

## TECHNICAL ANNEX SOUTHERN AFRICA AND INDIAN OCEAN<sup>1</sup>

### FINANCIAL, ADMINISTRATIVE AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2021/01000 and the General Conditions of the Agreement with the European Commission shall take precedence over the provisions in this document.

The activities proposed hereafter are subject to any terms and conditions that may be included in the related Humanitarian Implementation Plan (HIP).

#### 1. CONTACTS

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#### 2. FINANCIAL INFO

Indicative Allocation<sup>3</sup>: EUR 44 500 000 of which an indicative amount of EUR 30.5 million for emergency responses, EUR 6 000 000 for Education in Emergencies and EUR 8 000 000 for Disaster Preparedness.

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<sup>1</sup> This HIP covers the following countries in the Southern Africa and Indian Ocean region (SAIO): Angola, Botswana, Comoros Islands, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Zambia and Zimbabwe.

<sup>2</sup> Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO)  
ECHO/-SF/BUD/2021/91000

In line with DG ECHO's commitment to the Grand Bargain, pilot programmatic partnerships have been launched in 2020 with a limited number of partners (in direct management). New pilot programmatic partnerships could be envisaged in 2021 with partners in indirect management. Part of this HIP may therefore be awarded to these new pilot programmatic partnerships.

Breakdown per actions as per Worldwide Decision (in euros):

Country /Region	Action (a)		Action (c) - DIPECHO	TOTAL
	Man-made crises and natural disasters	Education in Emergencies		
Southern Africa and Indian Ocean	1 000 000		1 200 000	2 200 000
Eswatini	1 000 000			1 000 000
Lesotho	1 000 000	180 000	600 000	1 780 000
Madagascar	8 000 000	1 000 000	2 000 000	11 000 000
Malawi		1 160 000	1 500 000	2 660 000
Mozambique	12 500 000	1 660 000	700 000	14 860 000
Zimbabwe	7 000 000	2 000 000	2 000 000	11 000 000
<b>TOTAL</b>	<b>30 500 000</b>	<b>6 000 000</b>	<b>8 000 000</b>	<b>44 500 000</b>

### 3. PROPOSAL ASSESSMENT

#### a) Co-financing:

Under the EU Financial Regulation, grants must involve co-financing; as a result, the resources necessary to carry out the action must not be provided entirely by the grant. An action may only be financed in full by the grant where this is essential for it to be carried out. In such a case, justification must be provided in the Single Form (section 10.4).

#### b) Financial support to third parties (implementing partners)

Pursuant to Art. 204 FR, for the implementation of actions under this HIP, partners may provide financial support to third parties, e.g. implementing partners. This financial support can only exceed EUR 60 000 if the objectives of the action would otherwise be impossible or excessively difficult to achieve. Such situations can occur in cases where only a limited number of non-profit non-governmental organisations have the capacity, skills or expertise to contribute to the

<sup>3</sup> The Commission reserves the right not to award all or part of the funds made or to be made available under the HIP to which this Annex relates

implementation of the action or are established in the country of operation or in the region(s) where the action takes place.

Ensuring broad geographical/worldwide coverage while minimising costs and avoiding duplications concerning in particular presence in country, prompted many humanitarian organisations to network, e.g. through families or confederations. In such a context, the situations referred to above would imply that the partner would rely on other members of the network. In such cases, justification must be provided in the Single Form.

c) Alternative arrangements

In case of country or crisis-specific issues or unforeseeable circumstances, which arise during the implementation of the action, the Commission (DG ECHO) may issue specific ad-hoc instructions which partners must follow. Partners may also introduce via the Single Form duly justified requests for alternative arrangements to be agreed by the Commission (DG ECHO) in accordance with Annex 5 to the Grant Agreement.

d) Field office costs

Costs for use of the field office during the action are eligible and may be declared as unit cost according to usual cost accounting practices, if they fulfil the general eligibility conditions for such unit costs and the amount per unit is calculated:

- i. using the actual costs for the field office recorded in the beneficiary's accounts, attributed at the rate of office use and excluding any cost which are ineligible or already included in other budget categories; the actual costs may be adjusted on the basis of budgeted or estimated elements, if they are relevant for calculating the costs, reasonable and correspond to objective and verifiable information  
and
- ii. according to usual cost accounting practices which are applied in a consistent manner, based on objective criteria, regardless of the source of funding.

### **3.1 Administrative info**

#### **Allocation round 1**

- a) Indicative amount: up to EUR 24 500 000
- b) Costs will be eligible from 01/01/2021
- c) The initial duration for the Action may be up to 24 months, in particular for Actions on Education in Emergencies and Disaster Preparedness, as well as for pilot Programmatic Partnership but also for any other sectors identified in this HIP when duly justified in view of improving efficiency/effectiveness of the intervention.
- d) In view of the transition towards the 2021-2027 Multi annual Financial Framework, the new Single Form and the Model Grant Agreement, it will not be possible to present follow-up actions, which continue/extend ongoing operations, as modification requests for the first allocation round of the 2021

HIP. Proposals will need to be submitted **as new proposals** on the basis of the new Single Form. The above provision does not apply to pilot Programmatic Partnerships which have started in 2020 and for which a modification request remains the norm.

- e) Potential partners<sup>4</sup>: All DG ECHO Partners
- f) Information to be provided: Single Form<sup>5</sup>
- g) Indicative date for receipt of the above requested information: by **08/02/2021**

### **Allocation round 2**

- a) Indicative amount: up to EUR 20 000 000
- b) Costs will be eligible from 01/01/2021
- c) The expected duration of the Action is up to 12 months.
- d) Description of the humanitarian aid interventions related to this assessment round: same priorities as those identified in allocation round 1.
- e) Potential partners: partners that have submitted proposals under allocation round 1 or partners put on hold and that received a formal notification.
- f) Information to be provided: Single form for a new proposal or modification request for an on-going DG-ECHO funded operation.
- g) Indicative date for receipt of the above requested information: N/A

## **3.2 Operational requirements:**

### ***3.2.1 Assessment criteria:***

- 1) Relevance
  - How relevant is the proposed intervention and its compliance with the objectives of the HIP?
  - Has the joint needs assessment been used for the proposed intervention (if existing)?
  - Has the proposed intervention been coordinated with other relevant humanitarian actors?
- 2) Capacity and expertise
  - Does the partner, with its implementing partners, have sufficient expertise (country / region and / or technical)?
  - How good is the partner's local capacity / ability to develop local capacity?
- 3) Methodology and feasibility
  - Quality of the proposed response strategy, including intervention logic / logframe, output & outcome indicators, risks and challenges.

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<sup>4</sup> Unless otherwise specified potential NGO partners refer to certified partner organisations.

<sup>5</sup> Single Forms will be submitted to DG ECHO using APPEL

- Feasibility, including security and access constraints.
  - Quality of the monitoring arrangements.
- 4) Coordination and relevant post-intervention elements
- Extent to which the proposed intervention is to be implemented in coordination with other humanitarian actors and actions (including, where relevant, the use of single interoperable registries of beneficiaries).
  - Extent to which the proposed intervention contributes to resilience and sustainability.
- 5) Cost-effectiveness/efficiency/transparency
- Does the proposed intervention display an appropriate relationship between the resources to be employed, the activities to be undertaken and the objectives to be achieved?
  - Is the breakdown of costs sufficiently documented/explained?<sup>6</sup>

In case of actions ongoing in the field, where DG ECHO is requested to fund the continuation thereof, a field visit may be conducted by DG ECHO field expert (TA) to determine the feasibility and quality of the follow-up action proposed.

No award will be made to NGO partner organisations which have not complied with their obligations concerning the submission of audited financial statements (i.e. which would not have submitted those in due time to the Commission without a proper justification) or which would appear not to offer sufficient guarantee as to their financial capacity to implement the proposed actions (in light of their liquidity and independency ratios as appearing from their latest available annual statutory accounts certified by an approved external auditor).

### ***3.2.2 Specific operational guidelines and operational assessment criteria:***

This section outlines the specific operational guidelines that DG ECHO partners need to take into account in the design of humanitarian operations supported by DG ECHO. It also lists and explains the assessment criteria – based on those outlined in section 3.2.1 - that DG ECHO will apply in the specific context of the HIP to which this Technical Annex relates when assessing proposals submitted in response to the related HIP.

The **HIP Policy Annex** should be consulted in parallel.

This section describes the **Pillars and relative Priorities for the 2021 HIP in the SAIO**.

#### **PILLAR I: MULTI-SECTOR RESPONSE TO NATURAL AND/OR MAN-MADE DISASTERS AFFECTING THE REGION**

The main **objective** of this Pillar is to provide rapid and lifesaving humanitarian aid to populations affected by natural or man-made disasters. There are four priorities under this pillar as described below.

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<sup>6</sup> In accordance with the relevant section of the Single Form guidelines (section10) ECHO/-SF/BUD/2021/91000

## **Priority 1 – Emergency response in Northern Mozambique and Zimbabwe**

Specific targets for this priority:

- Cabo Delgado, Nampula and Niassa Provinces in Mozambique. Multisector humanitarian assistance – *for details on the sectors and strategy for northern Mozambique response, refer to the section below called “Emergency response to the conflict situation in Mozambique - Cabo Delgado, Nampula and Niassa Provinces in Mozambique” (page 6-9) –*
- Zimbabwe: Multisector, Protection and Nutrition, as priority sectors. In Zimbabwe, Emergency Rapid Response Mechanism (E/RRM)<sup>7</sup>, as an approach, is encouraged and should be guided by the ongoing ECHO funded action.

For both countries, both targeted protection interventions and mainstreamed protection in the interventions are considered as crucial (see below under section Protection).

## **Priority 2 - Humanitarian Food Assistance (HFA) and Nutrition in Lesotho, Eswatini and Madagascar.**

Target countries: Lesotho, Eswatini and Madagascar, in IPC3+ areas. Actions funded under this priority should address uncovered needs mainly during the peak of lean season only.

Refer to sections of Humanitarian Food Assistance (page 9) and Nutrition (page 10) under ‘Specific sector priorities for the pillar I’.

Other countries may be considered in function of food and nutrition needs assessed after the publication and during the validity of the HIP.

**Actions of relatively low budget can be considered to address COVID-19 related protection and socio-economic consequences impacting vulnerable populations** with particular focus on migrants and refugees from Lesotho, Eswatini, Malawi, Mozambique and Zimbabwe in South Africa. In this case, priority activities are related to **targeted protection** for refugees and migrants. In particular, attention needs to be paid to stigma and discrimination towards migrants in locations of origin, transit and destination upon their return, due to fears around COVID-19 transmission, which may lead to further exclusion and increased risk of exposure to violence from or unwillingness to access health and other essential services.

## **Priority 3 - Multi-sector response to natural and/or man-made disasters affecting the region.**

No initial funding is allocated, but could be considered in case of disaster event.

Eligible countries: Angola, Botswana, Comoros, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Zambia, Zimbabwe.

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<sup>7</sup> See below under “applicable to all pillars” / “A. Flexibility tools, including Crisis Modifiers and E/RRM.

This priority concerns emerging or sudden-onset humanitarian needs related to natural and/or man-made disasters during the duration of the HIP.

Any eventual emergency response should consider a multi-sectoral approach including food assistance, nutrition, WASH, shelter, health, protection, Education in Emergencies and any other relevant sectors based on the needs of the affected population, and should reflect vulnerabilities related to gender and age, food and nutrition insecurity (i.e. IPC 3+), HIV/AIDS status, and be coherent with DG ECHO policies. Protection should in any case be mainstreamed.

A single multipurpose assistance modality using a unified delivery mechanism would be preferred when possible.

In contexts where social assistance systems exist, partners are invited to work with and strengthen the system while responding to the crisis and work towards harmonisation of registry, transfer value, cash delivery mechanism, monitoring, communication and accountability mechanisms.<sup>8</sup>

### **SPECIFIC SECTOR PRIORITIES FOR PILLAR I**

Under PILLAR I, particular attention should be given to specific humanitarian sector requirements mentioned under each priority listed above.

This section serves to detail specific requirements for i) the first priority of this pillar related to Cabo Delgado, Nampula and Niassa Provinces in Mozambique and ii) for the sectors of Humanitarian Food Assistance (HFA) and Nutrition mentioned in the second priority of this pillar. Please do refer also to the section below applicable to all pillars and the policy annex.

#### **Emergency response to the conflict situation in Mozambique - Cabo Delgado, Nampula and Niassa Provinces in Mozambique**

The actions supported by DG ECHO under this Pillar I Priority 1 related to Northern Mozambique will address immediate, life-saving and essential needs across all sectors as a result of the armed violence in Northern Mozambique. They will target the most vulnerable population living in Cabo Delgado as well as Nampula and Niassa provinces. This will include multi sectoral assistance with protection as an overarching sector of intervention; shelter, non-food items, water, sanitation and hygiene; health, nutrition and Mental Health and Psychosocial Support (MHPSS); humanitarian food assistance, coordination, information management and monitoring of the humanitarian situation. All actions should aim at improving protection of the beneficiaries either through integrated programming and/or protection mainstreaming interventions through other sectors. ECHO aims to strengthen capacity to engage in humanitarian access, ensure early response and humanitarian protection, especially in hard to reach areas. This should entail the reorganisation and consolidation of humanitarian coordination regarding security, logistic and civil-military coordination aspects.

Responsiveness and flexibility of the response is critical. Partners are encouraged to consider one of the two following models: Either a small Emergency/Rapid Response Mechanisms (E/RRM) as stand-alone actions, or Crisis Modifiers (CM) as a separate result and allocated budget. Both are designed to provide initial life-saving multi-purpose assistance when other response mechanisms are not yet in place through enhanced

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<sup>8</sup> See section below ‘Applicable to all Pillars’ / ‘SRSPS’

flexibility and a rapid response. In both models, partners should demonstrate their capacity to preposition stocks and deploy adequate and qualified staff to respond without delay. However, E/RRM would require some preparatory work such as development of agreed triggers and creation of SOPs and appropriate coordination mechanisms. Intervention triggers should be integrated within the prioritisation system being used in-country and should be in line with the HIP. Stockpiling and related logistics preparedness is a key element for early response and needs to be framed and justified within a comprehensive preparedness and response strategy. Wash interventions should be motivated with a clear entry point in terms of health data and IDP concentrations .

ECHO's allocation will focus notably on humanitarian protection as an overarching sector to reinforce and meaningfully integrate protection at the first step of the emergency response and prevention. Most partners have been involved in natural disaster response and disaster preparedness and need support to adjust their programming with more conflict and protection sensitive approaches. This entails do not harm, careful protection risk analysis (risk equation<sup>9</sup>), design and monitoring of the possible positive or negative impacts of interventions for civilians. With this allocation, ECHO will support partners to establish a protection strategy to mitigate violence, coercion, deliberate deprivation and abuse for persons, groups and communities in the context of humanitarian crises, in compliance with the humanitarian principles of humanity, neutrality, impartiality and independence and within the framework of international law and in particular international human rights law (IHRL), International Humanitarian Law (IHL) and promotion of the rights of IDPs and migrants.

ECHO will notably consider

- a. Humanitarian protection data collection system in order to collect and provide tangible sex-and age-disaggregated data (SADD) and better understand the needs and capacities of women, girls, boys, men and older people affected by the emergency and what specific threats they face. This understanding is a precondition for providing assistance responding to specific needs of the different groups.
- b. Needs-based targeting methodologies (not status-based). All targeting should be based on the vulnerability of affected populations with blanket distributions used uniquely in the early days of a new displacement. The needs of non-displaced persons also require attention, in particular those who remain invisible and those are the most vulnerable in the host communities.
- c. Humanitarian protection needs assessments to inform an in-depth understanding of the different situation occurring across the region (use protection risk approaches),

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<sup>9</sup> The “risk approach” to humanitarian protection has been adopted by many organisations and has become one of the standard approaches to a protection-sensitive context analysis. By applying this approach, protection needs of a given target population are presented as risks, so that the protection needs may be determined by assessing the threats faced, and the vulnerabilities and capacities possessed in relation to those threats. **RISK = THREATS (+Hazards) X VULNERABILITIES/ CAPACITIES**

The protection needs of a given population depend on 1) the level and nature of the threat; 2) the vulnerabilities of affected persons; and 3) their capacities to cope with the threat – all in a given situation at a given point in time. The results of the risk analysis will serve as entry-points in order to design interventions: risks are mitigated by reducing threats and vulnerabilities and increasing capacities, or a combination of these.

- d. Protection mainstreaming programming through different types of emergency programming (conflicts/natural disaster) and M&E to ensure do no harm, meaningful access to services, as well as participatory approaches and accountability mechanisms.
- e. Integrated Protection programming, which aims at contributing to reduce the risk and exposure of the affected population. (comprehensive risk assessment, protection monitoring, fostering community structures and protection networks)
- f. Stand-alone protection programming is not recommended. More generally, all actions funded under this pillar must mainstream gender, protection and Disaster preparedness (DP), as well as Covid19 in their interventions. The Covid19 risk/needs analysis should be integrated in the intervention, with the necessary preventive measures and activities. Partners should also outline current ways of working and M&E capacities and share scenarios and mitigating measures.

Where feasible, partners should apply a nexus approach in programming to harness resilience, strengthen dignity and facilitate transition to longer-term predictable and adequate social schemes/services. Without compromising humanitarian principles, DG ECHO's partners are expected to consider if it is appropriate to deliver humanitarian assistance through national systems available at local level, especially related to basic social services (health/ nutrition, WASH, education), social care and direct (cash/voucher/ food) transfers to households, as a way of preserving/further strengthening existing systems during crises. Partners are also expected to assess if it is possible to use the humanitarian response as a window of opportunity to trigger further investments by development actors in the development of higher quality, more (geographically/ financially) accessible and crisis-sensitive services for populations in the intervention areas. Thus, by investing in evidence-building, sharing of best-practices and dialogue/ advocacy with longer-term actors, as a way of increasing shared responsibility among humanitarian and development actors for crisis-affected population. For example, delivering free quality health services for crisis-affected population in 'substitution mode' by humanitarian actors can be linked with health social protection debates led by development actors at national-level as part of the global Universal Health Coverage (UHC) commitments and serve as a concrete example for an inclusive policy instrument. Direct (cash) transfers to households can be linked to national social assistance schemes, or, if the latter are deficient, serve to trigger improvements in national social protection systems, in line with Grand Bargain commitments on Cash and Social protection.

### **Humanitarian Food Assistance (HFA)**

Food assistance interventions will be supported to save lives and to protect productive assets as a response to severe, transitory food insecurity due to natural and/or man-made disasters.

Food assistance interventions will target the most severely food insecure as a priority, targeting methodologies -both geographical and household level- should have food security/poverty indicators as an entry point. This includes use of IPC (e.g. IPC 3 or more households, households with poor Food Consumption Scores (FCS), high Coping Strategy Index (CSI), etc.). Use of Household Economy Approach (HEA) for community-based targeting has been rolled out in several countries and ECHO encourages its use.

Beneficiary Feedback and Verification mechanisms should be in place.

Food assistance needs for newly displaced populations should be prioritised in the context of displacement. Immediate blanket assistance should be provided upon arrival, ensuring the provision of sufficient and quality food assistance.

Actions for protracted displacement crises should be based on vulnerability criteria (profiling) and livelihoods capacities to cover food needs. These Actions should also include host communities where relevant.

Actions should be based on a thorough assessment of needs and gaps, and a multi-risk analysis should inform the design of the response. Protection considerations should be included in the response and when relevant integrated approaches should be identified in order to respond to the linkages between protection and food insecurity.

The specific needs of groups most vulnerable to undernutrition should be addressed; in particular, the provision of complementary food for children aged 6 - 24 months and supplementation for Pregnant and Lactating Women should be considered and provided through the most appropriate modality or mix of modalities, according to the context. In the absence of a reliable nutrition surveillance system, food assistance activities could also be used as a platform for the identification and referral of undernutrition (i.e. MUAC screening for children under-5 at registration/ distribution lines).

Food assistance and livelihoods support should as a principle be **unconditional**, given the vulnerability of targeted populations. Any conditionality should be duly justified and adapted according to the vulnerabilities of the targeted group (adapted for example for women with young children) or in consideration of the agricultural season.

When using the MEB to respond to food needs, partners must justify the proportion of the MEB to be provided based on a sound methodology and in coordination with other actors and particularly the CWG and the FS Groups.

Delivery of Food Assistance through existing SRSPS is encouraged where appropriate and in line with current practise.

Implementing partners providing in-kind food products should ensure quality and safety of the products by guaranteeing proper warehouse conditions and where relevant strengthening of basic logistics controls at all levels of the supply chain, conducting market surveillance and creating awareness within the targeted community.

**Emergency livelihood activities** could be included in the response where the food consumption gaps are already covered in order to support strategies for self-reliance and livelihood protection, focusing on the most vulnerable. Livelihoods Action should be based on proper livelihoods assessment and take into account changing environment and context, including need for adjustment of livelihoods due to climate change, and should not be confined to agricultural and pastoral livelihoods, also given the (semi-)urbanization of many countries in the region. The feasibility and appropriateness of these interventions should be carefully considered and documented using the minimum standards developed by the Livestock Emergency Guidelines and Standards (LEGS: <http://www.livestock-emergency.net>) and considering existing early warning systems.

Agricultural inputs, such as seeds and tools, can be considered where there is a clear link between the shock and the loss of such assets, and where they are important for livelihood recovery. A robust analysis of seed systems (such as a Sustainable Seed System Assessment: SSSA) should be conducted to make the appropriate choice of modality (in-kind, cash or vouchers) and especially to ensure that seed systems (private and public) are not undermined by an in-kind provision of seeds.

Partners must participate in, contribute to and reinforce existing food security information systems.

Food utilisation is a pillar of food security that should be an inherent part of any food assistance project. Components such as hygiene, appropriate feeding practices, proper energy source and technology for adequately processing, cooking and conservation of food/ making and safe water should be considered alongside food access and availability.

### **Nutrition in emergency**

Nutrition programming will be considered where needs are demonstrated (i.e. prevalence of acute under-nutrition is higher than the critical threshold or likely to deteriorate in the absence of action), and with priority given to contexts with significant risk of deterioration (arrival of newly displaced populations, high levels of food insecurity and/or risk of epidemics), low response capacities and significant caseload.

Nutrition needs should be informed through data collected through surveys or surveillance systems, and in view of the possible restrictions for primary data collection the use of MUAC<sup>10</sup> to estimate prevalence of undernutrition is acceptable in the absence of other methodologies.

The support of DG ECHO in nutrition prioritises the most life-threatening type of undernutrition (i.e. Severe Acute Malnutrition) but could be extended in some cases to the continuum of care (SAM+MAM) for children and PLW<sup>11</sup>. Standalone MAM<sup>12</sup> services will not be considered for funding.

Nutrition interventions must be compliant with treatment protocols and adaptations to Covid-19 in effect in each country. However the implementation of innovative approaches (i.e. simplified protocol, CMAM surge) are strongly encouraged when demonstrated as safe for beneficiaries and acceptable by national institutions, if they are expected to provide advantages such as enabling access to treatment in remote or insecure areas, increasing cost-efficiency or efficiently preventing undernutrition.

Treatment of acute malnutrition and its complications should be provided free of charge for the beneficiaries. This should include systematic and non-systematic medical treatment and lab tests, and transport and board for caretakers of cases referred to in-patient treatment.

Partners are encouraged to develop comprehensive community mobilization strategies, including building the capacity of caretakers and other community members to diagnose and refer cases of undernutrition to adequate treatment structures.

*Please refer to the other sectors specific requirements listed in this document under 'APPLICABLE TO ALL PILLARS'*

## **PILLAR II: EDUCATION IN EMERGENCIES (EIE)**

Target countries: Lesotho, Madagascar, Malawi, Mozambique, Zimbabwe.

Total amount: 6,000,000 EUR

Actions funded under this pillar aim to ensure education continuation in cases of humanitarian crisis to ensure education.

### **Priority 1 – Ensure safe learning spaces and provision of adequate education programmes for children in areas affected by violence and displacement**

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<sup>10</sup> Mid-Upper Arm Circumference

<sup>11</sup> Pregnant and Lactating Women

<sup>12</sup> Moderate Acute Malnutrition

This priority applies principally to Mozambique as an area at particular risk of violence (i.e. Cabo Delgado) and other areas identified with risk of violence and conflict. EiE action in refugees camps with clear needs identified and unmet, are also eligible.

Actions should principally target out-of-school children and those at risk of education disruption, forcibly displaced children (among internally displaced people), children within their host communities, and children with disabilities in line with the Commission staff working document “Education in Emergencies in EU-funded Humanitarian Aid Operations”.

Priority will be given to activities that include, as relevant:

- Strong evidence-based assessments, analysing the impact of the crisis on the formal education system delivering capacities and the consequent immediate education needs for children.
- Conflict-sensitive education (CSE) principles, including staff and partner training as required.
- Reinforced linkages between emergency and development programmes in relation to EiE.
- Development of an EiE national framework in line with national education sector development plans.
- Provision of psychosocial (PSS) and/or social and emotional learning (SEL) support for teachers and children.
- Joint elaboration of violence specific contingency plans with local authorities in relation to education needs.
- Identification and provision of appropriate accelerated education or catch-up programmes based on context-specific children education needs analysis.<sup>13</sup>
- Information and communication system for rapid feedback.
- Significant emergency stock related to EiE for IDPs.
- Enhanced hosting school capacity in case of major displacement (including classrooms, but also learning and teaching material, and adequate teacher/pupil ratio).

## **Priority 2 – Increase disaster preparedness capacities of schools, teachers and pupils AND ensure minimal education disruption**

Actions should support emergency preparedness and response plans, including disaster risk reduction in EiE. This should be aligned to the Comprehensive School Safety Framework<sup>14</sup>.

Actions should contribute to minimise education service disruption (ensure rapid study resumption) and enhance children’s safe access to schools during and after disasters.

Priority will be given to activities that:

- Promote the inclusion of multi-hazard data and analysis in Education Information Management System (EMIS).

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<sup>13</sup> “When it comes to Non formal Education programmes, partners are strongly encouraged to use the definitions, tools and guidance developed by the AEWG (Accelerated Education Working Group): <https://inee.org/collections/accelerated-education>”

<sup>14</sup> United Nations Office for Disaster Risk Reduction and Global Alliance for Disaster Risk Reduction and Resilience in the Education Sector (2017) Comprehensive School Safety Framework.

- Train teachers and education personnel on DRR elements using/disseminating and operationalising existing context-specific and approved guidelines/manuals (i.e. disaster preparedness, response, psychosocial support to students and how to cope with disasters, basic safe hygiene practices, DRR school clubs, etc.).
- Leverage the process to incorporate DRR in education curricula.
- Adapt appropriate EiE/DRR manuals/guidelines if needed.
- Promotion of catch up learning programmes.
- Ensure schools in disaster prone areas have a safety and response plan.
- Pre-position emergency stock/equipment and educational supplies for disaster-prone areas. This should be based on needs analyses (i.e. include tents, other shelter equipment, first aid and WASH kits, life vests, ‘School in Box’, flash light, thermal blankets, etc.) i) at single school level with a minimum package, and ii) at district/province level with large stock in place.
- Provide/establish evacuation points outside school structures where feasible to avoid the use of education facilities and consequent education disruption.
- Rehabilitation, relocation and retrofitting of schools and/or access structures for disabled people to ensure protection of children and minimum disruption of education in case of natural disaster.

*The following applies to both priorities of this EiE Pillar.*

Taking into consideration the length of education disruption and the availability of official/qualified teachers, the need for provision of AEPs (accelerated education programmes), catch-up or remedial classes should be assessed as per the definitions, tools and guidance developed by AEWG (see priority 1).

Child Sexual Exploitation (CSE) principles and Psychosocial Support (PSS) components including Social Emotional Learning (SEL) should be applied in all programmes.

Activities like rehabilitation, relocation and retrofitting of schools to ensure protection of children and minimum disruption of education should be part of a structured process with a strategic vision, in line with government rules and to the extent possible replicable. The rehabilitated schools should be integrated in community contingency plans as shelters during evacuations. Priority for upgrade should be given to communities where no other existing building to be used as shelter is present. DG ECHO encourages partners to refer and adopt building norms and models as developed in the region by UNHABITAT.

The establishment of safe, protective and quality learning environments is also a central component of the approach. Protection mainstreaming including specific targeting of children presenting protection needs such as disabled children, unaccompanied and separated children, children exposed to GBV, neglected children. Child safeguarding systems are needed in the preparation, planning and implementation and transition stages of actions. As regards gender-based violence, important to integrate PSEA complaint mechanisms to ensure that children will be protected. Referral towards protection services (health and legal, CP/PSS services – if existing) should be added to demonstrate how CP case will be managed. In addition, protection approaches should have an emphasis on non-violent school policies, processes and practices, including the prevention of sexual and gender-based violence.

For any preparedness activity, the needs of children with disabilities should be carefully taken into account.

All proposals should demonstrate coordination with development and other humanitarian actors. The connection between humanitarian assistance and development is critical to help build the long-term resilience of the education systems. Coordination must be ensured with interventions under the 11<sup>th</sup> EDF focal sector secondary education and Technical and Vocational Education (TVET).

In the Single Form, the result addressing this priority should be categorised by the following sector: “Education in Emergencies” and appropriate KRIs and KOIs should be used.

Proposals focusing only on this pillar are welcomed.

### **PILLAR III: DISASTER PREPAREDNESS**

Target countries: Lesotho, Madagascar, Malawi, Mozambique, Zimbabwe

Total amount: 8,000,000 EUR

In line with DG ECHO regional Disaster Preparedness strategy described in the HIP document, in 2021, a set of country specific priorities has been considered taking into account ongoing DG ECHO Disaster Preparedness programming and country specificities.

#### **LESOTHO**

In **remote areas, which are exposed to high risk of natural disasters**, priority will be given to:

##### **1. Logistics preparedness**

DG ECHO will favour actions aiming at strengthening logistics preparedness capacities, including to set/organise and manage **strategically localised emergency stock pre-positioning** for a faster, more effective and efficient response in all the county, but especially in isolated mountainous areas exposed to natural hazards.<sup>15</sup>

This includes digital mapping/assessment of routes and storing structures, adoption of digital and webGIS based stocking and tracking management, adoption of SOPs and agreements with private sectors, NDMAs and other partners.

##### **2. Strengthening and Linking Early Warning (EW) to Early Action (EA) and adoption of risk-based and anticipatory actions**

Building on the wealth of experience in country, DG ECHO will consider funding:

- **Forecast based early actions mechanisms** to be adopted at scale in disaster risk management<sup>16</sup>
- Reinforcing the **institutional capacity of the multi hazard EWS** by ensuring the various components of EWS are systematically linked, coordinated and work at national and community level.<sup>17</sup>
- Promotion of **cash preparedness and SRSPS** as a way to link development programmes for emergency response and enable SRSP to be used for anticipatory cash distribution.<sup>18</sup>

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<sup>15</sup> See section below ‘Applicable to all Pillars’ / ‘Logistic and Emergency Stock piling/prepositioning’

<sup>16</sup> See below under “Forecast based early actions mechanisms - Aspects to be taken into account.”

<sup>17</sup> See below under ‘Early Warning System - Aspects to be taken into account.’

- Use of UAV/Drones technologies as a way to conduct risk analysis, digital modelling, rapid emergency assessment and as a tool for rescue operations in remote and hard-to-access mountainous areas.

### **MADAGASCAR**

Priority will be given to:

#### **3. Strengthening and Linking Early Warning (EW) to Early Action (EA) and adoption of risk-based and anticipatory actions on the Western Coast of the country**

Building on the wealth of experience in country, DG ECHO will consider funding:

- **Forecast based early actions mechanisms** to be adopted at scale in disaster risk management<sup>19</sup>
- Reinforcing the **institutional capacity of the multi hazard EWS** by ensuring the various components of EWS are systematically linked, coordinated and work at national and community level.<sup>20</sup>
- Enhanced **Capacity building** of central DMAs,
- Advocacy with development actors for medium/long term support for DP/DRR
- Advocacy and technical support to DMAs on why, when and how to activate and use **European Civil Protection Mechanism UCPM** support services
- Emergency stock repositioning for multi-hazards including COVID-19 related prepositioned stock<sup>21</sup>
- Promotion of **cash preparedness and SRSPS** as a way to link development programmes for emergency response and enable SRSP to be used for anticipatory cash distribution.

Mainstreaming of **logistic preparedness** and capacity to manage prepositioning of emergency stocks will be essential.

DG ECHO also expects projects to **further promote the use of UAV (drones) technologies** associated to AI reducing need of helicopters for **search and rescue operation**.

#### **4. Urban Preparedness** as part of Strengthening and Linking Early Warning (EW) to Early Action (EA) and adoption of Risk-based and anticipatory actions

**Specific targeted urban areas considered** are: Ambilobe, Mahajanga, Morondova, Morombe, Tuléar and other relevant urban setting on the west coast, but also the capital Antananarivo.

Attention will be paid to:

- Implementation of **risk and vulnerability assessments** in urban settings including dynamic risk modelling and protection risk factors such as inequity, women head of

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<sup>18</sup> See under below “applicable to all pillars”

<sup>19</sup> See below under “Forecast based early actions mechanisms - Aspects to be taken into account.”

<sup>20</sup> See below under ‘Early Warning System - Aspects to be taken into account.

<sup>21</sup> See section below ‘Applicable to all Pillars’ / ‘Logistic and Emergency Stock piling/prepositioning’

households, unaccompanied and separated children, people with disabilities, alone elderly, etc. that further contribute to increase disaster and climate vulnerabilities

- Adaptation of **contingency planning processes and plans to better include** urban and peri-urban contexts.
- Reinforcement of **urban tailored EWS**, including adaption in relation to information transmission using modern technologies accessible in urban contexts
- Development of ad hoc **SOPs for NDMAs and civil society for urban response**
- **Evacuation plans** with identified safe evacuation routes and safe areas/shelters.

## 5. Climate and environmental resilience

Attention should be given in particular to:

- Updating vulnerability and capacity assessments to adapt to climate change integrating climate risk/impact projections and promoting synergy with environmental/ DP programmes
- Climate and environmental risk analysis incorporated and guiding contingency plans/guidelines
- Support the inclusion in preparedness/contingency plans (national/local level) of clearing of stagnant/polluted water/canals prior to rainy season, particularly in urban areas.
- Support to water and flooding management, and incorporating wetlands catchment areas.
- Integration of environmental considerations into contingency/response plans (ex. re-use and recycling of materials for shelter construction, including debris, clean/renewable energy and energy efficient solutions, zero-kms etc.).
- Identification/construction/improvement of community shelters to withstand climate shocks (particularly more frequent floods/cyclones) using green / sustainable and possibly locally made solutions.
- Nexus DP activities with climate change programmes funded by EU MS, EU, other donors including governments' ongoing climate actions such as those implemented under United Nations Framework Convention on Climate Change (UNFCCC) i.e. National Adaptation Programme of Action On Climate Change (NAPA)
- Knowledge Management, especially facilitation of peer learning and identification of good practices on climate & environment resilience.
- To conduct Gendered Climate Vulnerability and Capacity Analysis (GVCAs)

### MALAWI

The geographic focus is on:

- risk-prone areas in **the Southern and Central Regions** exposed to natural hazards and therefore in need of further DP support; –
- **urban areas**, including medium sized agglomerations such as Lilongwe, Blantyre, Mzuzu and Zomba;
- Attention should be given **to the secondary river basins** which are not supported by other DP programmes.

Priority will be given to:

**1. Strengthening and Linking Early Warning (EW) to Early Action (EA) and adoption of risk-based and anticipatory actions**

Building on the wealth of experience in country, DG ECHO will consider funding actions:

- **Forecast based early actions mechanisms** to be adopted at scale in disaster risk management<sup>22</sup>
- Reinforcing the **institutional capacity of the multi hazard EWS** by ensuring the various components of EWS are systematically linked and work at national and community level.<sup>23</sup>
- Advocacy and technical support to DMAs at central level, including capacity to activate and use **European Civil Protection Mechanism UCPM** support services.
- Promotion of **cash preparedness and SRSPS** to be used for anticipatory cash distribution as a way to link development programmes and emergency response.

**2. Urban Preparedness** as part of Strengthening and Linking Early Warning (EW) to Early Action (EA) and adoption of Risk-based and anticipatory actions

Attention will be paid to:

- Implementation of **risk and vulnerability assessments** in urban settings including dynamic risk modelling and protection risk factors such as inequity, women head of households, unaccompanied and separated children, people with disabilities, alone elderly, etc. that further contribute to increase disaster and climate vulnerabilities
- Adaptation of **contingency plans** adapted to urban and peri-urban context
- Reinforcement of **urban tailored EWS**, including adaption in relation to information transmission using modern technologies accessible in urban contexts
- Development **SOP / action plans for NDMAs and civil society for urban response**
- **Evacuation plans** with identified safe evacuation routes and safe areas/shelters.
- Establish **urban community centres** for the delivery of adequate and accessible social services to the most vulnerable individuals and groups, promoting public awareness, and considering the stockpiling of necessary equipment including Protection materials and services to assist the most affected populations.

**MOZAMBIQUE**

Priority will be given to:

**1. Preparedness in conflict and fragile settings** in Northern Mozambique (Cabo Delgado), but also in other areas affected by violence / conflict that may emerge during the HIP period.

As part of the strengthening EW/EA and adoption of Risk-based and anticipatory actions, DG ECHO will favour actions that contribute to:

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<sup>22</sup> See below under “Forecast based early actions mechanisms - Aspects to be taken into account.”

<sup>23</sup> See below under ‘special considerations for EWS’

- **comprehensive approach to risk analysis** supporting the early identification of specific threats and vulnerabilities and providing the evidence to establish appropriate protection preparedness systems, anticipatory measures and early actions;
- **better understanding of specific dynamics of situation** and of the local perception of protection threats and risks in order to better the local disaster preparedness planning;
- detailed analysis of local actors and ECHO partners **capacity to respond** taking into account the conflict dimension and protection threat to further define capacity strengthening strategies for key local actors / early responders (including DMA, Police, local NGOs, Red Cross National Societies and other civil society members);
- embedding disaster preparedness considerations within IDP Camp Coordination and Camp Management approaches (CCCM);
- enhanced capacity of **National Red Cross Societies** to assist populations in case of political violence.

**Mainstreaming of core Protection principles** across all Disaster Preparedness actions remains critical. The active integration of specific and **targeted Protection activities** in Disaster Preparedness actions is also recommended. It should also allow the mitigation of the social impact of Covid-19, as well as the adaptation of institutional and local capacities to better respond to potential recrudescence of the pandemic.

## 2. Climate and environmental resilience

Attention should be given in particular to:

- Updating **vulnerability and capacity assessments** integrating climate risk/impact projections and ensuring coherence with DP actions.
- Climate and environmental risk analysis incorporated and guiding **contingency plans/guidelines** specifically dealing with camp management.
- Support the inclusion in preparedness/contingency plans (national/local level) of **clearing of stagnant/polluted water/canals prior to rainy season**, particularly in urban areas.
- **Improving evacuation routes** and practices based on climate risk/impact projections (especially in the context of cyclone evacuation simulations and urban flash floods).
- **Cash preparedness and development of SRSPS using mobile technologies**; this to serve forecast based anticipatory actions limiting needs and in kind transfers that are polluting.
- Activities of capacity building linked to recycling and disposal and waste management during emergencies.
- **Nexus DP activities** with climate change programmes funded by EU MS, EU, other donors.
- **Further promote the use of UAV (drones) technologies** associated to AI reducing need of helicopters for search and rescue operation.

## **Emergency stocks prepositioning and logistic preparedness**

Particular attention will be given to put in place significant **Emergency stocks prepositioning** and **logistic preparedness** aimed to manage these stock that is valid for both for the aspects of preparedness in conflict and climate / environment. Ad hoc proposals addressing the needs related to emergency stock prepositioning are encouraged.<sup>24</sup>

### **ZIMBABWE**

Priority will be given to:

#### **1. Logistics preparedness**

Taking into account the learning from Cyclone Idai Response, DG ECHO will favour actions aiming at strengthening logistics preparedness capacities to set/organize and manage **strategic localised and sufficiently large emergency pre-positioning** for a faster, more effective and efficient response.

This includes digital mapping/assessment of routes and storing structures, adoption of digital and webGIS based stocking and tracking management, adoption of SOP and agreement with private sectors, NDMA's and other partners.

Attention should also be given to advocacy and technical support to DMA's on why, when and how to activate and use **European Civil Protection Mechanism UCPM** support services, Copernicus Emergency Management Service and the Aristotle.

#### **2. Preparedness for response in fragile settings**

As part of the strengthening EW/EA and adoption of Risk-based and anticipatory actions, DG ECHO will favour actions that contribute to:

- Strengthening **Emergency Response Mechanisms (ERMs)** for improved and more coordinated preparedness and early response, guided by early warning and contingency plans.
- **comprehensive approach to risk analysis** supporting the early identification of specific threats and vulnerabilities and providing the evidence to establish appropriate protection preparedness systems, anticipatory measures and early actions;
- **better understanding of specific dynamics of situation** and of the local perception of protection threats and risks in order to enhance local disaster preparedness planning;
- detailed analysis of local actors and ECHO partners **capacity to respond** taking into account protection threats to further define capacity strengthening strategies for key local actors / early responders (including DMA, Police, local NGOs, Red Cross-National Societies and other civil society members);
- enhanced capacity of local responders such as **National Red Cross Societies** to assist populations in case of political violence.

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<sup>24</sup> See below section “ Applicable to all Pillars / Emergency Stock piling/prepositioning and Logistic”

**Mainstreaming of core Protection principles** across all Disaster Preparedness actions remains critical. The active integration of specific and **targeted Protection activities** in Disaster Preparedness actions is also recommended. It should also allow the mitigation of the social impact of Covid-19, as well as the adaptation of institutional and local capacities to better respond to potential recrudescence of the pandemic.

### ***REGIONAL Coordination and Cross Learning***

Regional organisations like SADC are playing an increasingly significant role in DP/DRR and in emergency response. A priority is to increase regional and national responsibilities and capacity for risk management and enhanced response capacities. DG ECHO's contribution should support regional and national preparedness and coordination capacities, ensuring these are responsive to and inclusive of community priorities.

The following activities are encouraged:

- Develop a Regional Advocacy strategy on humanitarian protection
- Provide technical support to SADC DRR unit capacity to operationalize SADC Disaster Preparedness and Response Strategy and Fund 2016-2030, including
  - creation of regional response teams and contingency arrangements including funds
  - a comprehensive and interlinked regional multi hazard EWS framework
- Support and dissemination of policies, guidelines and SOPs in relation to cash transfers, especially those designed in a multi-purpose way (MPCT), SRSPS and crisis modifiers, DP and protection.
- Promote a result oriented Regional Coordination that includes exchanges/lesson learning exercise in relation to DP with the member states.
- Promote/facilitate effective, principled and rapid humanitarian action; enhance operational readiness/preparedness to respond, coordinated humanitarian response; support for mobilizing humanitarian financing and comprehensive information management.
- Advocate for adoption of flexibility tools to rapidly respond to emergencies (i.e. crisis modifier model) in development and humanitarian programmes within SADC.
- Contribute to the development of emergency response teams operating under SADC to ensure readiness to respond in line with the developed and up to date contingency plans and with the priorities of this HIP
- Contribute and coordinate with the RIASCO coordination efforts with its rapid response team, assessment, special coordination meetings and other.
- Advocacy to increase government and other actors' investments in DP.
- Facilitate linkages of DRM actors with private and research institutes including universities.
- Explore relevant synergies with EU Civil Protection in particular the EU Civil Protection Mechanism

Activities contributing to this regional cross cutting priority could include provision of technical expertise, consultancies, organising seminars/workshops at regional level, trainings, exchange visits, equipment provision, etc.

**ATTENTION:** a regional action should include a specific activity and budget to facilitate an annual regional DP workshop involving the ECHO partners in the SAIO region, other

actors, institutions of higher learning/research organisations in DP/climate and environmental resilience, DMAs, private sector, aimed to exchange/learn best practices and advocate for DP priorities.

Partners submitting proposals for regional intervention are encouraged to do so separately from other national based proposal(s).

### **Forecast based early actions mechanisms (FbA) – Aspects to be taken into account.**

Demonstrating the potential for **Forecast based early actions mechanisms** to be adopted at scale in disaster risk management decision-making through the use of different sources of risk financing and national and regional delivery mechanisms.

Selected Actions should help to document the evidence and prepare for gradually **expanding the reach and scope of initial experiences**. Scaling up involves physical expansion (replicating approaches to new areas/ countries and addressing additional hazards), greater social reach (increasing coverage in number or scope of people targeted), extending political engagement and institutional capacity and deepening the conceptual framework around FbA.

### **Early Warning System - Aspects to be taken into account.**

- Support to multi-hazard EWS. NDMAs strengthened on multi hazard EWS, but with priority towards EWS for floods, cyclones and other rapid-onset related hazards that effectively operate at the local level.
- Even though Early Warning Systems exist at national level, support is still necessary to: i) better integrate and ensure that DMAs have usable hydrological and meteorological data for EWS; ii) interlink EWS at national, district and community level in a more efficient and usable way; iii) enhance risk knowledge; and iv) expand the coverage of EWS since some remote areas are not yet served by effective EWS (as evidenced by the 2019 cyclone impact).
- Reinforce linkages between EW and EA at national / province / district / community level; with protocols / guidelines in place and tested and documented in preparedness plans.
- Multi-hazard and digital contingency plans with appropriate triggers, digital risk mapping modelling, capacity to use modern technologies for DP and integration of national EWS with local traditional ones.
- Strengthen the ability to translate climate forecasts into locally usable early warning information and early action by affected communities, humanitarian responders and political decision-makers
- There is a need to further develop and adopt Forecast Based Actions (FbA) linked to EWS. Activation of flexible funding mechanisms should wherever possible be guided by a multi-risk analysis and scenario contingency planning / contingency plan.
- Thresholds / triggers for response/actions identified and included in DP plans/contingency plans periodically reviewed by key stakeholders/relevant sectors, based on lessons learned.
- For **flood-related hazards**, the EWS should have: i) a watershed management approach; ii) include accurate digital modelling of the hazard/risk (i.e. dynamic flood modelling) developed and integrated in the EWS; iii) integrate meteorological and hydrological data;

iv) a clearly defined structure of fast communication with usable messaging from/to national/district and the targeted local communities using modern technologies capturing as many beneficiaries as possible at once.

- Actions should adequately **equip the local civil protection** committees for the EWS. Special attention should be given to providing **adequate hardware equipment** to empower civil protection committees at community level, to equip and strengthen their reactivity and capacity to be the first respondent to a crisis. Among the essential items a civil protection should have at hand are: ropes, lifejackets, thermal blankets, first aid kits, stretchers, mobile phones, torches, cooking utensils, stock of clothes and fuel for the most vulnerable, in some cases rescue boats, warning equipment (sirens whistles), various EWS material, etc. Choice of equipment should be defined by prevailing and predicted risks and in line with national DMA guidelines. A detailed list must be provided in reference to i) actual needs and ii) international standards.
- Adoption of innovative technologies such as UAV (drones), satellite technologies, AI and communication system aimed to enhance EWS.
- Technical support to DMAs on why, when and how to activate and use the **European Civil Protection Mechanism UCPM** support services, link with the Emergency Response Coordination Centre ERCC, orientation on the various services provided such as the Copernicus Emergency Management Service and Aristotle

### **General considerations for Pillar III**

All proposals submitted under Pillar III) should include also the following:

- Budget travel for two or three people (including the DP Action responsible and one from the NDMA) to participate in the annual DP DG ECHO and partner workshop in South Africa (or other country in the SAIO region)
- Contribution to the Cap4Dev Platform of DG ECHO: ‘Disaster Risk Reduction (DRR) in the Southern Africa and Indian Ocean funded by DG ECHO’.<sup>25</sup>

### **APPLICABLE TO ALL PILLARS**

The following apply to all pillars of the HIP:

- A. Coordination and Humanitarian – Development Nexus
- B. Flexibility tools, including Crisis Modifiers and E/RRM.
- C. Visibility and Communication
- D. Accountability and Complaint mechanism
- E. Transfer modalities
- F. Climate change adaptation and environmental considerations
- G. Innovations
- H. Emergency Stock piling/prepositioning and Logistic
- I. Protection
- J. Shock Responsive Social Protection System (SRSPS).

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<sup>25</sup> Available at this link: <https://europa.eu/capacity4dev/disaster-risk-reduction-drr-in-the-southern-africa-and-indian-ocean-funded-by-echo>  
ECHO/-SF/BUD/2021/91000

## **A. COORDINATION AND HUMANITARIAN-DEVELOPMENT NEXUS**

Wherever feasible, and without compromising humanitarian principles and immediate humanitarian service delivery, partners should apply a “Nexus lens” throughout the project cycle, and to all intervention sectors, with a view to strengthening resilience, promoting access to quality and sustainable services, and developing shock-responsive safety nets to crisis-affected populations.

In this context, DG ECHO's partners are expected to explore possibilities to engage with national systems at different levels, especially related to basic social services (health/nutrition, WASH, education), social protection and direct (cash) transfers to households, as a way of strengthening existing systems in crisis-settings and beyond. Partners are expected to share good practice examples of humanitarian interventions for advocacy/ dialogue at national level, to trigger further long-term investments by development actors, aiming at global Sustainable Development Goals commitments.

Actions should contribute to strengthen coordination capacity of national disaster management authorities at national and local level.

Coordination among partners working in the same locations, synergies/linkages with long term development actors/donor and local authorities and national systems is essential to promote nexus between humanitarian and development activities.

Actions to be funded by DG ECHO must demonstrate that their plans and strategies are developed taking into account existing actions already funded by DG ECHO.

All proposals should demonstrate that there is no overlap, or duplication with existing similar intervention funded by other donors and especially those funded by the European Development Fund, but ensure complementarity and synergies with existing national and / or regional initiatives. DG ECHO regards the role played by the EU Delegations as crucial; therefore, actions funded by this HIP must demonstrate how they will support the design/development/roll out of such objectives ensuring *continuum* and *contiguum*.

Actions must align with and support national strategies and demonstrate how they contribute towards strengthening and roll-out of such strategies.

## **B. FLEXIBILITY TOOLS, INCLUDING CRISIS MODIFIERS AND E/RRM**

Whenever relevant, partners should introduce flexibility tools in their actions, such as a Crisis Modifier, to swiftly respond to any new emerging shocks occurring in the area of their operations (a crisis within a crisis). Flexibility measures can be triggered to provide initial lifesaving multipurpose response in the aftermath of a rapid onset crisis; the two main scenarios are: i) to fill the time gap while waiting for additional resources; ii) to respond to small scale humanitarian needs which would otherwise remain unattended.

The process is based on a multi-risk analysis, identifying geographic locations most exposed to (seasonal) hazards, high impact and most likely scenarios, estimated number of people potentially affected by a given shock, expected needs and type/sector. The process also includes the identification of triggers so that the decision to intervene or not is consistent.

ERM/RRM and flexibility measures are complementary and do not exclude each other; flexibility measures enable to bridge the time gap between the shock and the time needed to mobilize ad-hoc resources through the ERM/RRM or additional funding. Timeliness of response is a key element for effectiveness of both flexibility measures and ERM/RRM.

In the Single-form, the flexibility mechanism should be presented as a specific Result, with "*Disaster Risk Reduction / Disaster Preparedness*" as the main sector and "*Contingency planning and preparedness for response*" as sub-sector. As good practice, the Result budget ranges from 5-10% of the total budget of the action; however, this budget does not need to be pre-allocated to the Result at proposal stage.

Partners must demonstrate their capacity to prepare, preposition stocks and deploy adequate staff to respond to a disaster within an acceptable timeframe. Sector/cluster response plans are of paramount importance for coherent and coordinated interventions

Partners are expected to minimise the timeframe between the alert, the assessment and the response. Justification to respond or not to following an early warning should systematically be explained. The following indicators to measure rapidity of response are encouraged.

- ✓ "*Number of people covered by early action/ contingency plans*" (KRI);
- ✓ "*Number of days between the crisis and/or alert and the beginning of the response*" (Target: to be adapted according to the country context and the modality used);
- ✓ "*% of the targeted population assisted within x weeks after the beginning of the response*" (Target: to be adapted according to the country context and the modality used).

When activating the Crisis Modifier (CM), partners shall inform DG ECHO Country Office. If the funds of the CM are not used, the partner shall propose to DG ECHO how to reallocate the resources, in the interim report or not later than one month before the end of the action.

### **Emergency/Rapid Response Mechanisms (ERM/RRM) as standalone actions**

Emergency/Rapid Response Mechanisms (ERMs/RRMs) are stand-alone actions pooling capacities of different partners for improved and more coordinated preparedness and early response, guided by early warning and contingency plans. ERMs/RRMs are designed to provide initial lifesaving multipurpose assistance when other response mechanisms are not yet in place. ERMs/RRMs are mostly used for rapid-on-set crisis. For slow-on-set, objective indicators with thresholds for engagement / disengagement should be defined in coordination with other stakeholders including the State Authorities.

## **C. VISIBILITY AND COMMUNICATION**

Partners will be expected to ensure full compliance with visibility requirements and to acknowledge the funding role of DG ECHO, as set out in the applicable contractual arrangements. The DG ECHO Visibility Guidelines are available here: <https://www.dgecho-partners-helpdesk.eu/visibility>. The guidelines also explain the three main Visibility & Communication options available to partners when submitting project proposals, and the possible budgets.

Partners are encouraged to liaise regularly with the DG ECHO Information and Communication team based in Nairobi. This will facilitate a regular flow of information

products and help DG ECHO support the various Visibility & Communication actions throughout the project cycle.

#### **D. ACCOUNTABILITY AND COMPLAINT MECHANISMS**

For any type and modality of transfer, beneficiaries of humanitarian assistance are exposed to the risk of having their entitlement reduced/taken (kickbacks, forced or “voluntary” sharing, coercion, harassment, larceny and violence). While such risks can be reduced in all phases of the action, a complaint mechanism is an essential element to stably reduce abuses, rectify targeting errors and spot frauds.

Complaint mechanisms should have SOPs and designated responsibilities among staff to classify and pursue cases, whistleblowing and privacy policies. Awareness is of a particular importance, as beneficiaries are too often not informed about the existence of such mechanisms.

To reduce conflict of interest and promote confidentiality, partners are strongly encouraged to outsource the complaint mechanisms to third parties, i.e. specialised institutions such as monitoring, audit, insurance companies, universities, etc.

#### **E. TRANSFER MODALITIES**

Where assistance is to be delivered in the form of cash transfers, particular attention will be paid to the principles laid down in DG ECHO's cash guidance note, which will form the basis for the assessment and selection of partners, in particular in the case of large-scale transfers. Partners will be expected to demonstrate a satisfactory efficiency ratio and, to the extent possible and taking into account the operational context, partners will be assessed on their ability to work based on common targeting criteria, single or interoperable beneficiary registries, a single payment mechanism, a common feedback mechanism and a common results framework. In line with the cash guidance note, DG ECHO will expect partners to strive for segregation of duties and full transparency on the costs of implementation. Furthermore, partners should ensure that the efficiency ratio is maintained throughout the action, unless otherwise approved by DG ECHO. For the delivery of smaller-scale cash transfers, DG ECHO will assess proposals paying particular attention the Guidance note's principles of coordination, harmonisation and multi-partner approach.

In general, partners should undertake a comparative cost-effectiveness analysis of alternative modalities and technologies where relevant.

#### **F. CLIMATE CHANGE ADAPTATION AND ENVIRONMENTAL CONSIDERATIONS**

Adapting responses to future climate change as well as reducing environmental degradation are highly relevant in partners' interventions. Such actions also contribute to the European Commission's overall implementation of the European Green Deal<sup>26</sup>.

All partners must take all necessary measures to reduce the environmental footprint of humanitarian aid, and ensure that their work does not contribute to the further deterioration of the environment, or the health and well-being of the people living in the target area. Partners should take measures such as choosing materials with a lower carbon footprint,

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<sup>26</sup> [https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal\\_en](https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal_en)

using clean energy solutions, avoiding deforestation, implementing robust waste management systems, greening the organisation's logistics or supply chain, or working more closely with local actors to decrease intercontinental transport.

#### **G. INNOVATIONS USE OF INNOVATIVE TECHNOLOGIES AIMED AT ENHANCING EFFICIENCY**

There is a real opportunity in several countries in the SAIO region to further test, use and scale up innovative approaches and technologies without compromising the priorities of the HIP. Innovations are therefore encouraged; they should not be an end in themselves, but directly lead to the achievement of the action's objectives.

The primary aim in piloting and scaling up innovative solutions is to improve the efficiency and effectiveness of humanitarian actions now and in the future. Where relevant innovative approaches or solutions have demonstrated their effectiveness/relevance, DG ECHO may support scaling up in the contexts of actions funded under this HIP.

*Partners are encouraged to adopt relevant innovative solutions recommended by the DG ECHO Enhanced Response Capacity (ERC) funded actions.*

Below are some examples of innovative approaches:

- Online Protection and MHPSS case management to ensure continuity of care during Covid 19 and in hard to reach areas (mobile technologies)
- Online national Help desk to support access to services (include GBV, CP, violence ..)
- Innovative approaches to link and promote DP in education
- Use of UAV (drones) technologies associated to AI reducing need of helicopters for search and rescue operation
- Use of the most efficient and effective innovative technologies including existing open-sources resources, remote sensing programs (LIDAR) and drones (UAV) for mapping and rapid assessment during floods and /or deliveries
- Remote sensing, meteorological information systems
- Hydrological data monitoring
- Accurate flood modelling
- Mobile technologies for EWS
- Innovative mobile or internet based delivery technologies
- New ways to integrate humanitarian responses within social protection systems;
- prepositioning of multi-sector contingency stocks and equipment and electronic and interoperable stock management systems
- Innovative approaches to link and promote DP/DRR in the health/protection services;
- Advocacy for safer hospital approaches
- Building designs and material for disaster-proof schools and shelters
- Common targeting/identification/delivery mechanisms for cash based interventions;
- Outsourced grievance/accountability and complaint mechanism
- Collaboration with the private sector.

Collaborations with research institutions and private sector stakeholders is strongly encouraged. It is extremely important to solidly document the innovations used preferably with scientific peer reviewed papers and ultimately provide clear recommendations.

**H. EMERGENCY STOCK PILING/PREPOSITIONING AND LOGISTICS**

In this section, we focus on Emergency Pre-positioning/Stockpiling at national and region/province level. Emergency Pre-positioning/Stockpiling is ‘the constitution of emergency supplies not intended for immediate use, with the objective of reinforcing the emergency/disaster preparedness in third countries. These stocks managed by a partner and constituted with DG ECHO's support should be made available to all DG ECHO partners in case of emergencies. The costs of the supplies will be considered as incurred when the supplies are delivered to the warehouse of the Partner.’<sup>27</sup>

Pre-positioning/Stockpiling should ensure that adequate emergency stocks are in place in the country and accessible to enhance emergency response capacity of local authorities and international organizations during the immediate response to a disaster.

**Pre-positioning of stocks must be implemented in a timely manner in anticipation of recurrent hazard calendar.**

The following aspects should be taken into account and described in the Single Form:

- The pre-positioning should appear in at least one ad hoc and separate Result within the SF of the proposed action (not in the crisis modifier result).
- Explain why the stocks should be constituted, the nature of the supplies based on a detailed risk/needs analysis presented in section 3 of the Single Form.
- How they will be managed (for instance, in case the disaster or emergency, in case limited period of usability), including handover to national/local entities.
- Stocks, managed by a partner and constituted with DG ECHO's support, should be available to all DG ECHO partners and other humanitarian actors
- Existing capacity and how capacity building needs to manage all aspects of emergency Pre-positioning/Stockpiling, including procurement and logistic capacities.
- Detailed analysis of the warehouses including capacities, related needs, gaps and how the action will address them, are needed.
- Possibility to have common multisector emergency stocks to be used by multiple agencies.
- Involvement of private partnerships.
- Accountability and electronic data system of the emergency stock management.
- Availability and access of appropriate warehouses and strategic prepositioning to serve potentially most affected areas in the country.
- Role of DMA, National Red Cross Society, civil society, other actors.
- Coordination, authorization and complementarity with the DMAs.
- Adherence to international and national standards.
- The stocks should be proportionate to the identified possible gap in the procurement chain.
- Adherence to DG ECHO policies and guidelines related to stocks pre-positioned (or stockpiling) in advance of possible disasters (see [http://dgecho-partners-helpdesk.eu/eligibility/eligible\\_costs/stoks/start](http://dgecho-partners-helpdesk.eu/eligibility/eligible_costs/stoks/start)).
- Triggering threshold and modality / procedure to access and distribute the stock
- Logistic aspects holistically described including the following:

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<sup>27</sup> FPA GUIDELINES, SECTION 9.3.2 B)

- Framework agreement in place for distribution of the stock with airline company (Helicopter, drone) boat charter and truck company.
- Capacity building of DMA and local partner on store management, international procurement, fleet management and distribution.
- Assess and manage risks to the security of transport routes and warehouses.
- Dispose of damaged commodities quickly, before they become a health or security hazard. Methods of commodity disposal include sale (for example or food for animal feed) and burial or incineration that is authorized and should be witnessed by relevant authorities. In all cases, unfit commodities must not re-enter the supply chain, harm the environment or contaminate water sources.
- Ensure commodity tracking and information management systems are in place from the beginning of the intervention.

Stockpiling of NFIs should be in line with international standards and include items for the following sectors (thereafter a non-exhaustive list):

- Shelter: i.e. tents for single families, large communal tents,
- Protection: i.e. Child Friendly Space (CFS) kit, First aid kit, hand washing facilities, Hygiene kit for girls, dignity kits, post-rape and pregnancy delivery, and emergency fuel supplies or cooking stoves with Food Security or Shelter/Non-Food Items (NFI) clusters, CFS kit.
- WASH: water and sanitation equipment, disinfectant, buckets, filters, etc.
- Health: i.e. first aid kit, thermal blankets, long lasting insecticide treated mosquito nets, temporary health shelter equipment, Oral Rehydration Solutions (ORS) , condoms .Nutrition: Anthropometric equipment for Community-based Management of Acute Malnutrition (CMAM).
- HFA: with funding under this pillar, DG ECHO cannot preposition large food stocks. However, aspects of logistics preparedness and capacity building can be considered in line with the above-mentioned aspects.
- EiE: i.e. Temporary Learning Spaces (TLS)<sup>28</sup>, learning and teaching material including temporary shelter<sup>29</sup>, individual school kits adapted to education level, textbooks for each education level (language, math, science), first aid kits, thermal blanket, lifejackets, sirens, etc.

Any actions aiming at contributing to Emergency Preparedness & Response should structure its logical framework as follows:

Have an ad hoc result for these activities with the result sector Logistics.

<sup>28</sup> INEE Access and Learning Environment Standard 3: Facilities and Services: “Class space and seating arrangements meet agreed ratios of space per learner and teacher in order to promote participatory methodologies and learner-centred approaches (see guidance note 4: Design and maintenance of learning spaces: Education facilities should be designed giving careful thought to who uses the learning space, and how. Spaces need to be appropriate to the sex, age, physical ability and cultural considerations of all users. A locally realistic standard should be set for maximum class size. Enough space should be allowed, if possible, for additional classrooms if enrolment increases, to enable a progressive reduction in the use of multiple shifts)”. Example : [https://www.unicef.org/supply/index\\_cpe\\_shelter.html](https://www.unicef.org/supply/index_cpe_shelter.html)

<sup>29</sup> **Example** : Education kits UNICEF, [https://www.unicef.org/supply/index\\_78176.html](https://www.unicef.org/supply/index_78176.html) (School in box : 1 teacher / 40 children; Recreation kit : 90 children 7-18 years old; Math and science kits : primary school level)

Indicators: a wide range of indicators and related activities can be used; below a non-exhaustive list of aspects indicators can refer to:

- storage conditions (warehouse location, capacity, temperatures and hazard management measures)
- transportation capacities to deliver aid onsite (type of carrier, number, and location, capacity in terms of volume and coverage area)
- protocols requirements to access prepositioned items
- Geographical coverage the stock can cover (people / areas)
- deployment triggering thresholds
- monitoring system of stock

## I. PROTECTION

Protection Mainstreaming remains of paramount importance for actions funded by DG ECHO as crosscutting theme, which incorporates protection principles within traditional programme assistance (such as EIE, shelter.). Closely linked to the “do no harm” principle, it widens it to prioritising safety and dignity, meaningful access to services, participation of affected children / communities and accountability. A thorough risk-analysis should support the identification of protection threats against, and vulnerabilities of, specific groups of children / communities in a context of hazards and conflicts and/or armed violence. Actions to strengthen protection of civilians exposed to violence, abuse, exploitation and neglect, need assessments and planning will be supported, in addition to innovative interventions. These aspects should be systematically/continuously monitored during the intervention. DG ECHO strongly encourages partners to include one specific indicator at objective level to measure the four protection-mainstreaming principles – do no harm; accountability; meaningful access; and participation –:

- *% of beneficiaries (disaggregated by sex, age and diversity) reporting that humanitarian assistance is delivered in a safe, accessible, accountable and participatory manner.*
- *% of activities that incorporate principles of meaningful access, safety and dignity through a community participatory approach.*

**Recently, Echo has also revised its approach to DP and Protection and recommends its integration in new programming:** Mainstreaming of core Protection principles across all DP actions is critical as well as integration of specific and targeted Protection activities in DP actions and DP in Protection. Integrating Protection targeted activities into both climate induced and man-made disaster preparedness aims at reinforcing the core Protection humanitarian mandate, ensuring a comprehensive analytical framework, better anticipating and mitigating risks, and restoring the safety, wellbeing and dignity of all affected individuals. It also allows the mitigation of the social impact of Covid-19, as well as the adaptation of institutional and local capacities to better respond to potential recrudescence of the pandemic. A comprehensive approach to risk analysis supports the early identification of specific hazards, threats and vulnerabilities, and provides the evidence to establish appropriate protection preparedness systems, anticipatory measures and early actions. The overall aim is to create better-prepared communities and institutions to face multiple hazards and risks, thus reducing vulnerability, enhancing resilience and protecting individuals and communities.

- DG ECHO could also accept protection integrated programming to support **Prevention and response to violence assistance to victims of all kind of violence**, including: (1) protection preparedness, contingency planning and information management system, protection monitoring, (2) physical safety and security, (3) medical, Mental Health and Psychosocial Support (MHPSS) and legal assistance if appropriate (with specific effort to rely and strengthen existing social services), (4) cash based-interventions for reintegration, (5) shock-responsiveness and inclusiveness of social protection mechanisms, in particular of social care systems, to ensure adequate preparedness and readiness to scale-up and adapt in case of disaster. New methodologies and innovative approaches should be explored. All proposed activities should entail identification, referral and basic response. The following are important protection-related aspects to be considered: To develop local and national framework that supports tailored country Emergency Preparedness, early action and response to incorporate quality benchmarks for **child protection, gender-based violence, housing-land and property rights, and international humanitarian law**, and support dissemination and roll-out. **Protection services preparedness** to ensure immediate provision of MHPSS/CP/GBV/PSN services/mechanisms, and that risk mitigation measures are in place across other sectors of humanitarian response and/or existing social care systems. In addition, the promotion of national and local strategies to strengthen public **disseminate basic information on Protection risks** through campaigns, social media, outreach and community mobilization, formal and non-formal education is a paramount of importance - to preserve family safety and unity, to prevent civil documentation loss, and to inform on safe and displacements routes, analysed according to the risks.
- **Monitor internal and cross-boarders displacement risks and protection concerns**
- **Protection community based approaches** by reinforcing community **self-protection plans to upsurge of violence**; foster **community structures and protection networks**; mapping and research of **shock-responsive social care structures and mechanisms** in conflict-affected settings (include mapping of mobile response and static response capabilities).; **assess existing conflict, violence and disaster early warning systems**.
- Build capacities of volunteers, civil society and communities, institutions and first responders on **conflict sensitivity, conflict early warning and relief management** to increase understanding of early action and mitigation in a context of conflict and violence. It should include how to deal with power relations, how to recognize and/or monitor early signs of conflict and violence, how to promote a culture of non-violence and peace, etc. Disseminate **International Humanitarian Law (IHL), International Human Rights Law (IHRL), and humanitarian standards** to community leaders and members, government security forces and other armed actors, volunteers, vulnerable groups, institutions and authorities involved.
- **Pre-positioning of life-saving commodities**: Provide dignity kits, post-rape and pregnancy delivery kits with the Health Cluster, and emergency fuel supplies or cooking stoves with Food Security or Shelter/ Non-Food Items (NFI) clusters, CFS kit.
- **Pre-positioning of personnel**: Identify which staff are available and trained in disaster prone areas and PSEA, broken down by skills and gender.
- **Pre-positioning of IEC materials to promote access to services and prevent PSEA**

- **Training of responders in protection or another sector** in basics. Strengthen community based approaches to foster humanitarian access in hard to reach areas
- Preparing operational guidance/procedures for key areas of MHPSS/CP/GBV/PSN/Protection against Sexual Exploitation and Abuse (PSEA) prevention or risk mitigation.
- Psychological first aid (PFA) training, and basics on Child protection/ GBV minimum standards in emergencies and IHL.
- Set up an **information management system**.

**Modalities for MHPSS:** To provide essential **Psychological First Aid (PFA) and First Aid trainings** to first line responders and other relevant personnel to ensure appropriate management of the most sensitive and vulnerable cases, and adequate referrals to available services according to pre-established shock-responsive pathways. To ensure that culturally appropriate **mental health services** delivered by qualified staff remain.

**Modalities for Gender-based violence (GBV)** interventions have to systematically link to holistic response in particular with regard to health including medical treatment (PEP) of victims of rape. **Standalone GBV activities will not be considered.** Proposed activities must adhere to the IASC Guidelines on GBV and Mental Health and Psychosocial Support in Emergency Settings.

**Modalities for Child protection interventions:** Unaccompanied and separated children/minors (UAMs), children at risks, children affected by psychosocial distressed and children in other situations of neglect or abuse will be considered. Modalities for Child Protection interventions must rely on capacities in: - case management, including Best Interest Assessment (BIA) in line with international child protection case management guidelines and child safeguarding measures; - alternative care arrangements and community based networks; - family tracing and reunification.

**Particular gaps in documentation:** Providing civil and legal documentation (for instance, which got lost in the aftermath of natural disasters) enabling to access available services.

**PSEA mechanism** should be embedded in the prevention and response component of all interventions.

## **J. SHOCK RESPONSIVE SOCIAL PROTECTION SYSTEMS (SRSPS)**

In several countries of the SAIO region, many development actors, including the EU, are supporting social protection systems. DG ECHO funding has a role in ensuring that these systems are as adaptive and as (shock) responsive as possible, building on experience and knowledge of risks and vulnerabilities. Where possible, DG ECHO funds should be used to promote or contribute to the shock responsiveness of governments' social protection systems in order to have Shock Responsive Social Protection System (SRSPS) able to expand social services vertically (amount transferred) and horizontally (number of beneficiaries) in prompt response to a shock.

DG ECHO funded actions should prioritise linking relief-rehabilitation-development *contiguum*. It is crucial to coordinate with longer-term development partners, **especially the EU Delegations** and other development actors involved in social protection, which have developed social protection systems in consultation with governments, avoiding

piloting parallel initiatives, and enhancing them with an capacity to be shock responsive in line with humanitarian principles when needed.

Support to SRSPS should be considered in light of preparedness and complementarities between humanitarian short-term assistance and poverty/chronic vulnerability alleviation systems, while promoting a humanitarian-development nexus approach. Some key aspects:

- Actions funded under this HIP must be complementary to EU-funded support and should complement and complete previous actions funded by DG ECHO demonstrating successful adoption of SRSP and a clear exit strategy
- Government-led with clear role for non-state actors including NGOs, UN and IOs and in line with humanitarian principles.
- Use a national electronic platform for targeting, registration and delivery to beneficiaries, respecting data protection regulations.
- Have clear trigger mechanisms linked to functional EWS and be able to swiftly expand either vertically (amount transferred) or horizontally (targeted beneficiaries).
- The amount should be calculated to address at least the survival gap, but possibly to address the wider basic needs of the affected beneficiaries.
- The targeting criteria used during an emergency response should be in line with humanitarian objectives and not only poverty alleviation and chronic vulnerabilities.
- Specific impact on vulnerability associated to HIV/AIDS status should be assessed.
- The timing and frequency of the transfers should correspond to the humanitarian needs identified; monthly transfers are usually preferred.
- Preference is for the use of mobile cash transfer modalities in the SAIO region.

Actions focusing on SRSPS related to the pillar III (DP) should:

- Support Governments to develop SRSP systems, including single register, to facilitate effective and rapid horizontal and vertical expansion of nationally led interventions, in time of shocks in particular using cash transfers preferably with a basic needs approach. This includes, *inter alia*, activities such as advocacy, establishment of common system of targeting and single registries, piloting and scaling up SRSPS, etc.
- Advocate for and technically support actors/agencies/institution to a) include SRSPS in their long-term plans and b) design and implement functional SRSPS linked to functional EWS, together with national counterparts, in at least two countries.

Actions may support capacity strengthening on cash transfers linked with the development of Shock Responsive Social Protection Systems.

In the Single Form, the result addressing this priority should be categorised by the following sector: “Disaster Risk Reduction/Disaster Preparedness” and appropriate KRIs and KOIs must be used.