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Information for Applicants DIPECHO South East Asia's upcoming Call for Expression of Interest

Update: November 2009 – final version



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Programming Process & Timing Overall Coverage Sources of Information



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Programming - Process


- Regular updates on our DRR mailing list (managed regionally – contact person Cécile, drcc@echo-bangkok.org)
- Information sessions: in all countries and regionally between July and October
- Regional information session: in Bangkok in November
- Reports of the National Consultative Meetings to be published; will contribute to the programming
- Budget: (estimation)
 - € 10 mln for SEA, pending approval of 2010 budget



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Programming Process & Estimated Timing


- May-November: programming and consultative process (ad hoc missions, DRR Forum & WGs outputs, National Consultative Meeting, Regional Practitioners' Workshop etc.)
- Information sessions: in all countries incl. in Bangkok
- Continued meetings and networking (until CFE1)
- By December: Approval of a Funding Decision (pending approval of 2010 EC Budget)
- By early January 2010: Publication of a Call for Expression of Interest
- Deadline: end of February 2010
- March- April: evaluation of proposals
- Projects start date: 1st May 2010 at the earliest
- Duration: 18 months for Funding Decision, 15 months for projects



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Sources of information

- [ECHO website](#)
 - [DIPECHO webpage](#)
 - [New and Previous Calls for Expression of Interest](#)
 - [Funding Decisions](#)
 - [FPA/FAFA templates, guidelines, training, FAQs](#)
 - [Visibility Guidelines](#)
- [Project sheets \(5th and 6th Action Plans\)](#)
- [EC Delegations Websites](#)




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Documents of reference

- Outcomes of DIPECHO Consultative Meetings and information sessions for interested applicants:
 - ▶ [6th Action Plan preparation \(2007-2008\)](#)
 - ▶ [7th Action Plan preparation \(2009\)](#)
- Proceedings and presentations at the [5th and 6th Disaster management Practitioners' Workshops](#) (2008, 2009), various reports
- [European Union Communication on DRR in developing countries](#)
- [European Union and Climate Change](#)



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Who is Who

- Overall DIPECHO SEA coordination and overview: (field) Cécile Pichon (drcc@echo-bangkok.org) and Thearat Touch (dra@echo-bangkok.org); (HQ) Silvia.Ermini@ec.europa.eu
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- Timor Leste: (field) Laurence.Bardon@ec.europa.eu; (HQ) Anne-Francoise.Moffroid@ec.europa.eu
- The Pacific: (field) Maria.Olsen@ec.europa.eu (rrc@echo-bangkok.org); Herman.Spitz@ec.europa.eu



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Coverage - South East Asia

- Lao PDR, Cambodia, Vietnam and Lower-Mekong sub-regional initiatives
- Myanmar/Burma (new): possibility for limited actions in-country
- The Philippines
- Indonesia
- Timor Leste (new): through regional initiatives only
- Regional and multi-country initiatives: two or more of the countries above, with geographical, thematic or organisational (applicant) relevance
- Thailand: only as regional hub, through regional initiatives
 - **For orientations: see separate sets of slides**



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Preparation of Proposals Some Tips



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Funding Decision (legal document)

- Key reference document – published on [ECHO website](#)
- Objective: "To reduce the vulnerability and increase the coping capacities of South East Asian populations living in areas most affected by recurrent natural disasters " – this objective can be used for a proposal's principal objective
- Duration: 1st May 2010 + 18 months (unless suspension)
- Priorities: HFA, country-specifics, topic-specifics
- Includes list of [potential applicants](#) (can be easily updated upon selection of proposals)
- Approved prior to the evaluation of proposals, allowing Grant/Contribution Agreements to be prepared as soon as selected proposals are finalised.



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Guidelines for Applicants - SEA

- Complements the Funding Decision with additional practical details on selection and evaluation of proposals
- Includes detailed priorities per country and for regional initiatives
- Indicate eligibility criteria for applicants
- Explains the proceeding of the [Call for Expression of Interest](#)



Previous Action Plan

- 6th Action Plan (6 countries, € 10 mln): 56 proposals, 30 selected
- Rejected proposals:
 - (15) No linkage with other initiatives, weak needs assessment, too ambitious, not enough details (eg in Results)
 - Other proposals were pre-selected but: required more in-depth revision; funds were not available
- Start date 15 July 2008: 2 projects only started on that date; 12 projects in August; 10 in September, 5 in October, 1 later



Preparation of projects – some tips

- No concept note
- Keep us posted (intention to apply or to link with DIPECHO, main ideas etc.)
- Attend DRR Forum or other coordination mechanisms, visit others' projects, discuss with DRR agencies, establish/maintain links with the NDMO, enquire about standardisation and harmonisation processes
- Keep in close contact with ECHO (field & HQ)
- ECHO will share information on pool of interested agencies, in order to: network, pool knowledge, look at complementarities, joint actions, joint proposals; joint indicators or evaluations etc.
- Start working on your plans in advance



Budget SEA

- Total DIPECHO SEA for 2010-2011: € 10 mln proposed (pending approval of 2010 budget)
- No precise country allocation but general orientation per country known (see country orientation)
- Need to balance number of projects vs overall impact; we will favor good and relevant "country packages" ie complementary actions
- Proposed ceiling of ECHO contribution per grant: will depend on nature of the proposal (eg consortium, multi-country etc.); in any case, remember that it is not easy to spend money on DP activities in 15 months.
- Allocation of ceiling will remain exceptional, based on past experience, capacities, quality of project
- First DIPECHO project: be realistic!



Get together

- Will be a plus in the selection of proposals
- Can be through separate component (result, indicator or activities) in proposals for a country
- Can be through joint proposals Joint events, advocacy measures
- Joint projects, consortia (eg [JANI in Vietnam](#))
- Multi-country, sub-regional initiatives
- Complementing actions (including with non DIPECHO partners)
- Link with other programmes
- Standardisation of approaches (training, IECs, public awareness campaigns)
- Definition and measurement of indicators
- Evaluations, impact assessment, vulnerability assessments
- Ensure that outputs are disseminated and post particular through [PreventionWeb](#)



Include in budget

- Allocation for participation in various relevant DRR events in the region, incl. linkage with regional initiatives
- Relevant training
- Cross-visits and events
- Coordination mechanisms, including DIPECHO Consultative Process and Meetings
- Where relevant, support to NDMOs or mandated institutions in facilitation, coordination etc.
- Re-printing and dissemination of good IEC materials for local partners, resource centres etc.
- Caution: salaries to civil servants and officials are not eligible; any fees should be justified, well coordinated and standardised, in correspondence with local standards



Include in proposal

- Reference to HFA priorities and monitoring
- Use of [Prevention-web](#) and other resource centres for dissemination of outputs
- Impact assessment methodology, if possible in joint efforts (consider set of realistic impact indicators and evaluations)



Do not

- Reinvent the wheel: there is already a lot of experience; DIPECHO will prioritise promotion of pilots and piloting of innovative measures.
- Do some activities yourselves (eg GIS) but rather build capacities
- Create IECs, unless they are innovative, necessary, needed = rather: use, disseminate existing good materials, or work in groups to define "good" ones



Priority Hazards and Areas

- Multi-hazard approaches encouraged for CBDRR
- Single hazard focus possible (except drought, unless stated otherwise)
- Epidemics, human and animal health-related issues (epidemiology, surveillance systems etc.), pest infestation are not directly eligible for funding under DIPECHO
- Country specifics: see country orientations
- Geographical expansion under DIPECHO can only be limited and needs to be justified as part of the pilot and consolidation process
- Priority for up-scaling and promotion of the experience developed
- In some countries, agencies should pool efforts in relevant sub-national areas (eg province, district).
- Choice of hazard and location should be clear and justified in the needs assessment and proposed strategy: criteria for selection have to be outlined
- Hazards, vulnerabilities, capacities, impacts have to be elaborated
- Urban area: see references to Safe Cities campaigns in regional initiatives. In general, poor and remote areas (rural, mountainous, isolated locations) are prioritised



CBDRR = Several Phases

- Aim at completing models. If pilot tested, focus should be on documentation and dissemination
- Continue involving previous targets (including for monitoring, impact assessment, experience sharing, use of facilitators and trainers etc.)
- Consider refresher courses but also ToTs
- Update, improvement and dissemination of materials
- Standardisation of approaches
- Expansion vs consolidation? Achieve a critical mass for a model
- Expand to neighbouring areas and where good complementarities, rather than to many spread apart locations
- Scale up
- For piloting, avoid selecting a few far away locations
- Entry-exit strategy in a community should be clear



Exit strategies

- When start up in community, give indication of how long you intend to be involved and with which strategy
- Strategy cannot rely on DIPECHO funding only, in particular with regards to future funding after 2011
- Scaling up: integration into overall development programmes, into local authorities' planning tools, into other programmes (donors, government)
- When pilot has been demonstrated and critical mass achieved for model to be replicated: follow-up action should focus on promotion and dissemination



Walk through the Single Form



Single Form tips

- Take latest version from [ECHO website](#) (for proposal)
- Do not change template
- Refer to guidelines, Fact sheets and FAQs
- Avoid too long Single Form – add relevant supporting information and documents in annex



Annexes

- Refer to [Guidelines and check list](#) for compulsory and recommended annexes
- Work plan
- Map(s)
- Training plan: type and content of training, proposed trainer/training agency etc.
- Relevant MoUs
- Additional information eg on needs assessment
- Relevant reports, evaluations



Point 1.1 - Applicant

- FPA or FAFA signatory
- **EU-based NGOs:** FPA partners
- **UN:** FAFA partners
- **International Organisations:** 1) FPA partners (ICRC, IFRC, IOM); 2) non FPA partners – check with DG ECHO on eligibility
- **EU Member State agencies**
- Local organisations cannot be Grant holders. However, partnerships with local actors are highly encouraged and will be a “plus” in criteria selection. See point 7.



Red Cross / Red Crescent

- Due to their mandate, NSs considered an important actor through DIPECHO
- RC applications should be centered around the National Society's strategy, capacities and perspectives
- Several RC can apply for one country but we will be looking at capacities of the NS and at complementarities of actions (joint proposals are encouraged)
- RC added value for other agencies: to be discussed in each country, as per needs and capacities/feasibility



- Priority for agencies with experience in-country
- Priority for agencies with experience in DRR
- Several proposals per applicant can be submitted in a country or regionally (but be realistic and consider multi-country proposals)



Points 1.3 and 4.1 - Location

- Point 1.3
 - Cannot be amended
 - Country(ies) and if possible sub-national administrative level
- Further information can depend on assessment (explain in points 2, 4.1 and include in work plan)
- Point 4.1
 - Can be amended
 - Details and explanations & map



Point 1.5 - Duration

- At proposal stage: maximum 15 months
- Eligibility of funding: May 2010 – October 2011 (18 months). The 15 month project has to be implemented during that period
- If early start and if savings: possibilities for extension, up to 18 months but no later than October 2011
- Exception: case of *force majeure*



Points 1.4: start date

- 1.6: Expected start date has to be identified at the time of submission of the first proposal
- Finally approved start date might change, based on the duration of evaluation of proposals, the preparation of Grant Agreement, the readiness of partner to start operations
- The actual start date is negotiated during the evaluation process.
- Be realistic: 1st May will be feasible if very few changes in proposal and only for a few projects
- Recommendation for new applicants: 1st June at the earliest



Point 1.6 – Eligibility of funding

- Can be before start of operation (but not earlier than 1st May 2010)
- Has to relate to very limited actions and funds (preparatory meetings, recruitment costs etc.). These should be explained with a rough indication of the corresponding scope of work and funding
- Ideally, add this period in the work plan.



Point 1.7 Co-financing

- Compulsory - minimum 15% (can be more)
- Also for Multi-Donor Actions
- In-kind contributions cannot be budget or counted in the co-financing share (but mention it in proposal since it is an added-value)
- Can be from own organisation (staffing etc.) but has to be reported upon and related to the project
- Cannot be other EC funding sources
- DIPECHO can complement an ongoing programme. Conditions: same objectives, same locations, same duration
- There is no earmarking of funds
- Local contributions (“revenue to the action”, local budgets etc.): in most cases, cannot appear as financing – check definition of eligible costs



Point 1.9 - A- / P- Mechanisms

- Check with your HQ
- Applicable all through the project, even if mechanism changes in the meantime
- Has an impact on ceiling of budget (if A-)
- Has an impact on information and reporting requirements for procurement etc.: Annex A on procurement compulsory for A-partners; does not have to be filled in for other agencies
- Non FPA partners are de facto A-



Point 1.10 - Proposal and report

- Date = of submission of the proposal to DG ECHO by your HQ
- ECHO reference: provided by ECHO upon submission of the initial proposal; will serve as reference for all further correspondence related to the project
- Good use of ECHO reference = quicker procedures in Brussels!
- For information on submission of documents to DG ECHO, see Fact Sheet and instructions in Guidelines



Points 2 & 3 - Needs Assessment & Strategy


- For DIPECHO proposals: crucial !
- What are your DRR strategy & perspectives (globally and in-country); are you integrating DRR into all your actions?
- How do the proposed DP activities fit in this overall perspective (in particular if several phases or stages are envisaged)
- If necessary, add annexes (reports, additional findings)
- For needs assessment and strategy, highlight findings of previous evaluations and reviews, as well as experience of past actions (if too long, put in annex)
- Actions plans related to relevant recommendations of evaluations and audits are always a plus



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Point 4.2 - Beneficiaries


- Direct beneficiaries: identify from activities (as precise as possible), or locations (more general)
- Beneficiary categories and figures: ensure the ways you came out with such figures are clear (for instance, is it from % of populations, or from activities?)
- Try not to change type of calculation during project life (will have to be reported upon)
- Sector is DP but please also use sub-sectors
- At proposal stage, be as specific as possible



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Point 4.2.5 - beneficiaries / design

- Crucial for DIPECHO!
- How well have the authorities at relevant levels, the counterparts, the community members been involved in the preparation and design of this project? Add any supporting information in annex
- If new project/area: specify process and timing (part of the inception phase)
- Lessons learned from past projects



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DP Sector / Sub Sectors: for DIPECHO and ECHO projects


- **Sector: Disaster Preparedness**
- **Sub-Sectors:**
 - **Local Disaster Management components:** EWS, mapping & data computerisation, local capacity building, training
 - **Institutional linkages:** advocacy, facilitation of coordination, institutional strengthening
 - **Information, education, communication:** public awareness raising
 - **Small scale infrastructure and services**
 - **Stock building of emergency and relief items**



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Mitigation works and infrastructure


- Complement other proposed activities – cannot be the sole component in a proposal
- Part of the piloting: have to be demonstrative, affordable in terms of maintenance and potentials for replication, appropriate to local contexts. Are implemented through participatory and awareness raising process
- Scope and amount: depends on design of project (range = 0-30% of total budget)
- Can be preventive (ie solve the hazard impact) but not too large
- Amount: to be justified in design of project (numerous small activities vs few large; in all locations vs in some selected locations)
- Quality and sustainability is important
- Types of projects: should be justified in terms of linkage with hazard and integration into development programme; based on HVCA (no wish list); agency should ensure the appropriate level of knowledge and supervision is available
- Usually, DG ECHO requests pre-selected list of measures and local contribution systems
- For drought preparedness measures, only innovative or alternative mitigation measures will be considered



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Stock building of emergency and relief items


- Cannot be the sole component of a proposal
- Enhance preparedness to better respond
- For small and medium scale stocks
- At the relevant local levels
- Integrated into usual disaster preparedness activities (ECHO and DIPECHO)
- Should be part of a system (maintenance, replenishment etc.)
- Done through mandated and relevant entities



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Point 4.3 – objectives, results, activities

- Log frame: summary of project (3 pages maximum).
- Additional information in 4.3.2 is compulsory
- Avoid too many results
- Look at possible shared Result or set of activities/indicators with other agencies (on advocacy, promotion, impact assessment, sharing of experience etc.) – in some countries or cases this will be requested
- Risks and assumptions are crucial and should relate to the information in point 8



Point 4.3.1 - Objectives (logframe)

- Principal objective: only one
- Specific objective: only one

- Cannot be amended: avoid precise numbers and locations and in general any information which might be subject to changes during the time of the project
- OVIs can be amended



Point 4.3.2 - Results

- This point has to be filled in
- Indicators
- SMART
- Be as precise as possible – give a range or and indication
- Achievable within the 15 month period (be realistic! If necessary reduce actions)
- Measurable within the implementation and reporting period – refer to point 4.5 for M&E systems proposed
- If longer term impact expected, add explanations
- When standardisation of approaches are considered, look at possible joint indicators



Means and costs

- Provide a minimum of information on what the calculations (or items) imply
- Make it easy – will have to be reported upon
- Other Costs:
 - (compulsory, in first item) Visibility and communication: relating only to activities in point 9 (visibility of ECHO and partners)
 - (if any): Administrative equipment
 - (if any): non key staff (eg share of Country Director)
 - Evaluation, audit
 - It is not recommended to add HQ staff (part of 7%), unless directly related to the field action (eg monitoring visit, with consequent reporting)



Point 4.4 - work plan

- Visual (eg GANTT chart)
- Ideally, use sequence of 4.3.2
- List all activities, including evaluations, key visibility events, preparatory measures etc.
- Includes risks and assumptions, critical events which will/might hinder process
- If “empty” phases (beginning / end), justify in terms of operations, human resources etc.



Point 4.5 - M &E

- Methodology to be explained (in relation to indicators and their measurement)
- Explain share of tasks among agencies (if several involved)
- M&E of the partners (not of ECHO)
- Proposal should include draft ToRs of evaluation and audit
- Audit is not compulsory
- Evaluation can be a joint exercise and can focus on a topic/sector
- Timing of evaluation depends on project design



Point 5 - Cross-cutting issues etc.

- Sustainability & continuum: should complement strategy (3) and should be well reflected in 4.3
- Cross-cutting issues: if any, should be properly reflected in 4.3...
- Inclusive approaches for vulnerable groups and involving these are strongly encouraged.
- Should be reported upon



Point 6 - field coordination

- With authorities
- With DRR fora and other agencies
- Indicate complementarities of actions and efforts of harmonisation
- If other agencies in same areas, indicate complementarities
- With ECHO



Point 7 - Implementing partners

- For DIPECHO projects: encouraged; part of capacity-building efforts; will be a “plus” in the selection of projects, in particular in some countries
- Should be based on a sound partnership
- Explain shared responsibilities and tasks
- Provide MoUs at proposal stage or indicate when these will be provided if later on



Point 8 – Risks and Assumptions

- Essential
- Should be identified in logframe
- “Plan B” should be proposed for each risks identified
- Will be a reference if need of modification or suspension



Point 9 - Communication, Visibility and Information

- Allow donor identification (stickers, banners etc);
- Central objective to raise awareness for the project, its aims, and/or EC humanitarian aid and the partner's role and/or the principles of humanitarian aid.
- Publication activities includes electronic and printed publications related to public relations purposes

Why visibility/communication:

- informing beneficiaries that aid is impartial and a sign of European solidarity
- accountability towards EU taxpayers



New Visibility and Communication approach (2009)

- Donor identification remains compulsory
- Basic visibility and communication actions
- Budget limitations: 0.5% of the direct eligible costs with ceiling of € 8,000 (the smaller of the two)
- Pro-active communication strategies by ECHO and with some partners
- Does not prevent innovative and comprehensive communication plan – to be negotiated with ECHO
- Good communication does not always cost money
- Exceptions for large amounts: communication experience and expertise available; keen on joint actions; inclusion of an impact-oriented communication activity requiring larger budget contact DG ECHO at HQ and field



- Activities that are **part of the operational content** of the project and which, by definition, require the use of communication tools should be part of results (and respective “means and costs”). Example: training manuals, DRR promotion campaigns, publications
- They should nevertheless feature the visual identity: explain how these support will be including ECHO visibility in point 9 (but do not cost them there)
- DIPECHO partners are strongly encouraged to design joint Communication actions at country level, in particular for key events (DRR Day etc.). These should be included in proposals' activities



Point 10 - Human resources

- Provide: function, number of staff, time share on project, brief job description
- No CV
- If high share of staff (in project, in budget), justify as per context, need, type of activities etc.
- Expatriate presence not compulsory = up to the organisation to justify the proposed team set up
- Indicate if some other staff members not budgeted contribute to the programme



Point 11 - Financial overview

- See [Guidelines and FPA training materials](#)
- As per partner's accountancy practice which will be used for final reporting), ie different from means and costs in 4.3.2
- Do not use old ECHO format (from previous FPA).
- "Visibility, information and communication": only for point 9 – do not add costs related to results
- Addition of costs in all results and other costs should fit with the total direct costs
- Should include the full budget including the co-financing share and indication of the sources of funding
- All costs in euro



Procurement

- Annex 4 on procurement issue: for all partners. Has to be reported upon (in means and costs and in final report)
- For A-partners: fill in annex A

