



**European Commission**

**Guidelines for proposals**

**under the**

**FIRST DIPECHO ACTION PLAN FOR SOUTH EAST AFRICA AND  
SOUTH-WEST INDIAN OCEAN**

**for actions in the following countries:**

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

Deadline for submitting proposals :  
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## 1. BACKGROUND

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

These guidelines set out the rules for the submission, selection and implementation of proposals for action financed under the First DIPECHO Action Plan for south-east Africa and the south-west Indian Ocean, in conformity with the provisions of DG ECHO’s Framework Partnership Agreement (FPA) and the Financial Regulation applicable to the general budget of the European Community.

In July 2008, the European Commission adopted the Humanitarian Aid Decision ECHO/DIP/BUD/2008/04000 “First DIPECHO Action Plan for south-east Africa and the south-west Indian Ocean”. The total amount of the Decision is EUR 5,000,000. It covers the period 1<sup>st</sup> October 2008 – 31<sup>st</sup> March 2010.

Applicants should thoroughly consult the reference documents and materials, in particular the text of the Humanitarian Aid Decision ECHO/DIP/BUD/2008/04000, 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.

The present guidelines reflect the outcomes, in terms of geographical and thematic priorities, of consultations with various stakeholders undertaken in the South East African/South West Indian Ocean region (Maputo, Lilongwe, Antananarivo) during April 2008, which took place after a series of preparatory meetings in each of the countries. They also integrate the recommendations of an external ex-ante evaluation, conducted in January 2007, of the level of disaster preparedness in the countries concerned.

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

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

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

## 2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES FOR THE FIRST ACTION PLAN FOR SOUTH-EAST AFRICA AND SOUTH-WEST INDIAN OCEAN

As per Financing Decision ECHO/DIP/BUD/2008/04000, the overriding objective of this DIPECHO Action Plan is *"to support strategies that enable local communities and institutions to better prepare for, mitigate and respond adequately to natural disasters by enhancing their capacities to cope and respond, thereby increasing resilience and reducing vulnerability"*, primarily by:

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

## 3. PRIORITIES OF THE FIRST DIPECHO ACTION PLAN FOR SOUTH-EAST AFRICA AND SOUTH-WEST INDIAN OCEAN

- All proposals shall fit within the strategy elaborated in the Financing Decision ECHO/DIP/BUD/2008/04000, in particular in sections 1 ("Rationale, Needs and Target Population") and 2 ("Objectives and Components"). Any action not corresponding to the criteria set out in the Decision, in particular in its objectives (2.2) will not be considered eligible.
- Applicants are encouraged to consult the materials provided during and after the national consultative meetings. These provide further details on priorities and orientations for DIPECHO in south-east Africa and south-west Indian Ocean for the period 2008-2009, as well as on joint and individual activities to be addressed in all proposals.

In addition, all applicants should pay particular attention to the following principles, applicable to DIPECHO :

- **Pilot initiatives** remain at the core of DIPECHO interventions, in order to encourage innovative measures. The pilot aspect implies that the proposed geographic coverage

of an action should be modest. Applicants should take into account the timeframe available under the DIPECHO programme. Pilot actions which have already been tested and demonstrated should aim at integration into wider frameworks (local planning, development programmes, dissemination tools, etc.).

- **Documentation and dissemination** of the experience already gained, as well as development of tools to promote the integration of disaster risk reduction (DRR) into the above mentioned 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), respecting copyrights.
- While the DIPECHO programme concentrates on community-based actions, for pilot actions which have already been tested, **scaling-up measures** should be considered through relevant local actors. In this context, the design of multi-phased programmes and strategies should clearly foresee a scaling-up component through the DIPECHO actions themselves or through other longer-term instruments.
- DIPECHO aims at **reinforcing local capacities and systems**. Applicants should, therefore, work with and through local organisations and institutions as a priority. These actors should be involved at all stages of the programme (design, implementation, monitoring and evaluation, follow-up and takeover).
- In the context of DG ECHO's mandate, DIPECHO has a **short-term nature (15 month actions)**. For this reason applicants should design their actions in order to ensure that the proposed objective can be achieved and measured by "SMART" indicators in this timeframe.
- In view of the DRR framework, applicants are encouraged to plan their programme for the medium/long term, if necessary with several phases, some or part of which could be considered for DIPECHO funding. Although efforts can be made through continued Action Plans, DG ECHO cannot guarantee consecutive funding phases; it is thus necessary to ensure capacities to fill funding gaps. For **multi-phased, long-term approaches**, applicants should therefore look at DIPECHO support only as a contribution to an established or planned process. Applicants involved or interested in long-term programming should provide an outline of their strategy including a phase-down/consolidation or hand-over.
- Applicants can propose **ad hoc, focused or stand-alone disaster preparedness activities**, in particular when they apply an innovative approach.

### 3.1. DIPECHO and DRR – ALL ACTIONS

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

- DIPECHO concentrates specifically on **preparedness measures for natural disasters**, which are themselves components of the international **Disaster Risk Reduction agenda**. Any activity which can support an improved integration of DRR measures into wider frameworks will, therefore, be favourably considered. The proposed actions should, however, fit into the list of eligible activities foreseen under this Action Plan.
  - *Non exhaustive examples: advocating, training, increasing awareness of/disseminating experience among those stakeholders susceptible to take over*

*actions piloted under DIPECHO actions; 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.
- As per DG ECHO's priorities, improved and regionally adapted tools on mainstreaming **gender, children, disabled and people affected by HIV and AIDS** should be promoted.
  - *Non exhaustive examples (with adaptation to the regional context): training of relevant personnel of implementing agencies, community facilitators, decision-makers on inclusion of gender, child-focus, disability and HIV and AIDS issues in programming; awareness raising measures; measures promoting increased participation of the above-mentioned groups in leadership and implementation; development and dissemination of tools and materials.*
- **Adaptation to climate change** cannot be the sole focus of a specific and *ad hoc* DIPECHO action. However, actions can integrate 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**.
  - *Non exhaustive examples: where scientific data has confirmed the impact of CC on natural disaster trends, increased awareness raising on integration of CC adaptation into programming and planning (ad hoc target groups); reinforced vulnerability and risk assessments, early warning systems, land-use planning and building codes, institutional and legal capacities; development/dissemination of guidelines and tools on how to communicate CC better in a DRR context; improving and adapting practices/behaviours affecting environment and livelihoods (in a DRR context).*
- Recognising that the process of raising risk awareness, risk identification, strengthening capacities, increasing resilience, installing sustainable planning and management systems, etc. at community level is a process that can only be achieved over the long term, DIPECHO will not ignore proposals for DP strategies that are **multi-phased in nature** (i.e. can entail a series of phases financed over  $\geq 1$  action plan)<sup>2</sup>. This might entail for example the following programming phases: inception; consolidation; phase-out and evaluation. For this to be possible the **partner must demonstrate a clearly defined overall intervention strategy at the time of submission** that will **ultimately conclude with phase-out and handover**, either to the target community / institution, the appropriate authorities, or an appropriate longer term funding instrument, such that **sustainability** of actions undertaken is maximised.
- A key interface in the development of DP strategies is the **National Disaster Management institutions**, which in many countries bear the responsibility for the articulation of a national risk reduction policy. However, this does not preclude a **multi-ministerial** planning / programming dialogue.

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<sup>2</sup> **N.B.** Although willing to accept 15 month proposals that comprise a component part of a multi-phased strategy of engagement, DIPECHO financing is subject to the same financial regulations that govern DG ECHO funding. Consequently, **DIPECHO can offer no guarantee** that funding will be made available for subsequent phases of the strategy.

- The development of all programme strategies to be submitted to DIPECHO must assimilate the *lessons learned* from past DP programming in each respective country and incorporate these in current strategic deliberations.

### 3.2. Compulsory components –all actions<sup>3</sup>

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

- The *starting point for the intervention logic of any DIPECHO supported action must be the hazard itself*, and not a problem that is essentially structural in nature, with no link to a disaster. This entails a *thorough analysis of the natural disaster context* (at the appropriate scale) that generates the following:
  - i. a typology of hazards in evidence,
  - ii. the determination of the range of negative consequences of these hazards (some of which can be termed disasters),
  - iii. an analysis of these negative consequences and a prioritisation of those considered most important by the population(s) at risk,
  - iv. a breakdown of the needs ensuing from these hazards and the identification (prioritisation) of those which can most appropriately be addressed by DIPECHO.
- For a **disaster preparedness strategy** (particularly at community level) to have relevance from the perspective of the end-user, it should **address the most pressing concerns of the community**, even individual households. Without thorough analysis through Hazard Vulnerability Capacity Assessment (HVCA) / rapid Participatory Rural Appraisal (PRA) for example, this can easily be overlooked by external actors when formulating an appropriate intervention strategy.
- In recognition of the complementary nature of DP programming and its contribution to protecting cumulative development gains accrued thus far, all community-based DIPECHO strategies are to be *developed within the context of an ongoing, established development strategy* with the target community. DIPECHO support should not be solicited for actions at the community level where a minimum development interface does not already exist<sup>4</sup> – it is *not to be seen as a start-up fund*. Even where a DIPECHO strategy is introduced as an exit vehicle for the phase-out of a DG ECHO strategy, thereby facilitating the linking of a humanitarian relief intervention with rehabilitation, recovery and development (LRRD), long term development perspectives must be considered.
- **Complementarity with other cooperation instruments of the European Commission**. All actions submitted must be *coherent with* (and ideally contribute

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<sup>3</sup> Refining of the proposed actions and corresponding costs will take place when the pre-selected actions are negotiated in each country and regionally.

<sup>4</sup> The introduction of a DIPECHO action should at the very least have been preceded by a substantial social-anthropological- economic study and PRA so as to ensure that the basic community dynamics, governance and decision making systems are adequately understood.

to the strategic objective of) *ongoing and planned instruments of EC cooperation* in the third country, including DG ECHO where relevant.

- *Strategic planning and programming should be undertaken in a fully inclusive manner* in order to ensure harmony and promote synergy with other disaster risk reduction strategies in targeted areas of action (sponsored by other funding sources and executed by other implementing agencies). *Collaborative strategic formulation and planning between prospective DIPECHO partners* in a country (zone) of operation that promotes synergy is encouraged.
- Small-scale mitigation activities are to remain *secondary and complementary* (both in terms of strategic priority and resource allocation) to *DP programming*. The resources available under a DIPECHO Action Plan *are not to be considered an alternative funding source* for actions that are eligible for other medium- to long-term funding instruments of the European Commission or other multi- or bi-lateral sources. Proposals that seek merely to address structural issues, for example, of food insecurity or inadequate delivery of basic services, *will not be considered eligible*. Actions of this kind will need to clearly fit within the development of a disaster risk reduction strategy that is both complementary and enhances sustainability. Only those small-scale mitigation activities that have been defined in function of the broader disaster risk management planning process at the local level will be considered eligible.
- The implementation of a successful DP strategy is dependent upon the sustained investment of all stakeholders at multiple levels before, during and upon completion of the project cycle, the omission of which, be it of the direct involvement of target beneficiaries in the community or the participation of the local authorities or others, *is likely to negatively affect the attainment of the objectives of the action*. This entails as complete an involvement of communities and relevant authorities as is feasible throughout the entire project cycle, from problem / hazard / risk identification, to conception and design of the action through implementation to evaluation and long-term hazard monitoring and management in order to ensure sustainability and replication.
- The strategic dialogue that results in the conception and design of DIPECHO funded DP actions will have to *successfully merge technical knowledge with indigenous knowledge* in a socio-culturally appropriate manner, thereby assuring an acceptable, effective system that capitalises on existing knowledge and capacities and consequently maximises the longevity of ownership and sustainability.
- At the core of the DIPECHO concept is the philosophy of chaperoning *pilot actions in DP so as to identify successful models for replication* elsewhere by other funding instruments of the European Commission, other donors or national governments. It has often been through the application of diverse, occasionally unorthodox strategies, that success could be claimed in terms of acceptability, sustainability and impact.
- Although disaster preparedness as a national policy is commonly in its infancy, many countries have developed *National Disaster Management Legislation*,



*Policies and Plans* to which preparedness and mitigation (and prevention) strategies contribute. The knowledge of, and contribution to these, are considered imperative in the preparation of a strategy for action to be submitted to DIPECHO.

- The operation and maintenance of a DP mechanism and its interrelated components, is often a bottleneck for sustainability. It is therefore imperative that strategies *encompass low cost solutions and technical assistance designs* that accurately reflect the degree of sustained budgetary commitment that can *realistically* be expected from national, sub-national and / or local budgets. The key components of a system that require maintenance by the community or nominated individuals must have a general relevance to the lives of community members.

In addition, all actions 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:

- **Coordination** mechanisms at all relevant levels and for the necessary area/sectors/topics.
- **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 operation is encouraged. This can take the form of joint actions (consortia) or joint initiatives implemented through a series of actions.
- Actions aiming at **documenting, disseminating and integrating lessons learned and good practices** in strategies beyond the perspective of the action, at country and regional levels. This implies supporting the organisation of *ad hoc* events or processes within the duration of the action.
- 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 national and relevant regional initiatives** should be clearly stated in the proposals.
- Proposals should include provisions for supporting, implementing and participating in the actions to be undertaken in 2009 in the framework of the **consultation process** for a possible Second DIPECHO Action Plan for south-east Africa and south-west Indian Ocean.
- Basic visibility and communication activities are a requirement. Innovative communication measures, in particular integrated into the activities and implemented jointly with other agencies, are welcomed. Guidance and tools are provided on DG ECHO's website.

## 4. COUNTRY/REGION SPECIFICATIONS

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

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

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

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

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

The following sections summarise the priorities per country in terms of geographical areas and hazards for the First DIPECHO Action Plan for Southern Africa and Indian Ocean. These priorities are the result of the national and regional consultative meetings organised on April 2008<sup>5</sup>. However, other interventions including a different type of hazard are possible in the framework of a multi-hazard approach.

#### **4.1. THE UNION OF THE COMOROS**

Focusing on the volcanic hazards, priority will be given to actions targeting any of the following geographical areas and hazards :

- **Central and southern Grande Comore – Ngazidja island** : volcanic eruptions and associated secondary hazards.

The following intervention sectors have been prioritised:

- Local capacity building, including elaboration of emergency plans at community level
- Institutional strengthening at community level
- Early warning systems
- Education and awareness
- Small-scale mitigation works and infrastructure support: accessibility to water.

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<sup>5</sup> For further details regarding these priorities, please refer to the country papers.

- Stock building of emergency and relief items

#### **4.2. THE REPUBLIC OF MADAGASCAR**

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

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

The following intervention sectors have been prioritised:

- Local capacity building, including elaboration of emergency plans at community level
- Institutional strengthening at community level and with regard to the follow-up of natural hazards
- Early warning systems taking account of local languages
- Education and awareness
- Small-scale mitigation works and infrastructure support: dykes and channels; grain storage facilities and community warehouses.
- Stock building of emergency and relief items, including spare parts for water supply systems

#### **4.3. THE REPUBLIC OF MALAWI**

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

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

The following intervention sectors have been prioritised:

- Local capacity building, including strengthening of community communication systems
- Institutional strengthening, developing standard training materials
- Early warning systems
- Education and awareness
- Small-scale mitigation works and infrastructure support: Creation / improvement of storage facilities (livelihood, NFIs) and reforestation.

- Stock building of emergency and relief items for Civil Protection Committees.

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

#### **4.4. THE REPUBLIC OF MOZAMBIQUE**

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

- **Earthquakes:** provinces of Niassa and Manica; inland areas of Sofala province
- **Northern Mozambique:** Floods (basin of the Licungo river), earthquakes, bushfires and cyclones
- **Central Mozambique:** Floods (basins of the Lower Zambezi and Save rivers), earthquakes, drought spells and bushfires
- **Southern Mozambique:** Floods (basin of the Limpopo river), drought spells, bushfires and cyclones (coastal areas of Inhambane province)

The following intervention sectors have been prioritised:

- Local capacity building
- Institutional strengthening.
- Early warning systems (earthquakes, floods and cyclones), hydrological and geophysical studies
- Advocacy
- Education and awareness,
- Small-scale mitigation works and infrastructure support: replication and systematization of dwellings/public buildings resistant to cyclones/earthquakes; community grain storage facilities in flood-prone areas; etc.
- Stock building of emergency and relief items

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

## **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 which entered into force on 1 January 2008,

- **International organisations and agencies with FPA<sup>6</sup> or FAFA<sup>7</sup>**
- **Other International Organisations without FPA**
- **Member States' specialised agencies**

- At the same time, these agencies are encouraged to **work through and with local organisations and institutions** with which they have established sound partnerships.
- A **consortium** of agencies may also apply. In this 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 administrative, legal and financial matters vis-à-vis the European Commission. The application should be countersigned by all consortium members.
- Applicants must be directly responsible for the preparation and management of the action, not acting as an intermediary.
- Potential applicants may not participate in calls for proposals or be awarded grants if, in accordance with article 114 of the Financial Regulation applicable to the general budget of the European Communities (Council Regulation N° 1605/2002), they are in one of the situations referred to in Articles 93 and 94 of the same Regulation.
- It should be noted that the list of potential partners inserted in point 6.2 of the Financing Decision ECHO/DIP/BUD/2008/04000 is not exhaustive and definitive. This list may be updated in line with the final selection of eligible applicants following the evaluation process.

## 5.2. ELIGIBLE ACTIONS

### DURATION OF ACTIONS

- The duration of an action should be maximum **15 months**.
- The action can start at the earliest on **1<sup>st</sup> October 2008**.
- All actions will have to take place **during the period 1<sup>st</sup> October 2008 – 31<sup>st</sup> March 2010**, with the exceptional cases of *force majeure or comparable circumstances* as described under point 2.3 of the Financing Decision ECHO/DIP/BUD/2008/04000.
- A grant may be awarded for an action which has already begun only where the applicant can demonstrate the need to start the action before the agreement is signed, but in no case prior to 1<sup>st</sup> October 2008. In such a case it is the applicant's own responsibility and risk to finance expenditures arising between the proposed start date and the signature of the grant agreement. The unilateral commencement of activities does not constitute or imply any legal obligation for the European Commission to sign a grant agreement.

### LOCATION OF ACTIONS

- Actions should be implemented in one or several of the following eligible countries: the Union of the Comoros, the Republic of Madagascar, the Republic of Malawi, the Republic of Mozambique.

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<sup>6</sup> ICRC, IFRC and IOM

<sup>7</sup> UN-agencies having signed the FAFA

- Applicants can consider the participation of relevant organisations or persons based in the Republic of South Africa and the "Département d'outre-mer" of La Réunion (France) in some of the activities proposed in their action for knowledge-sharing, in particular in the case of sub-regional and regional initiatives.

#### NUMBER OF ACTIONS

- 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<sup>8</sup>

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

**A - Local disaster management components** (linked to populations in disaster prone areas): Early Warning Systems (EWS), Mapping and data computerisation, information management, Local capacity building/training.

- ❖ **Target groups (sample):** community members, vulnerable groups, women, children, local authorities and decision makers, members of local disaster management committees, trainers, adult and youth volunteers, community facilitators, local rescue groups; local branches of institutions, of public entities, of media, of disaster management agencies; local planning entities; local non- governmental organisations etc.

**B - Institutional linkages and advocacy** (linked to institutions involved in disaster management): *Advocacy - Facilitation of co-ordination- Institutional strengthening.*

- ❖ **Target groups (sample):** national and sub-national institutions engaged in DRR; representatives of the government, of the legislative entities; donors and advisers; media; private sector; DRR practitioners; DRR agencies, civil society associations etc.

**C - Information, education, communication** (linked with catchment population): *Public awareness raising, Education*

- ❖ **Target groups (sample):** general public; media (also as vectors to reach other target groups) and their representatives (specific training and awareness measures to journalists, editors, students); teachers, school children, students, teaching institutions, personnel of the education sector including planners; children in general etc.

**D - Small-scale Infrastructure and Service:** *Infrastructure support and mitigation works.*

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<sup>8</sup> For more details on priority activities per country/region, see relevant points in the present Guidelines as well as sections 1.3 and 2.2 of the Financing Decision ECHO/DIP/BUD/2008/04000.

- ❖ **Target groups (sample):** community members, local authorities and planners; groups and associations (eg of communities, communes, parents); operation and maintenance committees; local masons and builders, construction experts etc.

#### **E - Stock building of emergency and relief items**

- ❖ **Target groups (sample):** Mandated entities and bodies such as the Red Cross/Red Crescent, the branches of Disaster Management Offices; local rescue committees and groups etc.
- Complementary eligible activities should be implemented in an integrated manner through mandated actors and agencies, provided that the scope of the action remains realistic and achievable and that agencies have the adequate skills in the proposed sectors. An adequate level of transparency and accountability needs to be ensured for such components.
- 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 actions, 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 activities. Replenishment of stocks already purchased cannot be supported.
- Such actions are to ensure that the skills and knowledge acquired will be applied immediately in a professional manner to save lives when a disaster strikes.
- For all activities, the relevant and corresponding support costs such as administrative expenses, logistics, audit, evaluation etc. are eligible.

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

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

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

- The overall amount made available for the First DIPECHO Action Plan in south-east Africa and south-west Indian Ocean is EUR 5,000,000.
- There is no specific pre-allocation per country. However, some general orientations will be taken into consideration when approving an action in each country (see above in point 4 and information sessions) to ensure the achievement of DG ECHO's strategic priorities both at country and regional levels.
- DG ECHO's contribution to an action should fall between a **minimum amount of EUR 100,000** and a **maximum amount of EUR 350,000**. Any request for an amount below the minimum or above the maximum stated should be duly justified.
- **DG ECHO's contribution will not exceed 85,00% of the total eligible costs of the action.**

- The balance of at least 15% of the total eligible costs must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget.
- There is no upper limit to the co-financing share and as a consequence to the total amount of the action.
- The proposal, both in the narrative and financial documents, should reflect the full amount proposed (ie the co-financing and the contribution requested to ECHO, without separate earmarking).
- Only "**eligible costs**" can be considered for a DIPECHO grant. The eligibility principles are established in the General Conditions to the FPA, the FPA for International Organisations, or the 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**.

## 6. HOW TO APPLY

### 6.1. APPLICATION

#### 6.1.1. Application forms

- Applications must be submitted in the Single Form format of the 2008 FPA, the FPA for International Organisations, or the 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**<sup>9</sup>.
- Hand written applications will not be accepted.

#### 6.1.2. Supporting documents accompanying the application

- Correspondence from any relevant entities such as local partners, authorities and institutions, upon whom the success or viability of the action may depend.
- Brief description of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources.
- Further information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations.
- Correspondence from other co-financing entities regarding their contribution to the action.
- Map of exact location of the proposed action.
- Any other annex considered important.

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<sup>9</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.



## 6.2. WHERE AND HOW TO SEND THE APPLICATIONS

An **electronic copy of the full application must be sent to the following two addresses:**

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

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

In addition, applications must be received at the address below **in one original, paper copy:**

Postal address:

DG ECHO– Unit A1

First DIPECHO Action Plan for south-east Africa and south-west Indian Ocean

To the attention of the Head of Unit, Mr. Cornelis WITTEBROOD

AN 88, 05/44

European Commission

B-1049 Brussels

Address for hand delivery or delivery by private courier:

DG ECHO-Unit A1

First DIPECHO Action Plan for south-east Africa and south-west Indian Ocean

To the attention of the Head of Unit, Mr. Cornelis WITTEBROOD

Avenue du Bourget, 1 (Courrier central)

B-1140 Brussels

## 6.3. DEADLINE FOR RECEIPT OF APPLICATIONS

The deadline for the receipt of applications (the first of either hard or electronic formats), is:

**31 AUGUST 2008, 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 circulated to all applicants.

<i>ECHO Brussels:</i>	<i>ECHO Harare:</i>
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Patricia Cavanagh Desk Officer Southern Africa/Indian Ocean <a href="mailto:patricia.cavanagh@ec.europa.eu">patricia.cavanagh@ec.europa.eu</a> Fax: +32.(0)2.299.28.77	Borja Cuervo Technical Assistant Southern Africa/Indian Ocean <a href="mailto:borja.cuervo-alonso@ec.europa.eu">borja.cuervo-alonso@ec.europa.eu</a> Fax: + 263 4 775 075
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## 7. EVALUATION AND SELECTION OF APPLICANTS

### 7.1. PROCEDURE - SUMMARY

- Applications will be examined and evaluated by DG ECHO with technical assistance from DG ECHO's Office for Southern Africa and the Indian Ocean and with the possible assistance of assessors from other services of the Commission involved in co-operation programmes in the region.
- Each individual action submitted by applicants will be assessed according to the criteria indicated below in “procedure – evaluation of proposals”.
- A second step in the evaluation will relate to the overall consistency and synergy among pre-selected quality proposals and with other ongoing interventions in the field of Disaster Risk Reduction in each country/the region. Proposals at regional 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 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 **September 2008**.
- The pre-selected proposals should be negotiated during the course of **September-October 2008**.
- Most actions are expected to start within the period **1<sup>st</sup> October - 1<sup>st</sup> December 2008**.
- The selected applicants will be offered the possibility of signing a grant agreement with 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.

- DG ECHO reserves the right to reject the applications failing to fulfil these criteria.

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

- 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 following criteria:

Criteria	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 3.0 of the present Guidelines).	4.3.1, 4.3.2
The entry point of the proposed action is a <b>natural hazard, or preferably a multi-hazard situation</b> . The needs assessment and the proposed intervention reflect this.	2, 3, 4.3.1, annexes
<b>Criteria</b> and methodologies applied to identify hazard(s), their recurrence, frequencies and impact, levels of <b>vulnerabilities</b> , and needs as well as constraints of target populations are clearly detailed and justified, based on reliable data, assessment, maps, scientific information from appropriate institutions.	2, annexes
The <b>most vulnerable populations and regions</b> are targeted	2, 4.1, 4.2
<b>Pilot aspects</b> are core to the strategy, aiming at demonstrating successful models for replication. Ideally a hand-over of the experience developed should be considered, in the country and if relevant in the region, in the framework of an exit strategy (LRRD).	2, 3, 4.3.2, 4.5, 5, 6, 7
Strategies encompass <b>low-cost solutions</b> , and technical assistance designs accurately reflecting the degree of sustained budgetary commitment that can realistically be expected from national, sub-national and/or local budgets.	2, 4.3.2, 5
The action builds on and <b>merges technical knowledge with indigenous knowledge</b> , respecting the socio-cultural contexts, thereby not only assuring an acceptable, effective system and capacities but also consequently maximising the longevity of ownership and sustainability.	2, 4.3.2, 5
<b>Community-based disaster preparedness measures</b> are developed within <b>ongoing or planned development strategies</b> in the target communities.	2, 3, 5
The development, consolidation, implementation and dissemination of bottom-up participatory methods such as Hazard Vulnerability Capacity Assessment ( <b>HVCA</b> ) and Participatory Rural Appraisal ( <b>PRA</b> ) are proposed. This includes where required the training of people engaged in such exercises. These methodologies favour relevant	2, 4, 5, (6, 7, 10)

<b>local practices</b> , materials and resources that can easily be replicated.	
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.	4.3.1, 4.3.2, 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 identified and 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, 4.3.2, 5, 7
<b>Relevant public entities, officials and stakeholders at the appropriate levels have been consulted in the design and will be involved at all stages</b> of the action (preparation, implementation, monitoring and evaluation, as well as follow-up and hand-over where feasible). Agreements by local authorities have been secured.	2, 4.2, 5, 6, 7, supporting documents
<b>Capacity-building</b> of local organisations and institutions, as well as mandated agencies such as the national Red Cross/Red Crescent Societies is appropriately considered. Where capacities and mandates exist, the action is implemented through or in close cooperation with the identified relevant local actors.	2, 4.2, 4.3, 4.5, 5, 6, 7
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.	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
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 action (supported by other funding sources and executed by other implementing agencies).	2, 3, 5, 6, 7, supporting documents
When feasible, the action aims at contributing to the strategic objective of all 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 as well as national levels</b> , are included. This takes into account linkages with other ongoing initiatives funded by other donors.	6
The identity and needs of the persons and entities involved in the action and in general the <b>target groups</b> and final beneficiaries are clearly defined and the proposed activities address them appropriately.	4.2, 4.3,
The <b>target beneficiaries</b> have been involved in the design and preparation of the action , and their role in implementation is clear.	4.2.5
When feasible, <b>gender, children</b> and <b>disabilities</b> issues are integrated in the action. Attention is paid to the design of interventions taking account of the specific needs of communities affected by <b>HIV and AIDS</b>	4.2, 4.3, 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	4.4, 8
The <b>activities</b> proposed are appropriate, practical and consistent with and fit into the local context.	4.3
The <b>action plan</b> is clear and feasible. It reflects the analysis of the problems to be addressed, takes into account external factors and when relevant anticipates an <b>evaluation</b> .	4.4
The proposed human resources are adequate in terms of supervision, management, expertise and programme implementation, in the country and in DRR-related skills.	10
The proposal contains <b>indicators objectively verifiable within the timeframe of the action</b> for the outcome of the action (SMART).	4.3, 4.5, 5
The expected results of the proposed action are <b>sustainable</b> : <ul style="list-style-type: none"> <li>- Financially (<i>how will the activities be financed after the EC funding ends?</i>)</li> <li>- Institutionally (<i>Will there be local “ownership” of the results of the action?</i>)</li> <li>- Locally (<i>what are the links and coordination with the relevant authorities?</i>)</li> <li>- At policy level, where applicable (<i>what will be the structural impact of the action, e.g. will it lead to improved legislation, codes of conduct, methods etc.?</i>)</li> <li>- Will the action have a tangible <b>impact</b> on its target groups?</li> </ul>	4.2.5, 4.3, 5, 6, 7, supporting documents
<b>Budget and cost-effectiveness</b>	
The ratio between the estimated costs for the EU and the expected results is satisfactory, taking into account the level of co-financing	11, financial overview
The proposed expenditures are <b>necessary</b> and adequate for the implementation of the action.	4, 10, 11, financial overview
Costs related to activities must be indicated in the Single form	4.3 matching the financial overview, 11
<b>Material</b> resources and services needed are properly described	4.3, 4.5, 11
<b>Other</b>	
A visibility and communication plan is provided	9

## APPLICANTS CHECK-LIST

### **Application forms**

- The application has been filled in full on the correct form (Single Form)
- The logical framework and the activity schedule of the action have been inserted in the proposal
- The application is typed, in English or French
- A signed cover letter is attached
- The application contains a financial overview of the total eligible costs (i.e. including both the contribution requested from European Commission and the co-financing share) in euro.
- The contribution requested from the European Commission does not exceed 85.00% 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 not in-kind contributions
- 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 ([patricia.cavanagh@ec.europa.eu](mailto:patricia.cavanagh@ec.europa.eu))
- An electronic copy of the file has been sent to DIPECHO south-east Africa and south-west Indian Ocean in Harare ([borja.cuervo-alonso@ec.europa.eu](mailto:borja.cuervo-alonso@ec.europa.eu))

### **Supporting documents**

- All annexes have been attached to the original paper application sent to the European Commission.
- All annexes have been copied and sent by email to DG ECHO (or on CD if too large)
- All annexes have been copied and sent by email to DIPECHO south-east Africa and south-west Indian Ocean (or on CD if too large)
- Relevant correspondence from other entities important to justify the sustainability of the action and the involvement of local stakeholders in the preparation of the action has been attached
- Description of current or earlier participation in disaster risk reduction actions financed by the European Commission or other sources have been attached
- Further relevant information on the applicant's disaster risk reduction strategy, needs assessment, studies including reference to previous programmes and evaluations has been attached
- Curriculum vitae of the main personnel responsible for implementing the activities of the action.
- A map of the proposed location of the action is attached

## USEFUL LINKS FOR APPLICANTS

Financing Decision "DIPECHO First Action Plan for south-east Africa and south-west Indian Ocean ECHO/DIP/BUD/2008/04000

[http://ec.europa.eu/echo/information/decisions/2008\\_en.htm](http://ec.europa.eu/echo/information/decisions/2008_en.htm)

Framework Partnership Agreement (FPA) for NGOs and International Organisations

[http://ec.europa.eu/echo/partners/fpa\\_en.htm](http://ec.europa.eu/echo/partners/fpa_en.htm)

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

Country and Regional Strategy Papers for the 10<sup>th</sup> EDF

[http://ec.europa.eu/development/how/methodologies/strategypapers10\\_en.cfm](http://ec.europa.eu/development/how/methodologies/strategypapers10_en.cfm)

Environmental Mainstreaming in Development Cooperation – Country Environmental Profiles

[http://www.environment-integration.org/EN/D122\\_CEP.htm](http://www.environment-integration.org/EN/D122_CEP.htm)

Hyogo Framework for Action

<http://unisdr.org/eng/hfa/hfa.htm>