
 - An **international organisation**, i.e. organisation of an inter-governmental nature founded by an agreement between States, covered by the Financial and Administrative Framework Agreement (FAFA) between the European Community and the United Nations or signatory of an FPA for International organisations or in a position to become an FPA signatory in accordance with the procedures in place at the moment of the signature of the Contribution Agreement
 - A **specialised agency of an EU Member State**.
 - A **consortium of the above**. In case of consortia, the application should be made by a lead agency and countersigned by all consortium members. The lead agency will be responsible for all operational, administrative and financial matters vis-à-vis the Commission. The lead agency in the consortium should respond to one of the three categories mentioned above.
 - Applicants must be **directly responsible** for the preparation and management of the operation, not acting as an intermediary.



- Potential applicants may not participate in calls for proposals or be awarded agreements if, in accordance with article 114 of the new Financial Regulation applicable to the general budget of the European Communities (Council Regulation N° 1605/2002), they are in one of the situations referred to in Articles 93 and 94 of the same Regulation. This Regulation is available in DG ECHO's web page: http://europa.eu.int/comm/echo/partners/selection_en.htm.

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

Amount:

There are no restrictions on the total cost of the operation. However, the total of grants allocated under this Action Plan cannot exceed the amount in section 2 above.

Strategic orientation:

As a matter of principle, project proposals will only be accepted from partners who can demonstrate that they pursue disaster preparedness as part of their institutional strategy.

Projects funded should focus on community-based organisations and non-governmental partners. Nevertheless, liaison with national and local institutions (such as national emergency organisations, national meteorological services and municipalities) is important.

Thematic orientation:

Two thematic considerations will be prioritised:

1. The overriding thematic priority of this Action Plan is to have a multi-hazard approach to disaster preparedness, integrating hydro meteorological hazards as well as geological hazards as pilot actions.
2. Identify gaps and solutions to support Disaster Management in areas/countries where projects are proposed (capacity building in disaster management to prepare institutionally for the response)

Location:

Activities must be located in one or more of the following eligible countries and/or territories: Anguilla (OCT), Antigua and Barbuda, Netherlands Antilles (OCT), Aruba (OCT), Bahamas, Barbados, Belize, Cuba, Dominica, Grenada, Guyana, Haiti, Cayman Islands (OCT), Turks and Caicos Islands (OCT), British Virgin Islands (OCT), Jamaica, Montserrat (OCT), Dominican Republic, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago. Haiti is considered to be the most vulnerable country in the region, and applications for Haiti will be given priority.



Duration of the project:

Project duration is limited to 15 months. In no event will agreements be provided for actions that have already been completed.

Double funding:

To avoid double funding, applicants must list other funding applications they have submitted or will submit to the European Institutions and/or other funding institutions during 2009, indicating for each agreement the Community Programme/funding institution concerned the title of the operation and the amount requested.

Number of proposals per applicant:

Applicants can submit more than one project proposal. Each proposal should be submitted in a separate envelope.

Type of actions covered:

An agreement may be awarded for an action which has already begun only if the applicant can demonstrate the need to start the action before the agreement is signed. In such cases, expenditure eligible for financing may not have been incurred prior to the date of submission of the application. No agreement may be awarded retrospectively for actions already completed.

The following types of action are also ineligible:

- individual sponsorship for participation in workshops, seminars, conferences or congresses
- individual scholarships for studies or training course

4.1.3 Eligibility of costs: Costs which can be taken into consideration for the agreement

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

A lump sum not exceeding 7% of the direct eligible costs of the Action may be claimed as **indirect costs** to cover the administrative **overheads** incurred by the Beneficiary for the Action. Indirect costs are eligible provided they do not include costs assigned to another heading of the agreement budget.

No contingency reserves will be accepted.

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



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

http://europa.eu.int/comm/echo/partners/index_en.htm

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

4.2 How to apply and which procedures to follow

4.2.1 Application form and supporting documents

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

The application form is available on the DG ECHO web site at
http://ec.europa.eu/echo/about/actors/fpa_en.htm

- (English version) or
- http://ec.europa.eu/echo/about/actors/fpa_fr.htm
(French version).
- International Organisations must download the appropriate Single Form from DG ECHO’s web site at: http://ec.europa.eu/echo/about/actors/fpa_en.htm (If FPA) and http://ec.europa.eu/echo/about/actors/fafa_fr.htm (if FAFA)
- The complete application must include the **Single Form** as well as a **signed cover letter** and **relevant supporting documents**.
- Applicants must apply in either **English** or **French**
- Handwritten applications will not be accepted.

Please complete the application form carefully. Be precise and provide enough detail to ensure the application is clear, particularly as to how the aims of the operation will be achieved, which benefits will flow from it and the way in which it is relevant to the objectives of this Action Plan.



4.2.2 *Supporting documents*

- Correspondence from any relevant entities such as local partners, authorities and institutions, upon whom the success or viability of the project may depend.
- Brief description of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources.
- If already known, **curriculum vitae** of the main personnel responsible to perform work in connection with the project, and when available, a list of staff connected to the project, and a statement on what proportion of their time will be dedicated to the project. Please note that DG ECHO will require the allocation of adequate human resources. The presence of expatriate staff or at least staff with an international experience (having worked outside their own countries) on the projects in order notably to ensure proper follow-up of DG ECHO procedural rules is recommended. This person will be the DG ECHO interlocutor at field level.
- Further information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations.
- Correspondence from other co-financing entities regarding their contribution to the project.
- Map of exact location of the proposed action.
- Any other annex considered important.

4.2.3 *Where and how to send the applications*

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

Postal address:

DG ECHO A/4
Seventh DIPECHO Action Plan for the Caribbean
For the attention of the Head of Unit, Esko KENTRSCHYNSKYJ
European Commission
B-1049 Brussels

Address for hand-delivery or delivery by courier service:

DG ECHO A/4
Seventh DIPECHO Action Plan for the Caribbean
For the attention of the Head of Unit, Esko KENTRSCHYNSKYJ
Avenue du Bourget 1 (Courrier central)
European Commission
B-1140 Brussels

And electronically to the following address: echo-central-mailbox@ec.europa.eu

An electronic copy of the proposal and other documents to ECHO country responsible at HQ and field level:



EUROPEAN COMMISSION
Directorate-General for Humanitarian Aid – DG ECHO
DG ECHO Disaster preparedness program - DIPECHO

For Cuba

HQ: Susanne Mallaun at susanne.mallaun@ec.europa.eu

Field: Peter Burgess at peter.burgess@ec.europa.eu

For Haiti

HQ: Angela Pollitzer at angela.pollitzer@ec.europa.eu

Field: Damien Berrendorf at echo.haiti@gmail.com

For the rest of the region

HQ: Mikel Usabiaga at mikel.usabiaga-flores@ec.europa.eu

Field: Vicente Raimundo at SantoDomingo@echodom.net

For further information or questions please contact the relevant HQ or field contact.

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

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

4.2.4 Deadline for receipt of applications

The deadline for receipt of applications is:

13 July 2009.

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

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

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 delay is due to the courier service.

4.2.5 Acknowledgement of receipt

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



5 Evaluation and selection of applications

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

5.1 Administrative compliance

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

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

5.2 Eligibility of the applicants and operations

- Verification that the applicant and the operation are eligible, according to the criteria set out above.

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

5.3 Evaluation of the proposals and financial evaluation

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

This will be done in three steps.

DG ECHO will first proceed with a preliminary evaluation of the **applicants' financial and operational capacity to ensure that they:**

- have sufficient sources of finance to maintain their activity throughout the implementation period and, where appropriate, to participate in its funding;
- have the professional competence and qualifications required to complete the proposed action. This also applies to any implementing partners of the applicant.

The two key questions will be:

- ❖ Do the applicant (in particular the project coordinator/manager) and local partners have adequate **experience of project management in the country where the project is proposed?**



- ❖ Do the applicant (in particular the project coordinator/manager) and local partners have sufficient **technical expertise in terms of Disaster preparedness, mitigation and prevention or Risk Reduction** project management in the Caribbean Region, and preferably in the country where the project is proposed?

Applicants being evaluated, who are deemed to have insufficient financial and operation capacity, will not have their proposals further evaluated.

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

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

(1) Relevance
1.1 How relevant to the particular needs and constraints of the target country (ies) or territory(ies) is the proposal?
1.2 How clearly defined and strategically chosen are the target groups ? N.B. A high score can only be attributed if the proposal targets the poorest and most vulnerable populations.
1.3 How relevant is the proposal to the needs of the target group(s) ?
1.4 How relevant is the proposal to the objective as well as to the orientation of the Action Plan ? N.B. A high score can only be attributed if the proposal specifically addresses both aspects.
1.5 How relevant is the proposal to the thematic and geographic priorities of the Action Plan?
1.6 How coherent, appropriate and practical are the activities proposed?
1.7 To what extent does the proposal contain specific elements of added value , such as innovative approaches, models for good practice and promotion of gender awareness and equal opportunities?
1.8 Applicants submitting proposals for the Dominican Republic should use the "Country Document" discussed and validated during the Consultative Meeting held on Santo Domingo from 18-20 February 2009 and by the Dominican National Emergency Commission (CNE) on March 2009 as a guide and a key reference for building their proposals.
1.9 Applicants submitting proposals for Cuba should follow priorities as outlined in Annex 1.
1.10 Applicants submitting proposal for Haiti should use the documentation elaborated during the Consultative Meeting held in Santo Domingo on the 18-20 February 2009.

Please note that those proposals not evaluated with a good level of relevance will also not be further evaluated



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

(2) Methodology
2.1 How coherent is the overall project design ?
2.2 Are monitoring and evaluation systems clearly defined and realistic?
2.3 How satisfactory is the level of involvement and activity of local implementing partners ?
2.4 How satisfactory is the co-ordination with national and international disaster management structures?
2.5 How satisfactory is the communication strategy ?
2.6 How clear and feasible is the Work Plan (point 4.4 of the Single Form)?
2.7 To what extent does the proposal contain objectively verifiable indicators for project outcomes?
(3) Sustainability/replicability
3.1 To what extent is the project likely to have a tangible impact on its target groups, in particular the poorest and most vulnerable populations?
3.2 To what extent does the proposal contain potential multiplier effects ? (including potential for replication, extension of project outcomes and dissemination of information at regional level)
3.3 To what extent are the results of the proposed project sustainable :
- financially (<i>How will the activities be financed after EC funding ends?</i>)
- institutionally (<i>Will structures allowing the activities to continue be in place at the end of the project? Will there be local “ownership” of project outcomes? What will the mechanisms be to ensure sustainability?</i>)
- locally (<i>what are the links and coordination with the relevant authorities?</i>)
- at policy level, where applicable (<i>What will the structural impact of the project be e.g. will it lead to improved legislation, codes of conduct, planning and good practices?</i>)
(4) Budget and Cost-effectiveness
4.1 To what extent is the budget clear and detailed ?
4.2 is the ratio between the estimated costs and the expected results satisfactory (taking into account in particular the level of co-financing)?
4.3 Is the proposed expenditure necessary for the implementation of the action (adequacy of the budget with the proposed activities) (points 4, 10 and 11 of Single form and budget breakdown)
Please note that costs related to activities must be indicated in the Single form and Logical



Framework

4.4 Is the beneficiary's participation **satisfactory**?

4.5 Are the **material** resources described in point 4.3.2 and **procurement** procedures described in annex A in case of Partners under the A control mechanism?

6 Estimated time-frame following receipt of proposals and notification of the European Commission's decision

- DG ECHO intends to evaluate the proposals by **mid-August 2009**
- The pre-selected proposals should be negotiated during the course of **August 2009**
- **Most projects are expected to start at the beginning of September 2009.**

Applicants will be informed in writing of the European Commission's decision concerning their application. Justification will be provided concerning any decision to reject its application. A decision to reject an application or not to award an agreement is final.

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

Bearing in mind that the funding decision has 1 September 2009 as start date, the earliest start date of actions is 1 September 2009.

7 Check list of Documents to send

Application forms

The application has been filled in full on the proper form (Single Form)

The application is typed, in English or French

A signed cover letter is attached

The application contains a financial overview of the total eligible costs (i.e. including both the requested European Commission's contribution and the co-financing share) in euro (table 11 of single form).

The requested European Commission's contribution does not exceed 80.00% of the total eligible costs of the action



In the financial overview, the overheads do not exceed 7% of the direct eligible costs

The financial overview includes only eligible costs and no in-kind contribution

One original hard copy with all supporting documents has been sent to the European Commission

An electronic copy of the file has been sent to DG ECHO and to ECHO representatives in respective countries (as specified under 7.2)

Supporting documents

For all the applicants:

All annexes have been attached to the original paper application (hard copy) sent to the European Commission in Brussels

All annexes have been copied and sent by email to DG ECHO Brussels and to responsible DG ECHO expert in the field (or burn on CD if too large)

Correspondence from other bodies (for example governments) on whose participation in whatever way the success or viability of the project may depend

Correspondence from other co-financing entities regarding their contribution to the project.

Description of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources have been attached

Curriculum vitae of the main personnel responsible to perform work in connection with the project, and, if available, a list of staff connected to the project, and a statement on what proportion of their time will be dedicated the project.

Further relevant information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations has been attached

Map of exact location of the action

8. USEFUL LINKS FOR APPLICANTS

Financing Decision “DIPECHO Seventh Action Plan for Caribbean”

ECHO/DIP/BUD/2009/03000:

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



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

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

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

External evaluations of the DIPECHO Caribbean Program:

http://ec.europa.eu/echo/policies/evaluation/thematic_en.htm

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

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

9. GLOSSARY

- CC Climate Change
- CBDRR Community-Based Disaster Risk Reduction
- CDMP Comprehensive Disaster Management Program
- DM Disaster Management
- 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
- IEC Information, Education and Communication (materials)
- IFRC International Federation of Red Cross Red Crescent Societies
- IOM International Organisation for Migration
- ISDR International Strategy for Disaster Reduction



EUROPEAN COMMISSION

Directorate-General for Humanitarian Aid – DG ECHO

DG ECHO Disaster preparedness program - DIPECHO

LRRD Linking Relief, Rehabilitation and Development
SMART Specific, Measurable, Achievable/Attributable,
Relevant/Realistic/ Time bound / Trackable /Timely/Targeted (indicators)
UN United Nations