AusAID-NGO Humanitarian Partnership Agreements (HPA) Framework

1.   Background

The AusAID-NGO Humanitarian Partnership Agreements (HPA) replaces the Periodic Funding Agreements for Disaster Risk Management Program 2006-2009 (PFA) as the formal mechanism for engagement between AusAID and selected accredited Australian NGOs (ANGOs) in rapid-onset humanitarian emergency responses. HPA also provides the mechanism for collaboration on programmed Disaster Risk Reduction (DRR) and Disaster Risk Management (DRM) Capacity Building initiatives implemented by these ANGOs.

Informed by the findings and recommendations of an independent review of the PFA in late 2009 and subsequent consultations with ANGOs, the HPA has been developed with a view to improved strategic engagement and partnership between AusAID and the ANGOs. The HPA Framework embodies a more robust collaborative approach with:

- streamlined funding processes;
- greater program and funding visibility;
- increased focus on ANGO coordination and responsibility;
- increased emphasis on consistency with humanitarian guiding principles and best practice;
- strengthened inclusion of gender, disability, and child protection considerations in all activities;
- a new emphasis on providing vulnerable women, men, girls and boys the opportunity to participate as partners in all aspects and stages of all activities;
- enhanced DRR and DRM Capacity Building in support of the emergency response component to reduce vulnerability, enhance resilience, and strengthen preparedness and response capacity;
- joint planning and assessments, real-time evaluations and peer reviews; and
- broader monitoring and evaluation arrangements that provide for reflection on the nature and quality of the HPA partnership as well as the impact of individual and collective initiatives.

The **goal** of the HPA is:

To ensure Australian humanitarian assistance is timely, predictable and flexible and contributes to safer, more resilient communities.

The **purpose** of the HPA is:

To strengthen the strategic humanitarian partnership between AusAID and Australian Non-Government Organisations to respond effectively to disasters and to strengthen community resilience and preparedness.

The anticipated **outcomes** of the HPA are:

- ***Quick-turn around of emergency response funding – the target being 24-48 hours from the call to HPA ANGOs for proposals to advice of funding decision.***
- ***Better decision making and more flexible, targeted, coordinated and accountable emergency responses.***
- ***Reduced community vulnerability and enhanced resilience to disasters.***
- ***Strengthened DRM capacities and systems of HPA ANGOs and their in-country NGO partners.***

While emergency response funding remains project-based and ad hoc under HPA, the increased emphasis on coordination, regular and wide-ranging dialogue, mutual accountability, and shared learning coupled with the partnership commitments set out in this Framework are intended to progressively strengthen and institutionalise the AusAID-ANGO humanitarian partnership.

AusAID will undertake a rigorous and transparent competitive selection process to engage suitable fully accredited ANGOs with relevant humanitarian and DRM capacity and experience. Subject to the necessary approvals, AusAID will enter into a Head Funding Agreement with each successful HPA NGO for a period of three years. This will provide selected, accredited HPA NGOs with fast-tracked funding for emergency assistance, plus three-year funding for approved DRR and DRM Capacity Building initiatives.

This HPA Framework document sets out the shared objectives and implementation arrangements for the humanitarian and DRM partnership between AusAID and ANGOs under the HPA. The Framework also details the key consultative and partnership support role that the Australian Council for International Development (ACFID) Humanitarian Reference Group (HRG) will have under the HPA.

The HPA replaces the PFA but is separate from other AusAID-NGO partnership arrangements such as the AusAID NGO Cooperation Program (ANCP).

2.   Rationale

The 2009 PFA Review found that the PFA had at least partially met all of its objectives, which included:

- improve Australia's response to humanitarian emergencies in developing countries in our region;
- enhance Australian capacity and expertise in emergency responses;
- increase regional local disaster prevention, preparedness, mitigation, response and recovery capacity;
- reduce human suffering in the face of humanitarian crises; and

- raise the profile of Australian expertise in emergency and disaster operations.

The Review endorsed continued humanitarian partnership with ANGOs that would build on the achievements of the PFA in a more robust and strategic collaborative framework. The rationale for continued and strengthened partnership with ANGOs is strong. Funding emergency responses through ANGOs facilitates rapid mobilisation of funds through trusted partners with a wide range of expertise and significant international on-the-ground capacity to deliver effective emergency relief assistance through their international partners and networks. Funding ANGOs offers greater visibility and assists them to leverage funding from other donors. It provides the opportunity to integrate emergency response assistance with Disaster Risk Reduction and capacity building, both areas where ANGOs have significant expertise. Internationally, NGOs implement the greatest share of humanitarian activities on the ground.

The 2009 PFA Review recommended two options for a mechanism to replace the PFA. Option One – effectively a revised PFA process with greater emphasis on NGO coordination and responsibility, shared learning, capacity Building and DRR – was selected, and it formed the basis for development of the HPA as presented in this Framework document. Option Two recommended by the review proposed multi-year block grants to fund capacity building and DRR, as well as contingency planning, preparedness, and initial emergency responses. For large-scale rapid-onset emergencies, additional funding could be made available based on a call for objective-based proposals. AusAID considered that the AusAID-ANGO partnership was not sufficiently developed at this point to justify selection of Option Two.

3. Shared Objectives

AusAID's Humanitarian Action Policy of January 2005 commits Australia to enhancing its capacity to respond to unexpected crises and to strengthen regional resilience to crises. Under the HPA, AusAID's aims to continue, and to strengthen, its partnerships with selected fully accredited Australian NGOs in humanitarian emergency response, DRR and DRM Capacity Building initiatives in the region and in other parts of the world where the Australian Government may wish to provide humanitarian and DRM assistance.

The HPA provides ANGOs engaged under a transparent competitive selection process with greater funding access and predictability, for emergency responses, DRR and DRM Capacity Building initiatives. HPA NGOs are AusAID's NGO first-level response partners in an emergency.

Note: The term 'HPA partners' herein includes both AusAID and HPA NGOs.

Shared Objective 1 – Work together to provide timely, appropriate and effective humanitarian emergency responses in the Asia-Pacific region and in other parts of the world

AusAID and HPA ANGOs will pool their collective resources and respective comparative advantages in humanitarian emergency response to maximise the impact and timeliness of Australian humanitarian emergency assistance and reduce transaction costs.

HPA Humanitarian Emergency Response Funding and implementation arrangements are outlined at section 3 below.

Recommended partnership commitments	Partnership Performance Indicators
1.1. At the earliest opportunity following a disaster, HPA partners will communicate, and subsequently convene as a group, in order to share information and coordinate planning for AusAID and ANGO responses.	Meeting of HPA partners convened immediately following a disaster, normally in the context of an HRG coordination teleconference. Partner sitreps, updates on capacity, current activities and indicative responses shared and discussed. AusAID plans for HPA funding discussed, including quantum of funds, focus and priorities, and proposed selection criteria. Communications/coordination action plan agreed.
1.2. HPA Partners will ensure that emergency response initiatives reflect humanitarian best practice and are consistent with guiding principles such as Good Humanitarian Donorship, Development for All, Do No Harm and, where appropriate, 'build back better'.	Evaluations of individual emergency response initiatives and overall Australia assistance delivered through HPA confirm positive impact and application of humanitarian best practice principles.
1.3. HPA ANGOs will ensure that emergency response initiatives uphold and protect the rights of all within an affected community, particularly those most vulnerable in a crisis including women, children, refugees and internally displaced people, elder	HPA emergency response initiatives developed, implemented, monitored and evaluated using participatory approaches and factoring in gender, age, disability, and child protection considerations (including intersecting vulnerabilities).

persons and people with disability.	ACFID Disability and Development Working Group consulted on disability issues in development and implementation of initiatives. Gender approaches comply with ACFID gender guidelines and international best practice. Gender action plans included in Emergency Response Implementation Plans. Emergency response data collection, analysis and reporting appropriately disaggregated, by gender, age and people with disability.
1.4. HPA ANGOs will ensure that emergency response initiatives conform with AusAID environmental guidelines, have no significant negative environmental impacts and pursue opportunities to enhance the environment.	Evaluations of HPA emergency response initiatives confirm no significant negative environmental impacts and extent that opportunities to enhance the environment have been taken up.
1.5. Within a timeframe agreed by the HPA partners in the HRG coordination meeting/ teleconference, HPA ANGOs will collectively submit to AusAID a two-page Joint Emergency Response Concept Paper (JERCP) outlining a proposed package of interventions for AusAID funding consideration.	The Joint Emergency Response Concept Paper is received by AusAID within the agreed timeframe, is of high quality, and provides sufficient information to inform a funding decision.
1.6. AusAID will ensure internal Standard Operating Procedures (SOPs) for emergency response funding provide for streamlined and efficient communications, decision-making, timely allocation and release of funds, and that implementation of SOPs is monitored.	Emergency response funds approved within 24-48 hours and disbursed within one week of the announcement of Australian assistance. Funding process evaluated for compliance with SOPs after each emergency.

A key component of the HPA is predictable multi-year funding for HPA ANGOs to implement Disaster Risk Reduction initiatives and DRM Capacity Building initiatives. The enhanced DRR and DRM Capacity Building initiatives link to, and are intended to support the emergency response component of HPA by contributing to reduced vulnerability, enhanced resilience, and strengthened preparedness and response capacity.

The objectives of the DRR and DRM Capacity Building component are to:

- reduce community vulnerability and enhance resilience to disasters through targeted Disaster Risk Reduction (DRR) initiatives; and

- to reinforce internal Disaster Risk Management (DRM) capacities and systems of HPA ANGOs and their in-country NGO partners.

AusAID's DRR policy *- 'Investing in a Safer Future – A Disaster Risk Reduction policy for the Australian aid program"*, June 2009, provides the guiding principles for implementation of HPA DRR initiatives.

HPA Disaster Risk Reduction and DRM Capacity Building component funding and implementation arrangements are outlined at section 3 below.

Recommended partnership commitments	Partnership Performance Indicators
2.1 HPA partners will maintain regular dialogue on DRR policy, programming and implementation issues.	Regular dialogue between AusAID and ANGOs on DRR maintained, e.g. as a permanent agenda item at quarterly HRG meetings. Updated information on DRR policy and programming progress and issues shared with ANGOs by AusAID on a regular basis.
2.2 HPA ANGOs will utilise their specialist expertise and international, in-country and community networks, to deliver DRR initiatives that (i) address local needs, (ii) reflect international best practice; and (iii) are coherent with other AusAID DRR programming.	Evaluations of individual initiatives and overall Australia assistance delivered through HPA confirm positive impact, application of humanitarian best practice principles, and coherence with AusAID DRR programming outside HPA.
2.3 HPA ANGOs will collaborate to	Evaluations confirm positive impact of

ensure that their DRR and DRM Capacity Building initiatives are complementary to those implemented by other HPA partners.	individual initiatives and overall Australia assistance delivered through HPA.
2.4 HPA ANGOs will ensure that DRR and DRM Capacity Building initiatives uphold and protect the rights of all within an affected community, particularly those most vulnerable in a crisis including women, children, refugees and internally displaced people, elder persons and people with disability.	HPA DRR and DRM Capacity Building initiatives developed, implemented, monitored and evaluated using participatory approaches and factoring in gender, disability, age, and child protection considerations (including intersecting vulnerabilities). ACFID Disability and Development Working Group consulted on disability issues in development and implementation of initiatives. Gender approaches comply with ACFID gender guidelines and international best practice Gender action plans included in DRR and DRM Capacity Building design/implementation documents. DRR and DRM Capacity Building data collection, analysis and reporting appropriately disaggregated, by gender, age and people with disability. DRM Capacity Building initiatives include support for development of ANGO and partner NGO gender-sensitive recruitment practices and staff gender analysis skills.
2.5 HPA ANGOs will ensure that DRR initiatives conform to AusAID environmental guidelines, have no significant negative environmental impacts and pursue opportunities to enhance the environment.	Evaluations of HPA DRR initiatives confirm no significant negative environmental impacts and extent that opportunities to enhance the environment have been taken up.

Shared Objective 3 – Strengthen collaboration and partnership between AusAID and ANGOs working in the humanitarian and disaster management sectors

The HPA is designed to strengthen the existing strategic humanitarian and DRM partnership between AusAID and HPA ANGOs, and to broaden and deepen collaboration through pursuit of mutually agreed objectives, strategies and outcomes.

Underlying principles of engagement essential for the success of the HPA include mutual trust and respect; shared learning to continuously improve performance, quality and accountability; robust dialogue; and the ability to critique each other's work. It is essential that HPA partners actively pursue opportunities to increase mutual understanding of their respective mandates, roles and responsibilities, modus operandi, comparative advantage and constraints.

As well as collaboration on implementation of emergency responses, DRR, and DRM Capacity Building initiatives, the HPA partners will engage in consultation and dialogue on international policy debates, AusAID and ANGO policy formulation, as well as collaboration on research, training, and advocacy.

In the interests of more efficient and effective engagement with AusAID, it is recommended that wherever possible and appropriate HPA ANGOs endeavour to adopt a collective and united approach in their dealings with AusAID. This may be as the HPA NGO group or as part - along with other accredited ANGOs - of the broader ACFID HRG.

In their humanitarian work, all HPA partners should adhere to the principles of relevant humanitarian accountability initiatives and standards including:

- *SPHERE Humanitarian Charter for Minimum Standards in Disaster Response*
- *ACFID Code of Conduct*
- *Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief*
- *Good Humanitarian Donorship* (applies to AusAID only)
- *Minimum Standards for Education in Emergencies, Chronic Crisis and Early Reconstruction*

and be informed by humanitarian best practice initiatives and tools such as

- *Humanitarian Accountability Partnership (HAP 2010 Standard)*
- *Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) Protection Guidelines and Handbook for Participation in Emergencies*
- *People in Aid Code*
- *Development for All*

- *Hyogo Framework for Action 2005-2015*

Recommended partnership commitments	Partnership Performance Indicators
3.1 HPA ANGO mapping of respective capacities and resources, international and in-country partnerships and networks, geographical focus, sectoral expertise and focus etc. Should utilise a template developed and agreed by HRG members and be undertaken in collaboration with non-HPA HRG NGOs and regularly updated.	Capacity mapping template developed and agreed by HRG members. HPA ANGO capacity and resource mapping accurate and updates quarterly.
3.2 AusAID and HPA ANGOs create and share opportunities for partner participation in activities relevant to HPA objectives; e.g. training, strategic workshops, policy debates, visits of international experts, joint research etc. This will be managed and monitored by means of a shared NGO-AusAID training and events calendar.	**Shared ANGO-AusAID training and event calendar developed and implemented.** Shared training and event calendar maintained, comprehensive and up-to-date. HPA partners notified of, and invited to participate in, training opportunities and other events of mutual interest.
3.3 AusAID acknowledges the right of HPA ANGOs to: (i) comment on Australian Government policy by means of individual and/or collective input and feedback; (ii) to advocate for policy change; and (iii) to implement humanitarian programs consistent with their humanitarian philosophy.	Agreed protocols for engaging with ANGOs in consultation processes followed by AusAID. Quarterly updates provided by AusAID to the HRG on policy developments. Collective and (where appropriate) individual feedback provided by HRG ANGOs to AusAID in the context of both formal policy and strategic consultations and informal dialogue.
3.4 HPA NGOs acknowledge the role of AusAID in implementing Australian Government policies and the need for confidentiality of Government information.	Confidentiality of Government information shared by AusAID with HPA NGOs is maintained.

3.5 In the interests of more effective and strategic engagement and communications with HPA NGOs, AusAID will ensure that HPA NGOs have access to appropriate humanitarian points of contact and other interlocutors at Posts, Desks, Humanitarian Policy section and in other relevant areas of AusAID. This will be included in AusAID SOPs.	Details of humanitarian points of contact and other interlocutors at Posts, Desks, Humanitarian Policy section and in other relevant areas of AusAID provided to HPA ANGOs in accordance with AusAID SOPs.

<div style="background:#595959;color:#fff;">Shared Objective 4 – Strengthen information sharing, monitoring and evaluation and lesson-learning</div>

Knowledge exchange will be critical to the success of the HPA. With the objective of strengthening the effectiveness of the AusAID-ANGO partnership and the impact of ANGO initiatives implemented under it, it is recommended that the HPA partners make every effort to engage in open and continuing dialogue on humanitarian and DRM policy and practice, sharing of information, strategic analysis and mutual learning.

It is intended that the HPA be implemented according to a continuous improvement model. Robust and continuing dialogue, supported by comprehensive monitoring and evaluation and other management tools, will facilitate proactive application of lessons learned to effect improvements to both the quality and effectiveness of the HPA partnership and the impact of initiatives implemented under the HPA.

HPA Monitoring and Evaluation arrangements are outlined at section 3 below.

Recommended partnership commitments	Partnership Performance Indicators
4.1 AusAID and HPA NGOs will actively support, engage through, and build on existing HRG forums for dialogue and consultation such as the quarterly HRG meetings to which AusAID is invited, biannual meetings between senior officials and between the Director General of AusAID and HRG CEOs.	Regular consultative meetings held, with full/majority attendance by HPA NGOs and HRG members, substantive agenda for discussion, minutes taken and distributed, and actions arising followed up appropriately.
4.2 In the interests of mutual	HPA activity M&E and key findings

	accountability, HPA ANGOs will share HPA activity reports with HPA partners.	and lessons learned documents shared with HPA partners.
4.3	HPA ANGOs will collaborate and share lessons learned with AusAID and the sector on good practice approaches to humanitarian response issues.	Joint reviews and lessons-learned exercises involving HPA ANGOs and AusAID conducted, either in-country or in Australia. **At least two ACFID HRG-AusAID humanitarian seminars facilitated annually by AusAID.**
4.4	HPA partners will undertake joint assessments, Real-Time Evaluations and peer reviews, and an annual emergency response desktop exercise to test HPA preparedness and response coordination mechanisms.	**AusAID and HPA ANGO joint participation in at least two evaluations in the three-year initial phase of HPA.** **Annual emergency response desktop exercises conducted.** HPA mechanisms, procedures and initiatives reviewed in light of desktop exercise and adjusted as necessary to incorporate lessons learned.
4.5	HPA partners will provide timely feedback when invited (either by individual partners or the collective) to provide peer comment on draft documents such as strategies, policies, plans, proposals and operating procedures.	Feedback on draft documents provided within a standard three-week response timeframe, or as otherwise agreed on a case-by-case basis.
4.6	At the earliest opportunity following an HPA emergency response funding round (e.g. the next HRG meeting) AusAID will provide to HPA partners a 'generic' verbal debriefing on the process and funding decision. As NGOs are not required to submit standalone funding proposals, AusAID will not provide Individual written debriefs to ANGOs.	Generic verbal debriefing on process and funding decision provided by AusAID for each HPA emergency response funding round.

Shared Objective 5 – Build public awareness and visibility of the AusAID–ANGO humanitarian partnership, its work and achievements

The humanitarian partnership between AusAID and ANGOs is an important element of the Australian aid program and a key contributor to Australia's high-profile role in the international humanitarian system. It is important that the HPA partners promote the collective and individual work and achievements of the HPA. HPA partners will develop and implement a joint visibility plan.

Recommended partnership commitments	Partnership Performance Indicators
5.1 HPA partners will develop and implement a joint visibility plan that will include branding guidelines.	**Joint visibility plan developed and implemented.** Joint visibility plan regularly reviewed and updated as necessary.
5.2 HPA partners will share and collate information on their contributions to responses, and where appropriate ensure that data is reported to, and recorded by, OCHA in its global contributions database.	Collective contributions data shared, collated and reported to OCHA, this may be by local partners as required.
5.3 HPA ANGOs will acknowledge Australian Government support to the ANGO's humanitarian programs through media engagement, communications, public affairs, annual reports.	Australian Government support acknowledged in and HPA ANGO media and communications and in annual reporting.
5.4 AusAID will acknowledge Australian Government partnership with, and the work of, HPA ANGOs through media engagement, communications, public affairs, and annual reports.	Acknowledgement of HPA partnership and the work of ANGOs in media and annual reporting.
5.5 HPA ANGOs will provide AusAID with brief 'good news stories' and imagery on the achievements of their HPA-funded initiatives for use by AusAID in public affairs and briefing material. Good news stories should be submitted as	Good news stories provided to AusAID by HPA ANGOs in a format agreed with AusAID. Appropriate material utilised by AusAID in public affairs and briefing material.

	opportunities arise, and with the HPA Emergency Response Implementation Plan and the HPA completion report.	
5.6	AusAID will provide feedback to the ANGOs on stories submitted, including on utilisation in public affairs and briefing material.	Feedback provided to ANGOs on good news stories and utilisation in public affairs and briefing material
5.7	HPA partners will collaborate to promote HPA achievements in the context of appropriate public awareness opportunities such as International Humanitarian Day and International Disaster Reduction Day.	HPA partner participation in relevant public awareness opportunities.

4.   HPA Implementation Arrangements

HPA Selection Process

Like the PFA, HPA ANGOs will be selected through a formal, transparent and competitive process developed specifically for HPA. The HPA selection process to be followed will be finalised on approval of the appropriate AusAID delegate and will be fully detailed in selection documentation to be provided to eligible ANGOs. Subject to the AusAID delegate's approval, the selection process may involve the following key elements:

- Only fully accredited ANGOs (or consortia led by fully accredited ANGOs) that have demonstrated humanitarian and DRM capacity and are members of the ACFID HRG will be eligible for HPA selection.

- AusAID will issue to HRG ANGOs an *AusAID-NGO Humanitarian Partnerships Agreements Request for Capacity Statement* inviting them to submit, in accordance with Guidelines contained in the Request, Capacity Statements outlining their claims against specific weighted selection criteria. The Request will not require ANGOs to provide information already available to AusAID under the ANCP.

- Capacity Statements that conform with the Request Guidelines will be assessed against the requirements specified in the Request Guidelines and the selection criteria by a Selection Panel comprising:

    - an AusAID procurement officer (as Chairperson);

    - an AusAID officer with relevant humanitarian and DRM experience;

- an ACFID HRG nominee from the NGO community, approved by AusAID, with relevant humanitarian, DRM, and NGO implementation and management skills and experience; and

- a consultant from AusAID's Humanitarian Emergency and DRM database with relevant technical skills and experience including in DRR and capacity building.

- AusAID will invite and fund attendance of two personnel from each short-listed ANGO (i.e. ANGOs whose Capacity Statements have been assessed as conforming with the Request Guidelines) to be interviewed by the Selection Panel.

Structure of Agreements between HPA Partners

AusAID will enter into a separate Head Funding Agreement with each successful ANGO. Head Funding Agreements will be specifically for HPA humanitarian and DRM funding and distinct from existing AusAID NGO Periodic Funding Agreements under which PFA activities and ANCP activities are currently funded.

Under the Head Funding Agreement, activity-specific funding sub-agreements will be ratified for each funded emergency response activity, for multi-year DRR activity funding, and for multi-year DRM Capacity Building activity funding.

In addition to bilateral funding agreements with each HPA ANGO, AusAID will enter into an HPA 'umbrella partnership agreement' with ACFID that will set out the principles and guidelines for management of the collective HPA relationship. The precise form and nature of the umbrella agreement will be developed and agreed in consultation with ACFID and HPA ANGOs. It is proposed that the umbrella agreement be ratified as an annex to the existing AusAID-ACFID Partnership Agreement of March 2009.

AusAID aims to have the HPA mechanism, umbrella partnership agreement and ANGO Head Funding Agreements in place by the end of 2010. The HPA Humanitarian Emergency Response Funding mechanism will be immediately operational at that point. It is expected that DRR and DRM Capacity Building program approvals and ANGO sub-agreements will be in place within three months of HPA commencement.

ACFID Partnership Support Role in HPA

The Australian Council for International Development (ACFID) Humanitarian Reference Group (HRG) provides the vehicle to drive collective HRG representation. The HRG is an ACFID committee comprising ACFID member agencies with operational emergency response capacity, and has consulting affiliates including the Australian Red Cross. The HRG reports to the ACFID

Board, and has Terms of Reference and annual work plans which guide engagement.

On commencement of the HPA, the HRG will convene a sub-committee comprising HPA agencies to support the broader HPA framework, monitor achievement against key milestones, and ensure coordination and collaboration amongst agencies relating to emergency response work, DRR and capacity building initiatives.

HPA Emergency Response Funding

Only immediate relief initiatives implemented by fully accredited HPA ANGOs in response to rapid-onset emergencies are eligible for funding under HPA. Initiatives not meeting these criteria, e.g. those implemented by non-HPA ANGOs, recovery and reconstruction phase activities, responses to protracted humanitarian crises will not be funded under HPA. *(Note: Funding opportunities for non-HPA-eligible activities may arise outside HPA on an ad hoc basis – see 'Ad hoc AusAID humanitarian funding' below).*

Streamlined administrative procedures have been developed to provide for quick release of HPA emergency response funds. Key features of the streamlined emergency response funding process are as follows (some of these details will be finalised following the selection of HPA NGOs):

- In the event of a disaster where the Australian Government has made a decision to allocate funding for HPA ANGOs, AusAID will invite HPA ANGOs to collectively submit a two-page Joint Emergency Response Concept Paper (JERCP) for funding consideration. ***Individual detailed NGO emergency response proposals are not required by AusAID and will not be requested.***

- **HPA ANGOs will immediately receive an equal share of 75% of response funding. AusAID will allocate the balance of funding to HPA ANGOs at its discretion based on the JERCP.**

- The invitation to HPA ANGOs to submit a JERCP will normally be communicated by AusAID in the context of an ACFID-convened HRG coordination meeting or teleconference.

- The two-page JERCP will outline a proposed 'package' of interventions developed by HPA ANGOs, totalling 75% of available funding. Only concise, basic details of each intervention are required in the JERCP – the ANGO, sectoral and geographic focus, target group, and indicative activities and timeframe. The JERCP will indicate the capacity of HPA ANGOs to absorb a portion of the balance of AusAID's HPA funding. It will include a brief one-paragraph justification for the composition and focus of the overall proposed package of interventions.

- In developing the JERCP, the HPA ANGOs must ensure that all interventions proposed in the JERCP are developed in consideration

of, and meet HPA standing *generic* selection criteria. However, in the interests of brevity and to expedite the funding process, the JERCP does not need to document how individual interventions address the selection criteria. The one-paragraph summary providing justification for the overall package will suffice (refer previous dot point).

- The standing *generic* selection criteria are as follows:

    - proven capacity and significant previous experience in implementing humanitarian programs in the affected country;
    - demonstrated access to, and experience working in the affected area;
    - activities target immediate needs of affected communities; and
    - proven capacity to operate in a cooperative and coordinated manner with other humanitarian actors operating in the affected area.

- On a case-by-case basis, where more detailed information is needed beyond the scope of the generic criteria, HPA ANGOs may be required to address *one* additional *response-specific* selection criterion. The requirement for a response-specific selection criterion will be discussed and agreed by HPA partners in the context of the HRG coordination meeting or teleconference.

- The JERCP will be assessed by AusAID. Based on this assessment and available funds, HER will make a recommendation to the delegate on funding.

- Funding decisions will be actioned within 24-48 hours of the announcement of Australian assistance, and funding will be disbursed to successful ANGOs within one week of the announcement of assistance.

- At the earliest opportunity following an HPA emergency response funding round, AusAID will provide a debrief to HPA ANGOs on the process and funding decision. As NGOs are not required to submit stand alone funding proposals, AusAID will not provide Individual written debriefs to either successful or unsuccessful ANGOs.

- Following funding approval, the JERCP will form the scope of services for the funding sub-agreement between AusAID and each successful ANGO. Processing and ratification of the sub-agreement followed by payment of funds will then be expedited under emergency procurement and accounts processing procedures.

- Successful ANGOs will be required to submit a more detailed activity HPA Emergency Response Implementation Plan to HER within **eight weeks** of the provision of funding. The format and content of the Plan should align with the ANGO's standard (or otherwise agreed) Monitoring and Evaluation and reporting tools to facilitate activity

reporting and evaluation. The Plan will also provide the basis for subsequent higher-level review and evaluation processes (for further details refer to 'Monitoring and Evaluation' below).

Ensuring HPA ANGO partner data on respective sectoral and geographical activities, resources and expertise in the HRG organisational mapping database is accurate and up-to-date is essential to ensure informed, transparent, and appropriate allocation of HPA funding. It is recommended that HPA ANGO partners regularly update their data in the HRG organisational mapping database, and, when a disaster strikes, they undertake a spot update of capacity, resources and activities in the impact zone for sharing with HRG partners and AusAID.

HER will normally be responsible for managing the HPA emergency response funding process on behalf of country program areas from the point of requesting JERCPs, through selection, contracting and payment of funds. This may vary from time to time, for example where the Post or Desk has the necessary capacity and resources to manage the process with HER oversight and support. Lead responsibility for managing the funding process will be determined by AusAID in the initial planning stages and HER will inform ANGOs accordingly. However, regardless of which area manages the process, once funds have been disbursed, standard practice will be that the relevant country program will manage the funding sub-agreement and activity through to completion.

Ad hoc AusAID humanitarian funding outside HPA

Under the HER-managed HPA, only initiatives of fully-accredited HPA ANGOs that respond to rapid-onset emergencies and target immediate relief needs are eligible for funding. However, AusAID also requires the flexibility to fund - on an ad hoc basis - organisations and activities that fall outside the HPA mandate. Ad hoc funding of humanitarian activities outside the PFA Program is normally initiated and managed by individual program areas of AusAID, with advisory and other support provided to program areas by HER as required. These ad hoc funding arrangements will continue once the HPA is in place.

However, AusAID recognises the need for a systematic framework and processes for management of ad hoc funding of non-HPA-eligible activities. For this reason, AusAID will develop standard ad hoc funding guidelines to guide program areas. AusAID will consult the HRG in the development of the ad hoc funding guidelines.

Examples of non-HPA-eligible activities that may be able to be supported if ad hoc emergency response funding is made available by country programs include:

- rapid-onset emergency response activities implemented by organisations other than HPA ANGOs, including, international/local NGOs and non-traditional humanitarian actors;
- recovery and reconstruction phase activities; and

- responses to protracted humanitarian crises.

HPA Disaster Risk Reduction and Disaster Risk Management Capacity Building Funding

HPA NGOs will be eligible for three-year funding of (i) Disaster Risk Reduction (DRR) initiatives; and (ii) Disaster Risk Management (DRM) Capacity Building initiatives.   Subject to expenditure approval it is envisaged that each HPA ANGO will be eligible to receive a total of $1.5 million over three years to fund DRR and DRM Capacity Building initiatives. It should be noted that HPA DRR funding is separate from other AusAID DRR funding opportunities.

DRR Initiatives

AusAID's DRR policy - *'Investing in a Safer Future – A Disaster Risk Reduction policy for the Australian aid program"*, June 2009, provides the guiding principles under which HPA DRR initiatives will be funded and implemented. DRR initiatives implemented under the HPA must align with the DRR policy in support of its key objectives including strengthened awareness, preparedness and resilience, reduced vulnerability to disasters, and 'build back better'.

Climate change adaptation-related initiatives are eligible for HPA DRR funding where they overlap with the DRR agenda. Funding will be considered for initiatives that aim to increase the resilience and decrease the vulnerability of communities to *weather-related hazards*. For guidance, see Outcome 4 on page 22 of the DRR policy.

DRM capacity building for local DRM organisations and actors such as partner government agencies, CBOs, FBOs and most vulnerable communities is classified as a DRR activity, and therefore should be included under HPA DRR initiatives rather than DRM Capacity Building.

DRM Capacity Building Initiatives

The objective of the HPA DRM Capacity Building component is to reinforce the internal DRM capacities and systems of HPA ANGOs and their local NGO partners. Capacity building support for other organisations will fall under HPA DRR initiatives.

DRM capacity building for (i) HPA ANGO staff either based in-country or seconded to in-country partners; and (ii) local partner NGO staff will have funding priority. DRM capacity building for HPA ANGO Australia-based staff will be accorded lower priority, but will be considered for funding on a case-by-case basis.

DRR and DRM Capacity Building Component Concept Paper

Subject to the approved HPA selection process, ANGOs will be requested to submit as an annex to their Capacity Statements a 'concept paper' for a three-year DRR and DRM Capacity Building program. Once Head Funding Agreements are in place, successful ANGOs will be required to submit a design/implementation document within eight weeks, accompanied by a detailed work plan for year one and indicative work plans for years two and three. If approved, DRR and DRM Capacity Building component initiatives will be implemented under a single funding sub-agreement to the Head Funding Agreement.

DRR and DRM Capacity Building M&E, Planning and Reporting

Where possible, and unless otherwise agreed, Monitoring and Evaluation, annual work plan and reporting arrangements for the HPA DRR and DRM Capacity Building component will be based on, and align with the ANGO's standard activity management tools. These tools will provide the data for subsequent higher-level review and evaluation of all HPA DRR and DRM Capacity Building initiatives and collation and sharing of collective lessons learned amongst the HPA partners (for further details refer to 'Monitoring and Evaluation' below).

Monitoring and Evaluation Arrangements

Monitoring and Evaluation (M&E) arrangements under the HPA comprise a set of processes, tools, formats and protocols designed to enable the HPA partners to systematically and efficiently assess performance and to effect necessary improvements. The M&E arrangements are intended to promote robust dialogue, mutual accountability and learning in a constructive way that encourages partnership in humanitarian response and DRM.

HPA M&E arrangements target three levels or dimensions of the HPA to test:

- *Individual HPA Initiatives* - The impact of individual HPA ANGO emergency responses, DRR initiatives, or DRM Capacity Building initiatives;
- *Collective HPA Initiatives* - The collective impact of hopefully complementary HPA ANGO emergency responses, DRR initiatives, or DRM Capacity Building initiatives; and
- *HPA Partnership* - The effectiveness of the HPA partnership as a collaborative delivery mechanism for humanitarian and DRM assistance, and the quality of the relationship between the partners.

The M&E methodology to be followed at each of the three levels is as follows:

M&E of Individual HPA Initiatives

It is an HPA requirement that all activity-level M&E data collection must be gender, age and disability-disaggregated and include both qualitative and quantitative data collection and indicators.

At the individual ANGO activity level, HPA will utilise ANGOs' existing M&E and reporting systems where these provide the necessary data and will not impose additional or duplicate systems.

Subject to the approved HPA selection process, ANGOs will be requested to submit as an annex to their Capacity Statements details of current standard humanitarian activity M&E and reporting tools for the Selection Panel's assessment of their 'fitness-for-purpose' for HPA. Should enhancements to an ANGO's standard M&E and reporting tools be necessary to meet specific HPA requirements, AusAID will negotiate with the ANGO to agree mutually satisfactory arrangements prior to ratification of the Head Funding Agreement.

As outlined under 'HPA Humanitarian Emergency Response Funding' above, ANGOs will be required to undertake M&E and reporting against activity-level Emergency Response Implementation Plans using the agreed tools. The ERIP will also provide the basis for subsequent higher-level review and evaluation processes (refer Collective HPA Initiatives below).

M&E and reporting arrangements for the HPA DRR and DRM Capacity Building components will, unless otherwise agreed between AusAID and the ANGO, be based on, and align with, the ANGO's standard activity management tools.

M&E of Collective HPA Initiatives

The HPA partners will coordinate to monitor and evaluate the overall performance of collective HPA initiatives, e.g. the overall impact of emergency response assistance delivered through coordinated HPA initiatives in a particular disaster response; the collective impact of DRR initiatives or DRM Capacity Building initiatives in HPA year one etc.

HPA partners will implement a system of peer review to be activated immediately following an emergency response. The system will include tools such as:

- evaluations;
- joint ANGO-AusAID Post assessments;
- shared analysis of collective ANGO and AusAID reporting; and
- lessons learned exercises.

Over the initial three-year life of the HPA, AusAID and HPA ANGOs will participate in two evaluation of disaster response where HPA ANGO's have

implemented AusAID-funded emergency response initiatives and where appropriate will share the evaluations of the response with UN agencies. Joint ANGO-AusAID Post assessments should be undertaken where feasible. Lessons learned exercises should be undertaken after every significant response, normally in the context of workshops facilitated by AusAID and ACFID/HRG.

It is critical that the outcomes and lessons learned from Real Time Evaluations and other peer review initiatives be disseminated and discussed in appropriate forums as a matter of course, for example at quarterly HRG meetings and the biannual high-level strategic discussions between senior AusAID and ANGO representatives. Unless HPA partners are proactive and rigorous in this regard, it will be difficult to effect necessary changes to policies, processes and funding decisions to enhance the effectiveness of humanitarian and DRM assistance.

M&E of HPA Partnership

The HPA is an important mechanism for strengthening the collaborative working relationship between AusAID and the ANGOs humanitarian collective, and over time, increasing the level of trust and the quality and breadth of engagement.

M&E at the HPA partnership level will monitor the development of the relationship over time, looking at a range of performance indicators listed under Shared Objectives 1-5 above, as well as any constraints affecting the relationship. Monitoring these indicators over time will be important in shaping the future development of the AusAID-ANGO partnership

The key forum for high-level M&E of the HPA partnership will be the biannual high-level strategic discussions between senior AusAID and ANGO representatives. At the operational level, quarterly HRG meetings provide the opportunity for regular, frank and constructive discussion of AusAID-ANGO relations and issues of mutual interest, as do constant and equally constructive but more informal email and phone communications and frequent face-to-face meetings between HER and HRG members.

Review of HPA Monitoring and Evaluation Arrangements

AusAID is undertaking a strategic reform process with the development of a new Operational Policy and Management Framework (OPMF) for implementation from mid-2010. Reform of performance management and evaluation is a core priority of the OPMF, and all AusAID programs will need to conform to any new M&E guidelines arising from the reform process. HPA M&E arrangements will therefore need to be reviewed in the light of OPMF reforms and, in consultation with HPA ANGOs, adjusted if necessary. In addition to the OPMF, a possible new AusAID-wide humanitarian M&E framework has been flagged – this will also require review of HPA M&E arrangements.

Reporting

AusAID will accept an ANGO's standard narrative reports for HPA emergency response funding reporting purposes, provided the standard report covers the AusAID-funded initiatives detailed in the HPA Emergency Response Implementation Plan submitted by the ANGO for the activity and meets the reporting requirements outlined in this document. Grant-specific expenditure acquittal reports to AusAID will be required.

In addition, for every disaster response for which HPA ANGOs receive funding, each funded ANGO will contribute to a brief (no more than four pages) collaborative analytical 'lessons learned' report to be collated by the funded ANGOs and submitted to AusAID.

To strengthen joint learning, all ANGO activity reports should be shared with AusAID and all HPA partner ANGOs.

HPA Mid-Term Review

AusAID and HPA ANGOs will commission a Mid-Term Review of the HPA in 2012. The Mid-Term Review will take the form of a Desk Review and will be led by an independent consultant, with possible participation by AusAID and ANGO representatives.

Independent Completion Report

AusAID will commission an Independent Completion Report at the conclusion of the initial three-year phase of the HPA.