

TECHNICAL ANNEX

Southern Africa and Indian Ocean¹

FINANCIAL, ADMINISTRATIVE AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2019/01000 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 which may be included in the related Humanitarian Implementation Plan (HIP).

1. CONTACTS

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2. FINANCIAL INFO

Indicative Allocation: EUR 39 844 185.48 (of which an indicative initial amount of EUR 2 000 000 for Education in Emergencies and EUR 5 000 000 for Disaster preparedness)

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			750 000	750 000
Mozambique	7 000 000	800 000	200 000	8 000 000
Zimbabwe	20 844 185,48	300 000		21 144 185,48
Malawi	1 000 000	350 000	1 150 000	2 500 000
Eswatini	1 000 000			1 000 000

¹ For the purpose of this HIP, the term Southern African and Indian Ocean Region (SAIO) includes the following countries: Botswana, Comoros Islands, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, and Zimbabwe.

² Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO)

Lesotho	1 500 000			1 500 000
Madagascar	1 500 000	550 000	2 900 000	4 950 000
TOTAL	32 844 185.48	2 000 000	5 000 000	39 844 185.48

3. PROPOSAL ASSESSMENT

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).

3.1. Administrative info

Allocation round 1

- a) Indicative amount: up to EUR 7 000 000.
- b) Description of the humanitarian aid interventions relating to this assessment round.
- c) Costs will be eligible from 01/01/2019³ Actions will start from 01/01/2019
- d) The initial duration for the Action may be up to 24 months, including for Actions on Education in Emergencies, Disaster Preparedness.
- e) Potential partners⁴: All ECHO Partners
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action)

In the case of a continuation of a 2018 action: modification request

- g) Indicative date for receipt of the above requested information: by 29/01/2019⁶.

Allocation round 2A - Mozambique

- a) Indicative amount: up to EUR 7 000 000
- b) This assessment round corresponds to the needs described in section 0

³ The eligibility date of the Action is not linked to the date of receipt of the Single Form. It is either the eligibility date set in the Single form or the eligibility date of the HIP, whatever occurs latest.

⁴ For UK based applicants (non-governmental organisations): Please be aware that you must comply with the requirement of establishment in an EU Member State for the entire duration of the grants awarded under this HIP. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding or be required to leave the project on the basis of Article 15 of the grant agreement.

⁵ Single Forms will be submitted to DG ECHO using APPEL.

⁶ The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms.

- c) Costs will be eligible from 15/03/2019³ for new actions. New actions may start from 01/04/2019.
- d) The initial duration for the new Action may be up to 12 months.
- e) Potential partners⁴: DG ECHO partners already present in the targeted areas, active in the emergency response and able to scale-up rapidly.
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action) or Modification requests of on-going actions.
- g) Indicative date for receipt of the above requested information: by 29/04/2019⁶.

Allocation round 2B - Zimbabwe

- a) Indicative amount: up to EUR 4 000 000
- b) This assessment round corresponds to the needs described in section 0
- c) Costs will be eligible from 15/03/2019³ for new Actions. New Actions may start from 01/04/2019.
- d) The initial duration for the new Action may be up to 12 months.
- e) Potential partners⁴: For response to IDAI and the on-going food insecurity, DG ECHO partners already present in the targeted areas, active in the emergency response and able to scale-up rapidly.
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action) or Modification requests of on-going actions.
- g) Indicative date for receipt of the above requested information: by 29/04/2019⁶.

Allocation round 2C - Malawi

- a) Indicative amount: up to EUR 1 000 000
- b) This assessment round corresponds to the needs described in section 0
- c) Costs will be eligible from 1/03/2019³. New Actions may start from 15/03/2019.
- d) The initial duration for the Action may be up to 12 months.
- e) Potential partners⁴: DG ECHO partners already present in the targeted areas, active in the emergency response and able to scale-up rapidly.
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action) or Modification requests of on-going actions
- g) Indicative date for receipt of the above requested information: by 29/04/2019⁶.

Allocation round 3A – Eswatini

- a) Indicative amount: up to EUR 1 000 000
- b) This assessment round corresponds to the needs described in section 0.

- c) Costs will be eligible from 1/12/2019³. New Actions may start from 1/12/2019.
- d) The initial duration for the Action may be up to 12 months.
- e) Potential partners⁴: **WFP, Finish Red Cross as pre-selected partners** already present in the targeted areas, active in the emergency response and able to scale-up rapidly in the proposed areas of intervention (Areas affected by drought (IPC3+)) and in the sectors identified in section 0.
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action) or Modification requests of on-going actions
- g) Indicative date for receipt of the above requested information: by 18/12/2019⁶.

Allocation round 3B – Lesotho

- a) Indicative amount: up to EUR 1 500 000
- b) This assessment round corresponds to the needs described in section 0
- c) Costs will be eligible from 1/12/2019³. New Actions may start from 1/12/2019.
- d) The initial duration for the Action may be up to 12 months.
- e) Potential partners⁴: **WFP as pre-selected partner** with pre-existing operational presence and capacity in the proposed areas of intervention (Areas affected by drought (IPC3+)) and in the sectors identified in section 0.
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action) or Modification requests of on-going actions
- g) Indicative date for receipt of the above requested information: by 18/12/2019⁶.

Allocation round 3C – Madagascar

- a) Indicative amount: up to EUR 1 500 000
- b) This assessment round corresponds to the needs described in section 0
- c) Costs will be eligible from 1/12/2019³. New Actions may start from 1/12/2019.
- d) The initial duration for the Action may be up to 12 months.
- e) Potential partners⁴: **ACF, UNICEF, WFP as pre-selected partners** with pre-existing operational presence and capacity in the proposed areas of intervention (Areas affected by drought (IPC3+)) and in the sectors identified in section 0.
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action) or Modification requests of on-going actions
- g) Indicative date for receipt of the above requested information: by 18/12/2019⁶.

Allocation round 4 – Zimbabwe

- a) Indicative amount: up to EUR 16 844 185.48
- b) This assessment round corresponds to the needs described in section 0

- c) Costs will be eligible from 1/01/2020³. New Actions may start from 1/01/2020.
- d) The initial duration for the Action may be up to 12 months.
- e) Potential partners⁴: partners with pre-existing operational presence and capacity in the proposed areas of intervention and in the sectors identified in section 0.
- f) Information to be provided: Single Form⁵ (or simplified Single Form for Urgent Action) or Modification requests of on-going actions
- g) Indicative date for receipt of the above requested information: by 22/01/2020⁶.

3.2. Operational requirements:

3.2.1. Assessment criteria:

1) Relevance

- How relevant is the proposed intervention and its coverage for the objectives of the HIP?
- Do joint (prioritised) needs assessment and coordination mechanisms of the humanitarian actors exist, and if so, has the joint needs assessment been used for the proposed intervention and/or has the proposed intervention been coordinated with other relevant humanitarian actors?

2) Capacity and expertise

- Does the partner, with its implementing partners, have sufficient country / region and / or technical expertise?
- How good is the partner's local capacity? Is local capacity of partners being built up?

3) Methodology and feasibility

- Quality of the proposed response strategy, including intervention logic / logframe, output & outcome indicators, risks and challenges.
- 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 actions (including where relevant use of single interoperable registries of beneficiaries).
- Extent to which the proposed intervention contribute to resilience, LRRD and sustainability.

5) Cost-effectiveness/efficiency/transparency

- Does the proposed intervention display an appropriate relationship between the resources to employed, the activities to be undertaken and the objectives to be achieved?
- Is the breakdown of costs sufficiently displayed/explained?⁷

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.

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

This section outlines the specific operational guidelines that need to be taken into account by DG ECHO partners 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 will be applied by DG ECHO in the specific context of the HIP to which this Technical Annex relates when assessing proposals submitted in response to the related HIP.

Preference will be given to proposals of a reasonable scope.

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 on the basis of 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. 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. A good efficiency ratio will also be expected for small-scale projects.

3.2.2.1. Specific Operational guidelines

The HIP and Technical Annex is structured around two pillars:

- PILLAR I Targeted Disaster Risk Reduction (DRR) and Preparedness for response and early action;
- PILLAR II Multi-sector response to any natural and/or man-made disasters affecting the region.

PILLAR I Targeted Disaster Risk Reduction (DRR) and Preparedness for response and early action;

Funds allocated to this pillar: EUR 7 000 000, of which EUR 2 000 000 for Education in Emergencies.

⁷ In accordance with the relevant section of the Single Form guidelines (section10)

DG ECHO DRR strategy in SAIO

Preparedness for Response and Early Action is a priority for DG ECHO as main contribution to Priority 4 of the Sendai Framework for Disaster Risk Reduction⁸.

Without precluding preparedness activities towards man-made and slow-onset natural disasters, the HIP 2019 will have a specific focus on rapid-onset natural disasters.

The strategy in the Southern Africa and Indian Ocean (SAIO) region (2017-2021) is based on the four priorities of PILLAR I of this HIP:

1. Strengthening Linking Early Warning (EW) to Early Action (EA) and Crisis Modifier
2. Shock Responsive Social Protection System (SRSPS)
3. Support to operationalise regional response mechanisms
4. Emergency in Education (EiE)⁹

The eligible countries for PILLAR I of the multi-year DRR strategy are: **Lesotho, Madagascar, Malawi, Mozambique, and Zimbabwe.**

As allocations under the 2018 HIP are ongoing and supporting the priorities outlined in this HIP, the following countries shall be the main focus for funding under this 2019 HIP:

- Madagascar
- Malawi
- Mozambique.

Nevertheless, Zimbabwe and Lesotho remain eligible as second priority.

In addition, priority is given to country level actions. Regional activities, in particular advocacy for the pillar I priorities of this HIP are also encouraged. Such regional activities are recommended (whenever possible) to be included as part of national focused actions.

Pillar I priorities.

The priorities and potential components considered for funding under this pillar are set out in the main HIP document and expanded below.

At proposal level, in section 4 of the Single Form each priority should be the subject of a separate result.

Priority 1 – Strengthening and Linking Early Warning (EW) to Early Action (EA)

Setting up/improving/strengthening of integrated and functional Early Warning Systems (EWS) - possibly multi-hazard, but with priority towards EWS for floods, cyclones and other rapid-onset related hazards - that effectively operate at the local level, are owned by the local population and link with district, national and regional EWS. EWS, especially concerning floods, should have a watershed management approach.

⁸ Priority 4: Enhancing disaster preparedness for effective response and to “Build Back Better” in recovery, rehabilitation and reconstruction

⁹ Emergency in Education (EiE) was already supported in previous HIPs, but in 2019, following the Communication on EiE ([http://ec.europa.eu/echo/files/news/Communication on Education in Emergencies and Protracted Crises.pdf](http://ec.europa.eu/echo/files/news/Communication_on_Education_in_Emergencies_and_Protracted_Crises.pdf)) this priority assumed an enhanced importance in the SA IO.

Reinforce the nexus between early warning and early action strengthening the capacity of communities and local institutions to prepare for and respond to rapid onset disasters; this may include aspects of logistic preparedness.

Where possible this nexus should be linked to the national Social Protection system, without precluding use of more traditional parallel response if more effective and efficient in a specific context.

Strengthening communities remains the entry point for key activities such as: establishing functional and interlinked EWS; capacity building and equipping local civil protection committees; conducting risk assessments; risk mapping using innovative approaches; developing contingency and evacuation plans; establishment and equipping of evacuation sites; conducting drilling exercises; prepositioning emergency stocks, etc.

Integration of a Crisis Modifier (CM) for enhanced early response capacity should always be considered. See under section '*applicable to both pillars*' below.

Integration of Education in Emergences (EiE) and Early Warning/Early Action is particularly encouraged. This can include activities related to the rehabilitation/upgrade of schools to be used as shelters in evacuation when no other structure are available in the community and where the absence of those structure is the main limiting factor to the functionality of the evacuation plans, training and drills with pupils in schools, training of teachers.

Thresholds and triggers for action following an early warning need to be identified and agreed.

Support to communities/local/national authorities to develop contingency plans that are based on sound analysis of risks. Linking community plans to local/national and as much as possible to regional levels is vital for harmonization and coordination and ultimate effectiveness of DRR plans.

Advocacy for further engagement of development actors to continue medium long term DRM programmes. Advocacy for National DRR guiding frameworks and/or their operationalisation. This includes knowledge management platforms for DRR learning, awareness, and strengthening technical capacity and accountability mechanisms.

In the Single Form the result addressing the above mentioned components of this priority should be categorised by the following sector: "Disaster Risk Reduction/Disaster Preparedness" and appropriate Key Results Indicators (KRI) and Key Objective Indicators (KOI) must be used.

Priority 2 - Shock Responsive Social Protection System (SRSPS).

In several countries of the SAIO Region, DEVCO and other development actors support social protection systems. However these systems often lack shock responsiveness aspects.

In this respect DG ECHO funds where possible should be used to promote the shock responsiveness of governments' social protection system 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.

When considering the support, advocacy and development of SRSPS, 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 as these have developed together with the governments social protection systems that should be used in priority, thus avoiding piloting parallel initiatives. The SRSPS should therefore build upon existing systems and work done by development programmes, without hindering their objectives or altering their targeting during periods without crisis, but rather enhancing them with an ‘additional’ capacity to be shock responsive in line with humanitarian principles when needed.

SRSPS should be considered in light of preparedness and complementarities between humanitarian short term assistance and poverty/chronic vulnerability alleviation systems and to promote LRRD/a humanitarian-development nexus approach. Some important aspects of a good SRSPS are:

- Must comply with the humanitarian principles of neutrality, independence, impartiality and humanity and the priorities set by the HIP.
- Government-led with clear role for non-state actors including NGOs, UN and IOs.
- Should have and use a national electronic platform for targeting, registration and delivery to beneficiaries, respecting data protection regulations.
- SRSPS should 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.
- The timing and frequency of the transfers should correspond to the humanitarian needs identified, monthly transfers are usually preferred.
- Preference is given to the use of mobile cash transfer modalities in the SAIO region.

Action focusing on SRSPS should:

- Provide support to Governments in the region and/or at national level to develop shock-responsive social protection systems, including single register, in order to facilitate the 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 and technically support development and humanitarian actors and any relevant agency/institution to a) include SRSPS in their long term plans and b) design and implement functional SRSPS linked to functional EWS 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 categorized by the following sector: “Disaster Risk Reduction/Disaster Preparedness” and appropriate KRIs and KOIs must be used.

Priority 3 – Support to operationalise regional response mechanisms

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

Actions focusing on strengthening regional mechanisms should:

- Provide technical support to the SADC10 Disaster Risk Reduction unit on MPCT, enabling the unit and relevant stakeholders to 1) know basic concepts of cash in emergencies, 2) lead the cash agenda within SADC, 3) support the Regional Cash Working Group 4) advocate at regional level for cash based transfers (CBT) and capacity strengthening on CBT modalities and preparedness and 5) adopt this concept within its policies.
- Provide technical support to SADC DRR unit on SRSPS, enabling and empowering the unit and relevant stakeholders to advocate for SRSPS and adopt this concept within its policies.
- Advocate for shock responsive social systems and a wider adoption of the crisis modifier model in development and humanitarian programmes within SADC.
- Support technically the emergency team operating under SADC to be used for rapid response in line with the priorities of DG ECHO: example training on CBT or other.
- Contribute to RIASCO coordination efforts with its rapid response team, assessment, special coordination meetings and other.
- Facilitate regional DRR seminar/workshop aimed to exchange/learn best practices and advocate for DG ECHO priorities.

Activities contributing to this priority could include: provision of technical expertise, consultancies, organise seminar and workshop at regional level, trainings, exchange visits, etc.

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

Priority 4 – Education in Emergencies

An estimated allocation of EUR 2 000 000 is earmarked for EiE in the SAIO region.

The principal focus of DG ECHO EiE funds in the SAIO region is EiE linked to DRR, in line with Outcome 3 set out in the European Commission Communication: Education services are strengthened through preparedness, response and recovery interventions in line with the *INEE Minimum Standards for Education: Preparedness, Response, Recovery*¹¹.

¹⁰ Southern African Development Community

¹¹ See section below section 3.2.2.2.General Operational Guidelines / “Education in Emergencies (EiE)”

Actions should support emergency preparedness and response plans, including disaster risk reduction in EiE. This should be aligned to the Comprehensive School Safety Framework¹².

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

Priority will be given to activities that:

- Promote the inclusion of multi-hazard data and analysis in education information management system (EMIS)
- Train teachers and education personnel on DRR elements using/disseminating and operationalizing existing context specific and approved guidelines/manual (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 curriculum.
- Adapt appropriate EiE/DRR manuals/guidelines if needed.
- Promotion of accelerated/catch up learning programmes
- Ensure schools in disaster prone areas have a response plans and safety.
- Pre-position emergency stock/equipment and educational supplies for disaster-prone areas based on the needs analysis (i.e. include tents, other shelter equipment, first aid and WASH kits, life vests, 'School in box', flash light, thermal blankets, etc)
- Provide /establish evacuation points outside school structures were feasible to avoid use of education facilities and consequent education disruption
- Rehabilitation, relocation and retrofitting of schools or access structures to ensure protection of children and minimum disruption of education

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 should be replicable. The rehabilitated schools should be integrated in the 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. Child safeguarding systems are needed in the preparation, planning and implementation and transition stages of actions. 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 proposed special consideration and adaptation must be given to address the needs of children with disabilities.

All proposals should demonstrate coordination with development and other humanitarian actors. The connection between humanitarian assistance and development is critical to

¹² 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.

help build the long-term resilience of the education systems. Coordination must be ensured with interventions under the 11 EDF focal sector secondary education and TVET.

Examples of eligible activities are listed under the section below ‘Country specific priorities’

While the principal focus will be on EiE in DRR, other aspects of EiE can be considered, for instance actions targeting those most in need, such as out-of-school children and those at risk of education disruption and forcibly displaced children (internally displaced people) and their host communities in line with the [Communication on Education in Emergencies and Protracted Crises \(COM\(2018\) 304 final\)](#).

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

DG ECHO will not fund stand-alone single sector EiE actions. DG ECHO will support EiE activities where EiE is a component and part of a broader DRR strategy.

Country specific priorities

The following specific priorities and activities have been identified by DG ECHO for the countries targeted under pillar I. Partners may include other priorities among the ones listed above as evidenced by the risk assessment conducted and in alignment with Government priorities.

Madagascar - Priorities in order of importance are: Strengthening and Linking Early Warning (EW) to Early Action (EA) and Education in Emergencies, with a geographic focus principally on the West Coast Regions, with some considerations also for the Northern region in areas not yet covered by other DRR projects funded by DG ECHO or other donors. Partners are also invited to consider urban areas, including medium sized agglomerations with approaches tailored to the specificities of the urban context. While MPCT/cash Preparedness remains a priority, this component is currently supported under HIP 2018 with actions ongoing in 2019.

Nevertheless, partners may envisage actions and are encouraged to integrate in their proposals software activities contributing to strengthening their preparedness for the use of cash in future emergencies including agreements with the private sector, (particularly mobile money providers), cash related contingency plans for the crisis modifier and advocacy.

In line with the multi-year DRR DG ECHO strategy, proposed actions should contribute to the following outcomes in Madagascar:

- EWS integrating hydro and meteorological data using innovative technologies linking central – district – communities levels;
- Strengthen Civil protection committees preparedness for cyclones, floods and other disasters;
- The Disaster Management authority (BNGRC) and the humanitarian partners are able to provide an early, coordinated and effective response to cyclones, floods and other disasters.

For priority 4 (Education in Emergencies in DRR/DP), the following activities are encouraged in Madagascar: develop multi hazard contingency plans, strengthen information systems; set EWS with appropriate indicators with regard to EiE; improve

institutional arrangements to anticipate and respond to multiple hazards affecting schools; use/include schools as entry point for DRR activities in communities; mobilise children and community members in appropriate DRR school-based initiatives; pre-position emergency stock/equipment and educational supplies as per contingency plan; provide rehabilitation/retrofitting/equipment to specific schools to ensure safer environment and appropriate shelter during evacuations.

Malawi - Priorities in order of importance are: Shock Responsive Social Protection System (SRSPS), Strengthening and Linking Early Warning (EW) to Early Action (EA), and Education in Emergencies. For priority 1, focus will be the North Region and where relevant to urban contexts.

Proposed actions should contribute to the following outcomes in Malawi:

- EWS integrating hydro and meteorological data using innovative technologies with focus on communication and linking central – district – communities levels;
- Civil protection committees prepared for floods and other disasters and operational contingency plans in place;
- The Disaster Management authority, Malawi Red Cross Society and the humanitarian partners are able to provide an early, coordinated and effective response to cyclones, floods and other disasters;
- The Disaster Management Authority and local actors like Malawi Red Cross at central and district level, capacitated and better equipped (including central information system);
- By 2020 the Government of Malawi will have a Government led Shock responsive Social protection system, integrating the most vulnerable and capable of responding to shocks

For Priority 3 (SRSPS), actions funded under this HIP must be developed to be complementary to the EU-funded SoSURE programme, and can, *inter alia*, support actions such as: identification and registration of vulnerable households and updating the national registry; rolling out a scalable multipurpose cash transfer mechanism to enhance preparedness and enable rapid response to a crisis; strengthening e-payment cash preparedness and delivery; developing/rolling out e-payment model to link to a national Shock Responsive and Nutrition Sensitive Social Protection System; developing Standard Operating Procedures for vertical and horizontal expansion and nutrition sensitive cash transfers; advocating for national level social protection/ DRR Plans to have concrete cash preparedness activities.

For priority 4 (Education in Emergencies in DRR), the following activities are encouraged in Malawi that should be part of actions addressing the other above-mentioned priorities: rehabilitation/retrofitting schools to ensure safer environment; pre-position emergency stock/equipment and educational supplies as per contingency plan; provide/establish evacuation points outside school structures use/include schools as entry point for DRR activities in communities and mobilise children and community members in appropriate DRR school-based initiatives; train teachers; disseminate and use approved guidelines/manuals to assess damage and to rebuild safer schools; promote better access for disabled; strengthening information systems; EWS adapted to schools; provision of psychosocial support for teachers and children; promotion of accelerated/catch up learning programmes; develop national contingency plan that includes EiE in DRR and special education needs of IDP and refugees.

Mozambique- Priorities in order of importance are: Strengthening and Linking Early Warning (EW) to Early Action (EA) and Education in Emergencies. While MPCT/cash Preparedness remains a priority, this component is currently supported under HIP 2018 with actions ongoing in 2019.

Nevertheless, partners may envisage actions and are encouraged to integrate in their proposals software activities contributing to strengthening their preparedness for the use of cash in future emergencies including agreements with the private sector, (particularly mobile money providers), cash related contingency plans for the crisis modifier and advocacy.

In line with the multi-year DRR DG ECHO strategy, proposed actions should contribute to the following outcomes in Mozambique:

- EWS gaps addressed: at central and province level integrating hydro and meteorological data into the innovative DATAWINNER SIGIC system scaled up in all the targeted provinces yet not covered by DG ECHO funded DRR actions;
- Civil protection committees prepared for floods cyclones and other disasters and operational contingency plans in place;
- The Disaster Management authority (DMA), Mozambique Red Cross (CVM) and the humanitarian partners are able to provide an early, coordinated and effective response to cyclones, floods and other disasters.
- DMA and local actors like Red Cross at central and district level, capacitated and better equipped (including central information system);
- The DMA uses EU Civil Protection Mechanism services when needed.¹³

For priority 4 (Education in Emergencies in DRR), the following activities are encouraged in Mozambique: rehabilitation/retrofitting schools to ensure safer environment; pre-position emergency stock/equipment and educational supplies as per contingency plan; provide/establish evacuation points outside school structures; leverage the process to incorporate DRR in curricula; train teachers; support development of an EiE national framework; mobilise children and community members in appropriate DRR school-based initiatives; support information and communication system for rapid feedback; reinforce linkages between emergency and development programmes in relation to EiE.

Zimbabwe - Considering the ongoing actions already funded by DG ECHO in 2018 and still ongoing in 2019, for the 2019 HIP DG ECHO will not consider Zimbabwe as a priority country. Nevertheless, DG ECHO priorities in Zimbabwe remain: Strengthening and Linking Early Warning (EW) to Early Action (EA); Education in Emergencies. Partners may consider actions that are in line with those priorities ¹⁴

Lesotho – Considering the ongoing actions already funded by DG ECHO in 2018 and still ongoing in 2019, for the 2019 HIP DG ECHO will not consider Lesotho as a priority country. Nevertheless, DG ECHO priorities in Lesotho remain: Strengthening and Linking

¹³ Other desired outcomes for Mozambique, currently covered by ongoing actions funded by DG ECHO during the period 2018-2019 include a) government policies adopting cash based intervention and capacity to activate its use within 3 days from the disaster and b) increased and effective use of innovative technologies for rapid mapping.

¹⁴ The desired outcome for Zimbabwe during the period 2018-2019 are: effective and modern EWS; capable and equipped civil protection committees at district and community level; National Red Cross trained and equipped to respond in case of complex and rapid onset disasters; adoption and use of MPCT.

Early Warning (EW) to Early Action (EA); Shock Responsive Social Protection System (SRSPS); Education in Emergencies. Partners may consider actions that are in line with those priorities ¹⁵

Regional level - Priorities in order of importance are outlined above and also include advocacy related to:); Preparedness on Cash-based responses and use of MPCT; Shock Responsive Social Protection System (SRSPS; Strengthening and Linking Early Warning (EW) to Early Action (EA); Education in Emergencies

Proposed actions should contribute to the following outcomes in Mozambique: (for the priority 4):

- The SADC DRR unit team and the regional disaster response mechanism and its Regional Emergency Response Team are a) trained on CBT/MPCT and able to promote cash based intervention when deployed;
- A policy adoption at SADC level and advocacy to its Member State towards i) investing in cash/MPCT preparedness, ii) building SRSPS and iii) include in development programmes a crisis modifier.

PILLAR II. Multi-sector response to any natural and man-made disasters affecting the region.

An amount of 12 million has been allocated to respond to the impact of Tropical Cyclone Idai in Mozambique, Malawi and Zimbabwe and to food insecurity in Zimbabwe.

Eligible countries under this pillar are: Botswana, Comoros Islands, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, and Zimbabwe.

The objective of this pillar is to "address immediate, life-saving and essential needs across all sectors as a result of natural or man-made disasters".

DG ECHO's response to emerging humanitarian needs will be based on:

1. First instance, the Crisis Modifiers (CM) already present in actions funded by DG ECHO (Pillar I or previous decisions);
2. If needed, ad-hoc decisions conditional to budget availability and a modification of this HIP to respond to emerging needs. This can be done as follows:
 - a. For small medium scale operations, DG ECHO can activate the Emergency Toolbox.¹⁶
 - b. For larger scale operations, DG ECHO can modify this HIP under this pillar (II).

¹⁵ The desired outcome for Lesotho during the period 2017-2019 are: national led shock responsive social protection system with a single registry (NISSA); effective and modern EWS with DMA and local actor / civil protection in place trained and able to respond in remote area to disasters.

¹⁶ The Emergency Toolbox consists of three instruments: 1) Epidemics; 2) Small-Scale Response; 3) Support to the International Federation of the Red Cross and Red Crescent Societies (IFRC) Disaster Relief Emergency Fund (DREF); ALERT Acute Large Emergency Response Tool.

Any eventual emergency response would consider a multi-sectorial approach including WASH, shelter, health, protection and any other relevant sectors based on the needs of the affected population.

All actions funded under this pillar must mainstream gender, protection and DRR and include a Crisis Modifier when relevant.

DG ECHO will prioritise under this pillar action that use existing SRSPs if available. In this respect, if the conditions listed under Pillar I priority 3 (above) are not currently present, actions under Pillar II could propose a parallel system provided that good coordination is ensured. Moreover, actions under Pillar II are encouraged to include technical capacity building to prepare and enhance existing social protection systems to become an emergency response tool for future interventions. In this case the partner will have to demonstrate close coordination and link with existing development programmes.

Applicable to both Pillars

The following applies to both pillars of the HIP

Strengthening Early Response Capacity - Crisis modifiers (CM). Whenever relevant, partners should introduce a crisis modifier to mobilise resources from on-going actions and swiftly respond to any new emerging shocks occurring in the area of their operations (a crisis within a crisis).

The objective of the CM is to timely "address immediate, life-saving and essential needs across all sectors as a result of rapid onset disasters".

The geographical coverage of CM should be at least correspondent to the area targeted by the action, but a larger geographic area is strongly encouraged and in any case it should be clearly reflected in the proposal.

The CM can be triggered to provide a first lifesaving multipurpose assistance in the aftermath of a rapid onset crisis for a limited period of time (1 – 4 weeks); the two main scenarios are:

- i) to fill the time gap while waiting for additional resources; (DG ECHO Emergency Toolbox, HIP top-ups or other donors` support)
- ii) to respond to small scale humanitarian needs which would otherwise remain unattended.

The CM should be based on a multi-risk analysis and the development of worst and most likely scenarios. At proposal stage, partners shall develop a contingency plan considering prepositioning of stocks, surge staff, triggers, sectors of intervention and geographical area targeted by the CM.

Preparedness activities included in the CM (pre-positioning of stocks, cash preparedness activities like agreements with mobile phone network companies, etc.) must be implemented in a timely manner in anticipation of recurrent hazard calendar.

Emergency response shall be multi-sectorial including WASH, shelter, health, protection and any other relevant sectors based on the needs of the affected population. The use of

cash transfer modality with mobile technology is encouraged. Partners should explore the possibility to use common transfer platform.

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

In the framework of DG ECHO interventions in the Region, the term “Crisis Modifier (CM)” refers to a **separate result** and allocated budget to enhance responsiveness and flexibility of partners. The CM result in the e-Single Form should be the last of the logical framework and categorized as follow:

- Sector: “Disaster Risk Reduction / Disaster Preparedness”
- Sub sector: “Contingency planning and preparedness for response”.

Indicators should assess the timeframe required to deliver the first assistance.

- “Number of people covered by early action/ contingency plans” (KRI);
- “Number of days between the crisis and the beginning of the CM response” (Target: 3 days).

Innovations. 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 should directly lead to achievement of the objectives of the action.

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:

- innovative approaches to link and promote DRR in education;
- 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 and modelling and 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 DRR in the health system;
- advocacy for safer hospital approaches;
- Building designs and material for disaster-proof schools and shelters adapted to the context;
- common targeting/identification/delivery mechanisms for cash based interventions;
- outsourced grievance/accountability and complaint mechanism;

- collaboration with private sector.

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

Protection - Protection Mainstreaming remains of paramount importance for actions funded by DG ECHO as cross-cutting theme, which incorporate protection principles within traditional programme assistance (such as education in emergencies). Closely linked to “do no harm” principle, regardless the sector of focus, it widens it to prioritising safety and dignity, meaningful access to services, participation of affected children/communities and accountability. A risk analysis should support the identification of specific protection threats against and vulnerabilities of specific group of children/communities in a context of man-made or natural disaster. Actions to strengthen protection and child protection need assessments and planning will be supported, in addition to innovative interventions to address identified needs. These aspects should be systematically monitored throughout the implementation of the intervention. DG ECHO strongly encourages partners to include one specific indicator at objective level aimed at measuring the four protection mainstreaming principles:

- *% 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*

Use of Multipurpose cash Transfer. At the design level, while single-sector cash transfers are to be promoted where appropriate, cash is increasingly being used to address multiple humanitarian/basic needs. **DG ECHO will prioritise MPCT where possible both for the preparedness component (pillar I) and the Response to new emerging humanitarian needs (pillar II).**

MPCT in emergencies should use/link to social protection systems where possible and appropriate.

A number of essential steps would be expected in the design of a MPCT project:

- Analysis of in-country social protection system, even if really nascent;
- Multi-sectorial assessment to determine the dimension and the priority of the *basic needs* of people in need of assistance;
- Analysis of markets and services to understand which prioritised needs can be met, and to what extent can markets and services adapt to absorb higher demand;
- Calculation of a Minimum Expenditure Basket (MEB) for basic needs including a Non-Food Items (NFI) basket, cost of services and cost of livelihood inputs according to available market/services. This may include standard (SPHERE) quantities or qualities intended to be purchased by a beneficiary, such as food (2100 Kcal); water (15 l/p/d) etc.

- Development of a targeting system and targeting criteria taking into account national systems;
- Understanding of the deficit that targeted families are experiencing, i.e., to what extent can targeted families meet their basic needs. This might involve an Household Economy Analysis (HEA) or other similar types of analysis, or a simple estimate of income (usually derived through estimating average expenditures);
- Estimate the value of transfer that will enable targeted households to meet their basic needs alongside their own resources (at the simplest, the MEB minus income) after having assessed the existing in-country protection system;
- MPCT requires a high level of coordination across sectors and agencies. Cost efficiency gains should be optimised through excellent coordination and the establishment of a single programme approach that streamlines assessment, beneficiary registration, targeting, a common delivery mechanism (preferably electronic) and monitoring. If various systems are in place, at minimum interoperability of data is essential.
- In terms of accountability, partners should use standard outcome indicators for each of the sectors included in the MPCT at the specific objective level of the logframe. A more general well-being indicator such as Coping Strategy Index (CSI) would also be helpful as a means to determine whether broader improvements to the lives of beneficiaries have been achieved.
- Protection and gender analysis should be integral to the design and implementation of MPCT.

Partners are requested to make reference to *Common Principles for Multi-Purpose Cash – Based Assistance to Respond to Humanitarian Needs*¹⁷. See also DG ECHO Web page for more details on DG ECHO’s position¹⁸.

Partners are encouraged to use the Multi-Purpose Grant (MPG) toolkit developed with DG ECHO funds (see link below).

http://ec.europa.eu/echo/files/policies/sectoral/concept_paper_common_top_line_principles_en.pdf

http://ec.europa.eu/echo/files/policies/sectoral/them_policy_doc_cashandvouchers_en.pdf

Accountability and Complaint mechanism. For any type and modality of transfer, beneficiaries of humanitarian assistance are exposed to the risk of having their entitlement reduced/taken (kick-backs, 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 reduce abuses, rectify targeting errors and spot frauds.

¹⁷ <http://data.consilium.europa.eu/doc/document/ST-10184-2015-INIT/en/pdf>

¹⁸ https://ec.europa.eu/echo/what/humanitarian-aid/cash-based-assistance_en

Complaint mechanisms should have SOPs and designated responsibilities among staff to classify and pursue cases, whistleblowing and privacy policies; awareness is particularly important; too often beneficiaries are not informed of the existence of the mechanisms.

Complaint mechanisms should be distinct from a “customer service” which is designed to handle forgotten PINs, wrong spelling of names, etc., not frauds and abuses.

To reduce conflict of interest and to promote confidentiality, partners are strongly encouraged to outsource the complaint mechanisms to third parties specialised institutions (monitoring, audit, insurance, universities, other similar).

Capacity building and self-reliance: Activities related to capacity building must be based on a strategy that has identified specific needs directly linked to the implementation of the action and its results, and which are implemented through regular supervision and monitoring. The partner is encouraged to develop and implement a long term strategy for capacity building when providing technical assistance. Trainings should be administered by qualified professionals and supported by appropriate resources/asset and include entry and exit tests, extensive on the job practice, adult education good practices, good educational material, etc. The final objective should be not only the knowledge transfer, but the promotion of local capacities eventually leading to greater self-reliance and sustainability.

Cost efficiency is a top priority for DG ECHO operations especially when using the cash transfer modality. DG ECHO recently developed a Cash Guidance Note indicating an expected 85/15 net-transfers/other-costs ratio. Although the applicability of the Cash Guidance Note is limited to large-scale cash transfer programs (above EUR 10 Million), partners are expected to strive toward the overarching objective “to ensure that assistance gets to beneficiaries more effectively, efficiently and directly” and that the % of net transfer to beneficiaries (TCTR – Total Cost transfer Ratio) is maximized¹⁹.

Under Pillar I partners should work to prepare cash transfers operations that meet these requirements.

Under Pillar II, proposals will also be evaluated on the basis of their cost-efficiency, cost-effectiveness, harmonization and coordination efforts with other partners and with social protection systems.

They must clearly indicate the value of the resources (in kind, vouchers or cash) received by the beneficiaries, net of any operating, organisational and transfer costs. Innovative delivery technologies (mobile or electronic platforms) also contribute in reducing costs of delivery.

¹⁹ https://ec.europa.eu/echo/sites/echo-site/files/guidance_note_cash_23_11_2017.pdf