



**European Commission**  
**DIRECTORATE GENERAL HUMANITARIAN AID**  
**AND CIVIL PROTECTION**  
**ECHO**

**Annex 1 to Humanitarian Action Plan South America ECHO/DIP/BUD/2011/01000**

Operational Recommendations  
for DG ECHO partners wishing to submit proposals for the

**SEVENTH DIPECHO ACTION PLAN FOR SOUTH AMERICA**  
**Argentina, Bolivia, Brazil, Chile, Colombia, Ecuador, Paraguay, Peru,**  
**Uruguay and Venezuela**

**Deadline for submitting proposals: 17 January 2011**

## Table of contents

<b>Background</b>	3
<b>1. OPERATIONAL CONSIDERATIONS</b>	
1.1. Programming Imperatives	4
1.2. General Recommendations	6
1.3. Priorities in terms of geographical areas, hazards and sectors	8
<b>2. MAIN SELECTION CRITERIA</b>	17
<b>3. FINANCIAL QUESTIONS</b>	18
<b>4. TENTATIVE CALENDAR FOR THE ACTION PLAN</b>	19
<b>ANNEX 1. SUBMITTING A PROPOSAL TO DG ECHO</b>	19
<b>ANNEX 2: COMMUNICATION AND VISIBILITY</b>	21
<b>ANNEX 3: USEFUL LINKS FOR APPLICANTS</b>	23

## **Background**

This document has been prepared to complement the Humanitarian Implementation Plan (HIP) with more specific recommendations and rules to be followed by the applicants to the Seventh DIPECHO Action Plan in South America.

These recommendations reflect the outcomes, in terms of geographical and thematic priorities, of consultations with various stakeholders undertaken in the South American region during 2009 and 2010. They also integrate the outcomes of the national and regional consultative meetings held in June and July 2010. Besides offering to the main stakeholders the possibility for a disaster preparedness dialogue, this consultation process allowed concrete priorities to be drawn up for the countries targeted by this Action Plan. These recommendations include a synthesis of the Country Documents prepared in the framework of this consultative process. The Country Documents, with detailed information about the situation in terms of risks related to natural hazards as well as the priorities for each country can be consulted on the same webpage as these recommendations.

Previous experience and lessons learned, 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 also been taken into account in setting the priorities for the Seventh DIPECHO Action Plan in terms of risk areas and objectives, taking into account the specific humanitarian mandate established by the Humanitarian Aid Regulation, that focuses on preparedness activities, and DG ECHO 2010 operational strategy in this field.

The Seventh Action Plan also takes account of the Hyogo Framework for Action 2005-2015: *Building the Resilience of Nations and Communities to Disasters* and aims at facilitating the implementation of the Andean Strategy for Disaster Prevention and Management.

*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.*

# 1. OPERATIONAL CONSIDERATIONS

## 1.1. Operational imperatives

A series of programme planning and implementation priorities **must** be considered by all projects submitted under the Seventh DIPECHO Action Plan for South America to be considered eligible for funding.

### Principles

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.
2. A key element in DIPECHO is the development of ***demonstrative projects in Disaster Risk Reduction (DRR) so as to identify successful models for replication*** elsewhere by other funding instruments of the European Commission, other donors or national/sub-national authorities. This approach should remain at the centre of any DIPECHO intervention.
3. The ***starting point for the intervention logic of any DIPECHO supported project must be the hazard itself***, and not a problem that is essentially structural in nature, de-linked from a disaster event. This entails a ***thorough analysis of the natural disaster context*** (at the appropriate scale) that generates the following:
  - A typology of hazards in evidence,
  - the determination of the range of negative consequences of these hazards (some of which can be termed disasters),
  - an analysis of these negative consequences and a prioritisation of those considered most important by the population(s) at risk,
  - a breakdown of the needs ensuing from these hazards and the identification (prioritisation) of those which can most appropriately be addressed by DIPECHO.
4. The ***partner must demonstrate a clearly defined overall intervention strategy at the time of proposal 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 and replicability*** of actions undertaken is maximised. In this sense, replicability and sustainability plans proposed by the stakeholders to whom the project will be handed are welcomed (eg inclusion of DRR allocation in municipal budget).
5. The strategic dialogue that results in the conception and design of DIPECHO funded DP projects will have to ***successfully merge technical knowledge with local knowledge*** in a socio-culturally appropriate manner, thereby assuring an acceptable, effective system that capitalises existing knowledge and capacities and consequently maximises ownership and sustainability.
6. As per DG ECHO's priorities, an active effort to ensure ***involvement of women, children, the elderly, ethnic minorities, vulnerable groups such as disabled*** is strongly encouraged.

### Complementarity and coordination

7. Many countries have developed ***National Disaster Management Legislation, Policies and Plans*** to which preparedness and mitigation (and prevention) strategies contribute. All proposed actions should be aligned with them and should contribute to their implementation and consolidation, in particular at the appropriate sub-national and local levels.

8. ***In the same sense***, all submitted projects must be developed with ***cognisance of*** and ideally contribute to the strategic objective of ***all ongoing and planned instruments of donor cooperation*** in the third country, including DG ECHO or other EU initiatives, where relevant.
9. 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 projects at the community level where a minimum development interface does not already exist – it is ***not to be seen as a start-up fund***. The only exception for considering ad hoc, focused or stand-alone disaster preparedness activities, would be when applicants apply an ***innovative approach***. 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.
10. 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.

#### *Involvement of supranational, national and local institutions*

11. A key interface in the development of DP strategies is the ***National Disaster Management institutions***, which in many countries are responsible for the articulation of a national risk reduction policy. However, this does not preclude a ***multi-ministerial*** planning/programming dialogue.
12. 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. 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 project conception and design. Likewise, ***relevant public entities, officials and stakeholders at the appropriate levels must be consulted and involved at all stages*** of the action (design, preparation, implementation, monitoring and evaluation, follow-up and hand-over where feasible) to ensure sustainability and replicability.

#### *Miscellaneous*

13. It is 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.
14. Applicants must systematically consider the ***capitalisation 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.
15. Small-scale mitigation works and infrastructure are to remain ***complementary and secondary*** (both in terms of contingency plan priority and resource allocation). 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 type will need to clearly demonstrate logic within the development of a DRR strategy that is both complementary and enhances sustainability.
16. ***Climate change adaptation*** cannot be the sole focus of a specific and ad hoc DIPECHO project. However, projects can integrate it in risk analysis when relevant and look at links between DRR and climate change (CC) initiatives, ***in a natural disaster context***.

17. Partners should integrate in proposals and budgets their participation in joint activities with other DRR stakeholders and DIPECHO partners (e.g. Disaster Reduction Day, consultative processes, regional and national DIPECHO meetings, participation in DRR fora, etc.) from the beginning of the Action Plan. Considering the demonstrative value of DIPECHO projects, DG ECHO promotes the presentation of DIPECHO experiences in other DRR fora in order to maximise the dissemination of experiences.
18. Baseline surveys at the beginning and at the end of the project at community and institutional level should be carried out in order to measure the achievements of the project (e.g. KAP surveys).

## 1.2. General Recommendations

The following are non sectoral recommendations for the applicants, not conditions that have to be necessarily fulfilled.

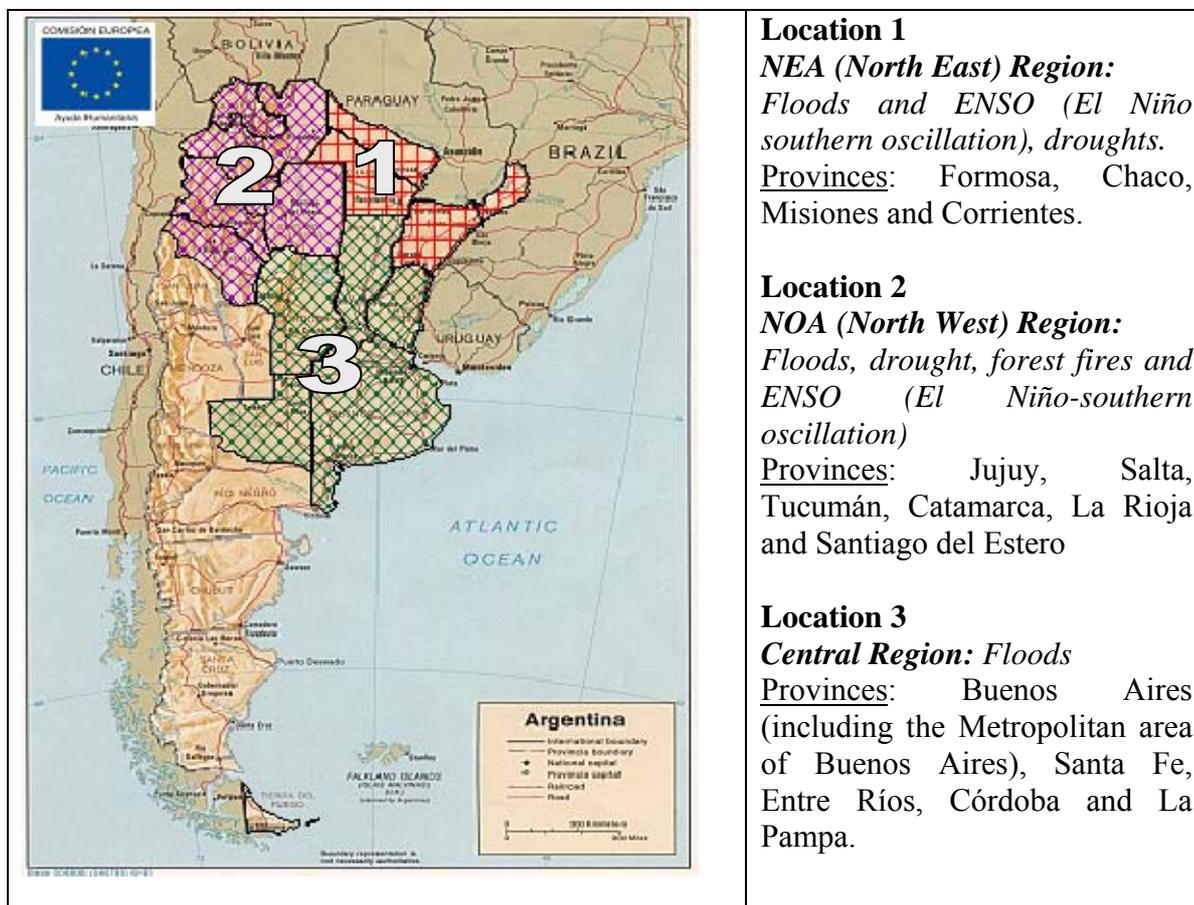
1. Collaborative strategic formulation and planning between potential DIPECHO partners that promote mutual complementarity is strongly encouraged. This can take the form of joint projects (consortia) or joint initiatives implemented through several projects. Although consortia or multi country operations are encouraged, the proposals should demonstrate a clear added value.
2. Foreseeable administrative, logistic and operational constraints as well as the ones linked to change of authorities involved in the project or time needed for institutional agreements should be integrated in the proposal timeframe, being realistic and not over ambitious in the formulation.
3. Applicants should consider one or more of the proposed sub-sectors, based on their experience, mandates and specialisation.
4. Partners are encouraged to consider Sphere minimum standards, indicators and guidance notes so as to ensure the quality of the DRR actions proposed.
5. Synergy with supranational and global DRR strategies such as the Andean Strategy for Disaster Prevention and Management or the UN International Strategy for Disaster Reduction (ISDR) is encouraged mainly in the case of regional projects. In this sense, proposals including activities contributing to the ISDR campaigns (Resilient Cities, Safe Hospitals and Schools) will be welcomed.
6. Priority to institutional linkages and advocacy: the small scale and pilot actions at community level will reach a maximum effectiveness if the outputs and outcomes feed the development and implementation of DRR policies and strategies. Priority should be given to this aspect; to create a link between the findings of community-based operations and existing development policies and strategies. Consortia of different partners or projects oriented to work on this specific aspect are welcome.
7. Recognising that many of the project results can only be achieved over the long term, DIPECHO can also consider proposals for DRR strategies that are *multi-phased in nature* (i.e. entail a series of phases financed over  $\geq 1$  Action Plan). This might entail for example the following programming phases: inception; consolidation; phase-out and evaluation. For this to be possible operational imperative 4 mentioned above has to be specially taken into consideration.
8. The management, dissemination and use of existing DRR material and tools developed under previous DIPECHO Action Plans or other DRR programmes is prioritised. Development of new documents should be limited to the cases when there are no similar tools or when no experiences have been already systematised. Otherwise, capitalisation does not mean reporting on the successes and failures of a project, but should be focused on the lessons learnt or methodologies used that can provide new elements for replication.

9. It is recommended to start preparatory activities such as preparation of strategic alliances, agreements with institutions and partners, recruitment, terms of reference, etc. as soon as the partner receives the communication that the proposal has been accepted in order to gain implementation time. In this sense, the eligibility date can be fixed before the start date of implementation.
10. Regional projects should be defined taking into consideration existing regional or global initiatives and involving national stakeholders in the definition and formulation of the operations.
11. Integration of technical and scientific institutions as well as South American Universities in projects' activities is encouraged.

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

#### ARGENTINA

##### Geographic priorities and hazards<sup>1</sup>:



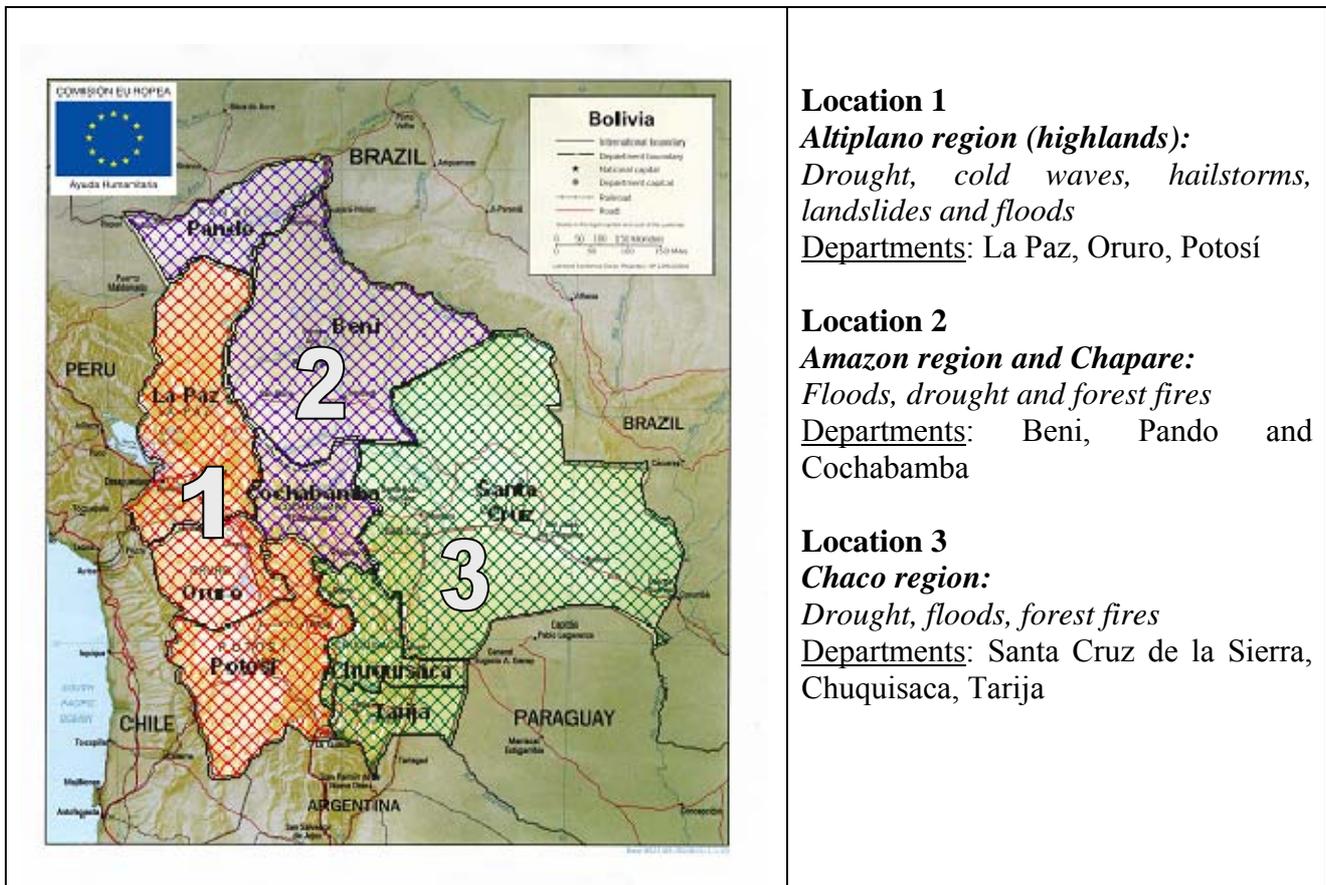
##### General recommendations of the Country Document:

- Improve coordination among local and national institutions taking into consideration the federal characteristics of the country.
- Improve understanding and conception of DRR at local and national level.
- Carry out assessments and analysis of local response capacity.
- Local capacity building and training (emergency teams/ brigades).
- Production of systematized information to be diffused among local institutions and civil society for a better perception of risk adjusted to local reality.
- Production, compilation, and systematization of local and regional baseline studies and other risk studies.
- DRR strengthening and awareness-raising in order to include the subject within development politics and territorial planning.
- Support and encourage the use of tools for risk analysis (ie. DesInventar).
- Include transversal issues such as protection of children's rights within the context of emergency and disaster preparedness.

<sup>1</sup> Numbers assigned to different geographical areas do not necessarily mean an order of priority.

## BOLIVIA

### Geographic priorities and hazards



### General recommendations of the Country Document:

- Local disaster management components
- Local capacity building/training
- Institutional linkages and advocacy
- Information, education, communication
- Small scale infrastructure and services
- Stockpiling of emergency and relief items
- DIPECHO partners should coordinate with VIDECCI during the elaboration of proposals in order to be included in the Risk Management National Agenda
- The Country Document should be used as tool for the identification of intervention areas as well as an input for the Emergency Strategic Plan at national level.

## CHILE

### Geographic priorities and hazards



#### **Location 1**

*Earthquakes and tsunami*

All regions of the country from north to south  
**(Regions I – XV)**

#### **Location 2**

*Volcanic eruptions, floods, snow storms, floods, landslides*

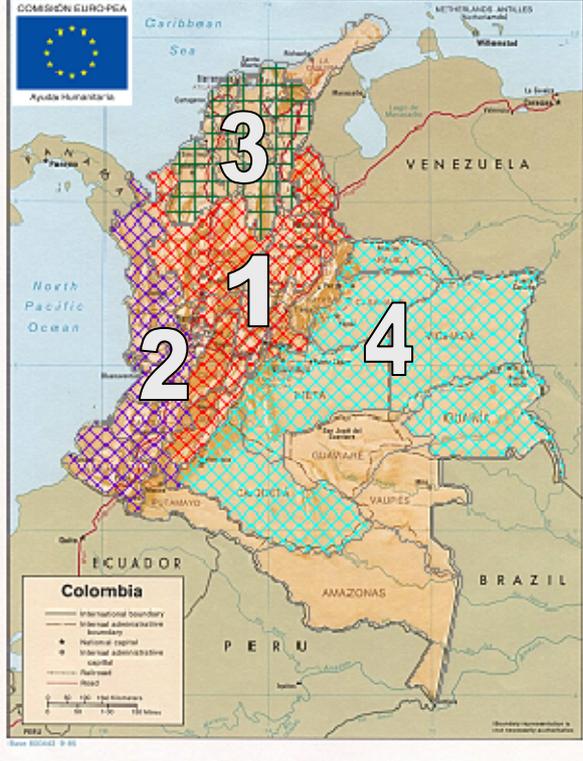
Regions: Bío Bío, Araucanía and Los Lagos

### **General recommendations of the Country Document:**

- Risk management should be supported through initiatives strengthening a decentralized and transversal approach regarding disaster prevention, recovery and rehabilitation
- Improve articulation among communities, local, regional and national levels and include other actors (NGO, universities, scientific institutions, etc.)
- Diagnosis of bottlenecks and challenges identified at local level for transversal risk reduction management
- Strengthen community based education and awareness
- Elaboration of hazards and risk maps
- Strengthen the study of vulnerability related to natural disasters in Chile (elaboration/identification of vulnerability indicators at local and regional level and its mapping)
- Strengthen the rules and regulations regarding risk management in the country

## COLOMBIA

### Geographic priorities and hazards

	<p><b>Location 1</b> <i>Andean region:</i> Floods, volcanic eruptions, earthquakes, landslides, drought, strong winds, forest fires. Departments: Cundinamarca, Tolima, Norte de, Antioquia, Caldas, Santander, Huila</p> <p><b>Location 2</b> <i>Pacific region:</i> Floods, volcanic eruptions, earthquakes, tsunami, landslides, forest fires, strong winds. <u>Departments:</u> Chocó, Cauca, Valle del Cauca, Nariño</p> <p><b>Location 3</b> <i>Caribbean region:</i> Floods, hurricanes, drought, forest fires, strong winds. <u>Departments:</u> Magdalena, Córdoba, Atlántico, César, Sucre, Bolívar, Antioquia</p> <p><b>Location 4</b> <i>Amazon region and eastern plains:</i> Floods, earthquakes, forest fires, drought, <u>Departments:</u> Meta, Guainia, Arauca, Vichada, Casanare, Caquetá</p>
--	--

### General recommendations of the Country Document:

- Local capacity strengthening is necessary at municipal level.
- Country document recommendations should be taken into consideration in order to support continuity and sustainability of processes developed by DIPECHO's projects.
- Evaluation, systematization, and diffusion of significant experiences and lessons learnt.
- Promote and facilitate cooperation among local experiences (including DIPECHO projects) at national and international level.
- Promote dialogue and knowledge exchange among academic and scientific institutions, local communities, and external cooperation.
- Link projects to territorial plans.
- Design, implementation, and evaluation of projects (including humanitarian aid) considering as core criteria protection and strengthening of livelihoods of communities.
- Promote advocacy for the inclusion of DRR in local development plans.
- Knowledge and research oriented to support technical institutions for the development of methodological instruments in order to strengthen the monitoring of hazards.

## ECUADOR

### Geographic priorities and hazards



#### **Location 1**

**Coastal Region:** *Floods, tsunami, earthquakes, landslides, ENSO, and drought*  
**Provinces:** Esmeraldas, Manabí, Santa Elena, Guayas, El Oro, Los Ríos, Santo Domingo de los Tsáchilas

#### **Location 2**

**Highlands Region:** *Floods, earthquakes, landslides, drought and volcanic eruption*  
**Provinces:** Chimborazo, Cotopaxi, Pichincha, Carchi, Imbabura, Cañar, Loja, Bolívar, Tungurahua

#### **Location 3**

**East Region:** *Floods, earthquakes, landslides, drought and volcanic eruption*  
**Provinces:** Sucumbíos and Napo

### **General recommendations of the Country Document:**

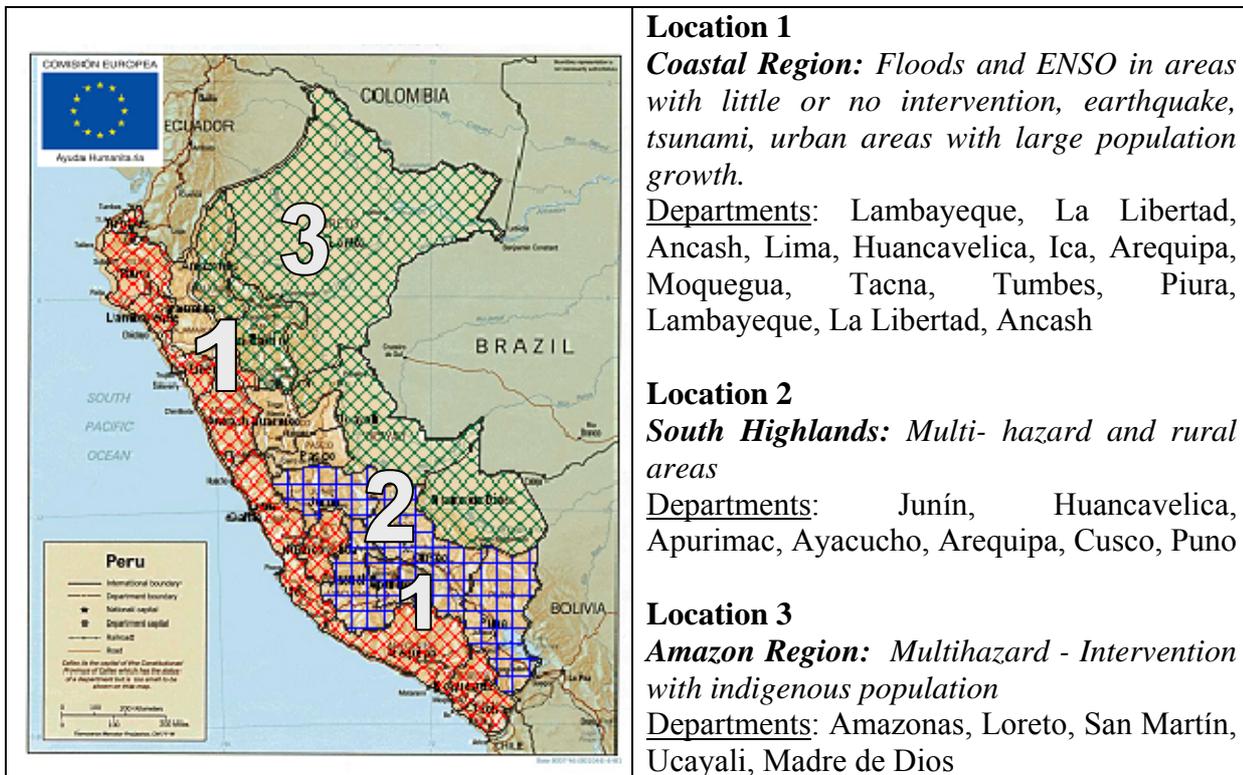
Sectors for intervention were prioritized by the National Risk Management Secretariat:

- Mapping and data processing
- Institutional linkages and advocacy
- Local capacity building
- Public awareness raising
- Small scale infrastructure and mitigation works
- Stockpiling of emergency relief items
- Education
- Early Warning Systems



## PERU

### Geographic priorities and hazards

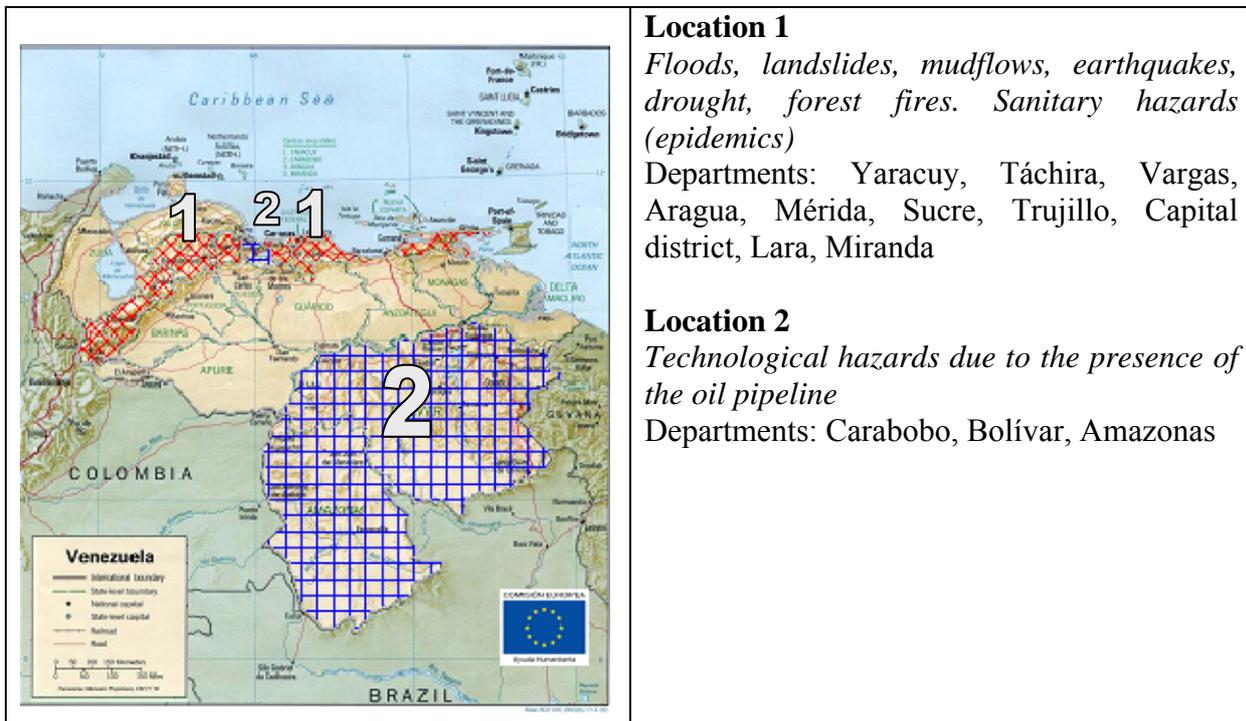


### General recommendations of the Country Document:

- Joint projects with regional and local governments including the State Sector.
- Strengthen and involve the education sector.
- Articulation of interventions at local, regional and national level.
- Advocacy to integrate DRR in political agendas at local, sub-national and national levels.
- Promote the institutionalization of risk management in the public and private sector.
- Inclusion of scientific and technological institutions and universities during the implementation process.
- Promotion of communication and information systems (EWS).
- Articulation of DRR projects with initiatives regarding adaptation to climate change.
- Establish mechanisms to link the new initiatives with experiences developed in the previous DIPECHO Action Plans.
- Strengthening of the National Civil Defence System.

## VENEZUELA

### Geographic priorities and hazards



### General recommendations of the Country Document:

- Awareness-raising among DRR actors on the articulation of emergency and contingency plans and risk management projects.
- Continuity of DRR training programmes.
- Adaptation of training programmes for vulnerable populations: children, adolescents and disabled people.
- Implementation of EWS in coordination with the community.
- Prioritization of vulnerable areas.
- Elaboration of a methodology for the analysis and assessment of hydro-meteorological hazards.
- Strengthen the national hydro-meteorological network
- Improve and strengthen institutional linkages and inclusion of new actors (grassroot organizations, universities, NGOs, and private sector) who are involved with DRR.
- Improve the dissemination of project activities.
- Include anthropic hazards in risk analysis and definition of DRR programmes.
- Elaboration of a national database including information on completed projects (communities, vulnerabilities, hazards, etc.).
- Strengthening of the education system.
- Facilitation of coordination.

## **BRAZIL and URUGUAY**

Priority will be given to projects targeting any of the following geographical areas and hazards:

In a minor perspective **BRAZIL and URUGUAY** will be considered taking into account the conclusions of the ex ante evaluation report "*The Evaluation of Risks, Vulnerabilities and Response Capacity in the Mercosur Countries and Associated Country Chile*"<sup>2</sup> carried out for DG ECHO. Priority will be given to projects targeting any of the following geographical areas and hazards:

 <p>A map of South America showing the continent's outline and major geographical features. Brazil is highlighted in a light red color. A large white number '1' is superimposed over the northeastern part of Brazil. The map includes labels for neighboring countries like Venezuela, Colombia, Peru, Bolivia, Argentina, and Chile, as well as the Amazon basin and the Atlantic Ocean.</p>	<p><b>Location 1:</b></p> <p><b><i>Northeast Brazil: Floods, Drought and Landslides.</i></b></p> <p>This zone includes states of: Maranhao, Ceará, Rio Grande do Norte, Paraíba, Pernambuco, Piaui and Bahia.</p> <p>Brazil's exposure to hazards is very different than in the countries along the South American Pacific coast. Internal geodynamics (seismic and volcanic activity) are not a significant hazard for Brazil where 99.2% of large and medium-scale disasters are related to hydro-meteorological events.</p>
 <p>A map of Uruguay showing its regional divisions. Two blue ovals are drawn around specific areas: one on the western coast and another on the southern coast. A large white number '2' is placed inside each oval. The map includes labels for neighboring countries like Argentina and Brazil, and the South Atlantic Ocean.</p>	<p><b>Location 2:</b></p> <p><b><i>Uruguay River and South East of Uruguay:</i></b></p> <p>The increase in hazard factors, such as greater levels of precipitation and floods and more frequent droughts, as well as the increase in socioeconomic and environmental vulnerability are resulting in significant increases in the level of risk faced by the nation's population.</p>

<sup>2</sup> [http://ec.europa.eu/echo/files/policies/evaluation/2006/dipecho\\_mercosur.pdf](http://ec.europa.eu/echo/files/policies/evaluation/2006/dipecho_mercosur.pdf)

## Regional level

Regional projects could take into account all the South American countries included in this Humanitarian Action Plan, if deemed relevant for overall coherence. Regional components will include networking, information management, training, communication and awareness raising as well as compilation and dissemination of lessons learned, and harmonisation of approaches.

- Projects can be formulated at **Andean Community or South America level** (common threat or hazard, dissemination of good practices) or addressing **Community based trans-borders** initiatives between South American countries (cross border river basin, shared hazards along the borders).
- **Co-ordination is a key issue at regional level:** Applicants should ensure and respect a particularly close coordination with CAPRADE and REHU as well as with national authorities/EC delegations in the Andean countries to facilitate the implementation of project initiatives.
- **Studies at regional level about hazard, disaster risk indicators and risk perception** (including the harmonization of maps and data bases, early warning systems) may be considered.
- **Information management** (Compilation, dissemination, validation, etc.) of exportable DRR/Disaster Preparedness tools, good practices and lessons learned which represent an added value at regional level will be taken into account (including the promotion of platforms to exchange experiences, use of existing dissemination tools, etc...). Support to existing networks will be prioritised (instead of creating new ones).
- Strengthening of disaster risk and coping capacity indicators may be considered.
- To a minor extent, activities which focus on advocacy, public awareness-raising may be taken into account, but only when they represent an added value at the regional level.

It is strongly recommended that project proposals identify how each activity line contributes to the implementation of the Andean Strategy (which Pillar<sup>3</sup>, and under which programme).

## 2. MAIN SELECTION CRITERIA

### 1. Relevance

- 1.1 How relevant is the proposal to the **objectives** and one or more of the **priorities** of the call for proposals.
- 1.2 How relevant to the particular **needs and constraints** of the target populations and country/countries or region(s) is the proposal.
- 1.3 Has the proposal been **discussed** and agreed with the local authorities responsible for risk management?
- 1.4 Is this project proposal part of the applicant's **strategy** in the country and does it contribute to an ongoing **strategy** of engagement in the target area?
- 1.5 Does the project target the **most vulnerable populations** and regions?
- 1.6 Does the action fit within the established **DRR legal, policy and planning frameworks** and contribute to their implementation and consolidation, in particular at local level? Does the proposal refer to the **HFA**, its priorities and if possible its core indicators? Does the project take into account: **gender, children, elderly people, environmental, cultural issues and disabilities.**

---

<sup>3</sup> Or "Eje" in the Spanish version of the Andean Strategy

1.7 Does the project take into account (when relevant) the **security** and/or **access context**? What are the contingency plans?

## 2. Methodology

2.1. How clearly defined and strategically chosen are those involved (intermediaries, final beneficiaries, **target groups**)? Have the **needs** of the **target groups** proposed and the final beneficiaries been clearly defined and does the proposal address them appropriately? To what degree have the target beneficiaries been involved in project conception, design and development, from the moment of problem identification?

Are the **target groups' and final beneficiaries' level of involvement and participation in the operation** satisfactory.

2.2. How coherent is the overall design of the operation (**logical framework**)? Are the **activities** proposed appropriate, practical, and consistent with the local constraints, the objectives and expected results? Is the **Action Plan** clear and feasible? Are the technical **human resources** allocated to the operation adequate? Is the presence of **experienced** coordinator and administrative staff ensured in order to provide with a proper follow-up of the action?

2.3. Does the proposal contain **objectively verifiable indicators** for the outcome of the operation?

## 3. Sustainability

3.1 Are the expected results of the proposed operation **sustainable**: Financially, Institutionally, Locally and at policy level. Is the operation likely to have a tangible **impact** on its target groups. Is the proposal likely to have **multiplier effects**?

## 4. Budget and cost-effectiveness

4.1. Is the ratio between the estimated costs and the expected results satisfactory?

4.2. Is the proposed expenditure **necessary** for the implementation of the operation?

4.3. Are **material** resources and **services needed properly described**?

4.4. Are Means and Costs related to results and activities sufficiently explained?

## 3. FINANCIAL QUESTIONS

- 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.
- As a general policy priority will be given to co-financed projects, in order to maintain the perspective of contributing to a strategy elaborated by a partner. DG **ECHO's contribution will not exceed 85% of the total eligible costs of the action**. It is expected that the balance of at least 15% of the total eligible costs will be financed from the partners' own resources, or from sources other than the European Community budget. This priority will be applied in the overall appraisal of submitted proposals.
- The proposal, both in the narrative and financial documents, should reflect the full amount proposed (ie the co-financing and the contribution requested to DG ECHO, without separate earmarking).
- ECHO does not advise carrying out internal audits in the framework of DIPECHO projects.

#### **4. CALENDAR OF THE ACTION PLAN**

- November 2010: publication of HIP, Operational Orientations and Country Documents.
- 15 November 2010: Partners meeting in Brussels for the official announcement the VII Action Plan for South America.
- 1 January 2011 Starting date of the Global DIPECHO Funding Decision
- 17 January 2011: Tentative deadline for submitting proposals
- January- February 2011: Selection of proposals
- 1 March 2011: Starting date for eligibility of expenses.
- 1 April 2011: Tentative start date for projects.
- May-June 2011:
  - First Regional Seminar
  - National meetings to plan joint initiatives and plan the coordination calendar and consultative process.
- 12 October 2011: International Disaster Risk Reduction Day
- July-August 2012: National Consultative Meetings
- End of September 2012: Second Regional Seminar
- 31 December 2012: End date of the DIPECHO Global Funding Decision.

## **Annex 1: Submitting a proposal to DG ECHO.**

To allow a swift processing of project proposals, the following recommendations should be taken into account when designing and submitting a project.

In non emergency situation and to avoid a gap between the eligibility date of the activities and the signature of the grant agreement, partners should expect a period no less than 45 days between the initial discussions and their finalization, to allow sufficient time for the field discussion and review and HQ appraisal process.

Proposals should be submitted using the Single Form at the latest 17 January 2011. Proposed starting date of the projects is 1 April 2011.

The Single Forms must be submitted to DG ECHO using APPEL with copy to [dorothy.morrissey@ec.europa.eu](mailto:dorothy.morrissey@ec.europa.eu) (Desk Officer for South America at ECHO HQ) and to [echo-quito@ec.europa.eu](mailto:echo-quito@ec.europa.eu) (ECHO Field Office for South America).

All partners are requested to read and make use of the **DG ECHO Single Form guidelines**, available at [http://ec.europa.eu/echo/about/actors/fpa\\_en.htm](http://ec.europa.eu/echo/about/actors/fpa_en.htm).

In the context of DG ECHO's mandate, the actions supported will have a **short-term nature (up to 18 months implementation period)**. For this reason DG ECHO partners should design their actions in order to ensure that the proposed objective can be **achieved** and **measured** by "SMART" indicators in this timeframe.

The **logframe and the intervention logic** (section 4.3.2 of the Single Form) are of utmost importance in the appraisal of project proposals. DG ECHO partners are then requested to pay careful attention to **DG ECHO guidelines on the Single Form**, p 10 to 15.

Linked to their presentation, DG ECHO partners are strongly encouraged to define already clearly at proposal stage which **contingency measures/activities** are foreseen in case of materialisation of a pre-identified risk. DG ECHO partners should define at proposal stage the circumstances in which contingency measures would be implemented (which data would be used to launch the contingency measures); and what would be the actions planned under these circumstances (see section #8.1 of the Single Form).

The **costs** of the project submitted to DG ECHO are presented in the Single Form in:

- The description of the results
- The section 4.2.3.4 of the Single Form (table "Other costs).
- The section 11 of the Single Form (Financial Overview)

It is important to recall that:

Sufficient information has to be provided in the description of the results (description of activities and related means) so that the costs allocated to the result can be understood. All costs related to a particular result have to be included (ie. logistics, monitoring, supervision, etc..)

The table "**Other Costs**" under section 4.2.3.4 of the Single Form should only include costs that cannot be allocated to or dispatched between the results. Ex: visibility, office costs in the capital, evaluation etc...

The financial overview will comprise annex II to the grant agreement. However, its design regarding the selection of headings to the different lines of the table is left to the choice of the partners as long as:

- The same table is used throughout the project (proposal and reporting stages)
- DG ECHO can identify clearly what is being spent in terms of personnel costs and visibility.

DG ECHO partners are strongly encouraged to include the required technical expertise in each of the sectors concerned and DG ECHO will pay particular attention to this aspect regarding the feasibility of the proposed operation.

As a general policy, DG ECHO gives **priority to co-financing**, compared to 100% financing. This priority will be applied in the overall appraisal of the proposals submitted to DG ECHO in the framework of this funding decision. In order to maintain DG ECHO's perspective of contributing to a strategy elaborated by a partner, the co-financing expected from the partner should be at least 15% of the total costs of the operation.

Proposals should include provisions for actions aiming at **documenting, disseminating and replicating lessons learned and good practices; as well as integrating them** in strategies beyond the project perspective, at country and regional levels. This implies participating to and/or supporting the organisation of *ad hoc* events or processes within the implementation period of the projects.

## Annex 2: Communication and visibility

The Single Form contains three sections to develop the communication and visibility plan of a DG ECHO funded project. It is recalled that under Article 6.1 of the General Conditions, “The humanitarian organization shall contribute to the visibility of the humanitarian operations financed by the European Community, provided that this does not harm the organization's mandate or the safety of its staff.”

The need for effective communication is also linked to a number of specific factors:

- ⇒ *The obligation to be transparent.* DG ECHO manages public funds and has a duty to inform EU citizens about how the money is spent. Few EU citizens are aware that the Commission is one of the world’s largest humanitarian donors.
- ⇒ *“Getting closer to the citizen”.* This is a Commission commitment that entails pro-active communication efforts. Most EU Member State citizens support the idea of aiding the world’s most vulnerable people through relief assistance. They should be informed that this support is carried out in the work of DG ECHO and its implementing partners.
- ⇒ *Underlining European solidarity.* People living in countries affected by crises (victims, host populations and opinion leaders) should be aware of the EU’s solidarity expressed in concrete terms through humanitarian aid. Messages such as the impartiality of aid, the fact that it is needs-based, and its non-discriminatory nature are particularly significant.
- ⇒ *Highlighting a ‘badge of quality’:* Given the stringent criteria for acceding to the Framework Partnership Agreement (FPA), partner organizations can benefit from publicizing their quality relationship with DG ECHO.

**Visibility** represents the mandatory display of the visual identity of the European Commission Humanitarian Aid department, wherever the partner’s own logo is being displayed, in the field or elsewhere; this includes on its website and equipment, (in cases where equipment or vehicles and major supplies have been purchased using funds provided by the Commission), publications about the project financed by the Commission, etc.). The visibility should appear, but only provided that this does not harm the organization's mandate or the safety of its staff, (Art 6.3 general conditions). The size of the visual identity will depend on the context and the space available.

It is to be noted that DG ECHO visibility items are to be budgeted within programme budgets and the DG ECHO field offices do not provide those items, unless in exceptional circumstances.

The decision to avoid visibility for security reason is to be discussed on a *case-by-case* basis with DG ECHO and requires approval by ECHO HQ. There are no automatic waivers.

Basic visibility also entails highlighting or at least, acknowledging, the European Commission as the donor in media interviews, press releases, or any other situation where the partner communicates about a funded project.

However, partners should exercise caution and ensure that **visibility actions do not undermine the project’s ownership in the community**. As much as possible, the community’s role in the implementation of the project should be acknowledged in the visual displays.

**Communication** represents a proactive dissemination of data and key messages to identified target audiences. Communication plans and budgets are welcome and should be discussed with DG ECHO at the proposal level, to define where ECHO can assist at best.

Since the principle of effectiveness applies as much to communication as to any other element of the project, pro-active information and communication activities are optional.

### ***Changes in visibility, information and communication funding***

The European Commission Humanitarian Aid department has set a limit to funding that partners can allocate to visibility, information and communication in humanitarian operational agreements. This is now pegged at 0.5% of the direct eligible costs with a maximum of EUR8,000. However, exceptions may be allowed in the following circumstances:

- the partner has communication experience and expertise, and is keen to exploit the benefits of joint actions and visibility;
- the partner wishes to propose an impact oriented communication activity that would need a larger budget.

The partners should contact the relevant Regional Information Officer when designing such activity.

**Reporting** on visibility, information and communication has also changed. Partners should now include, with the final reports supporting documents such as photos of stickers on vehicles or supplies and of signboards, photos of ‘branded’ visibility items (tee-shirts, caps etc.), copies of press releases and press cuttings, etc.

### **Annex 3: Useful links for applicants**

- 📖 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 (Single Form)
  - GUIDELINES FOR SINGLE FORM AND FINANCIAL INFORMATION
  - FPA FACTSHEETS, FREQUENTLY ASKED QUESTIONS, INTERACTIVE TRAINING AND HELP-DESK
  - FPA REGULATIONS AND DOCUMENTS; GENERAL CONDITIONS
  - [COMMUNICATION AND VISIBILITY TOOLKIT](#)
- 📖 Guidelines for the submission of e-single form with APPEL  
[http://ec.europa.eu/echo/about/actors/etools\\_en.htm](http://ec.europa.eu/echo/about/actors/etools_en.htm)
- 📖 Country Documents including national priorities (Spanish)  
Argentina: <http://www.desaprender.org/tools/documento-pais-argentina>  
Bolivia: <http://www.desaprender.org/tools/documento-pais-Bolivia-2010>  
Chile: <http://www.desaprender.org/tools/documento-pais-chile-2010>  
Colombia: <http://www.desaprender.org/tools/documento-pais-colombia-2010>  
Ecuador: <http://www.desaprender.org/tools/documento-pais-ecuador-2010>  
Paraguay: <http://www.desaprender.org/tools/documento-pais-Paraguay-2010>  
Peru: <http://www.desaprender.org/tools/documento-pais-peru-2010>  
Venezuela: <http://www.desaprender.org/tools/documento-pais-venezuela-2010>

Report of the DIPECHO Regional Seminar of the VI Action Plan

<http://www.desaprender.org/tools/sistematizacion-taller-regional-dipecho-vi-america-del-sur>

- 📖 [DG ECHO's Policies and Evaluations](#)

[DG ECHO's review on Water and Sanitation in 2005](#)

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

#### **OTHER INFORMATION**

- 📖 GENERAL INFORMATION ON [DISASTER RISK REDUCTION IN DG ECHO](#)
- 📖 [EU Strategy on supporting Disaster Risk Reduction in developing countries](#)
- 📖 EU Regional Programming Document for Latin America and the Caribbean [LAC RPD](#)  
EU Regional Strategy Paper for the Andean Community [RSP CAN](#)  
EU Regional Strategy Paper for MERCOSUR [RSP MERCOSUR](#)  
European Union External Action Services Country Index [EU per Country](#)
- 📖 [CAPRADE](#)
- 📖 [International Strategy for Disaster Reduction](#), Hyogo Framework for Action  
UN ISDR [2010-2011 World Disaster Reduction Campaign](#)  
World Campaign on [Safe Hospitals](#)  
World Campaign on [Disaster risk reduction begins at school](#)  
World Campaign on resilient cities [My city is getting ready](#)