

SCHEDULE 2 – AusAID-NGO HUMANITARIAN PARTNERHIPS

1. INTRODUCTION

- 1.1 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 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 NGOs.
- 1.2 Informed by the findings and recommendations of an independent review of the PFA in late 2009 and subsequent consultations with NGOs, the HPA has been developed with a view to improved strategic engagement and partnership between AusAID and the NGOs. The HPA embodies a more robust collaborative approach with:
- (a) streamlined funding processes;
 - (b) greater program and funding visibility;
 - (c) increased focus on NGO coordination and responsibility;
 - (d) increased emphasis on consistency with humanitarian guiding principles and best practice;
 - (e) strengthened inclusion of gender, disability, and child protection considerations in all activities;
 - (f) 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;
 - (g) enhanced DRR and DRM Capacity Building in support of the emergency response component to reduce vulnerability, enhance resilience, and strengthen preparedness and response capacity;
 - (h) joint planning and assessments, real-time evaluations and peer reviews;
and
 - (i) 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.

1.3 The **vision** of the HPA is:

That AusAID humanitarian partners will deliver better outcomes for people affected by disasters around the world by enhancing inter-agency collaboration, upholding the highest standards of accountability and ensuring rapid release of funds during crises.

1.4 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.

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

- (a) Quick-turn around of emergency response funding – the target being 48-72 hours from the call to HPA NGOs for proposals to advice of funding decision.
- (b) Better decision making and more flexible, targeted, coordinated and accountable emergency responses.
- (c) Reduced community vulnerability and enhanced resilience to disasters.
- (d) Strengthened DRM capacities and systems of HPA NGOs and their in-country NGO partners.

1.6 While emergency response funding remains activity-based and ad hoc under HPA, the increased emphasis on coordination, regular and wide-ranging dialogue, mutual accountability, and shared learning coupled with agreed partnership commitments to shared objectives are intended to progressively strengthen and institutionalise the AusAID-NGO humanitarian partnership.

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

2. RATIONALE

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

- (a) improve Australia’s response to humanitarian emergencies in developing countries in our region;
- (b) enhance Australian capacity and expertise in emergency responses;
- (c) increase regional local disaster prevention, preparedness, mitigation, response and recovery capacity;

- (d) reduce human suffering in the face of humanitarian crises; and
 - (e) raise the profile of Australian expertise in emergency and disaster operations.
- 2.2 The Review endorsed continued humanitarian partnership with NGOs 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 NGOs is strong. Funding emergency responses through NGOs 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 NGOs 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 NGOs have significant expertise.
- 2.3 The HPA provides NGOs 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.

3. AGENDA FOR COLLABORATION

- 3.1 This section outlines ‘Shared Objectives’ that set out key aspects of the Agreement and the themes on which AusAID and the Organisation will strive to collaborate. The Shared Objectives are drawn from the ‘AusAID-NGO Humanitarian Partnership Agreements (HPA) Framework’, the HPA design document. Partnership Commitments to the Shared Objectives, as well as Partnership Performance Indicators, are listed at Annex A. The term ‘HPA partners’ in the Agreement 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.

- 3.2 AusAID and HPA NGOs 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.

Shared Objective 2 – Work together to reduce vulnerability and enhance resilience to disasters and to strengthen disaster preparedness and response capacity.

- 3.3 A key component of the HPA is predictable multi-year funding for HPA NGOs 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

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component of HPA by contributing to reduced vulnerability, enhanced resilience, and strengthened preparedness and response capacity.

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

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

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

3.5 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.

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

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

3.7 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.

3.8 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 NGO policy formulation, as well as collaboration on research, training, and advocacy.

3.9 In the interests of more efficient and effective engagement with AusAID, it is recommended that wherever possible and appropriate HPA NGOs 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 NGOs - of the broader Australian Council for International Development (ACFID) Humanitarian Reference Group (HRG).

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

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

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

- (f) Humanitarian Accountability Partnership (HAP 2010 Standard);
- (g) Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) Protection Guidelines and Handbook for Participation in Emergencies;
- (h) People in Aid Code;
- (i) Development for All; and
- (j) Hyogo Framework for Action 2005-2015.

Shared Objective 4 – Strengthen information sharing, monitoring and evaluation and lesson-learning.

3.14 Knowledge exchange will be critical to the success of the HPA. With the objective of strengthening the effectiveness of the AusAID-NGO partnership and the impact of NGO initiatives implemented under it, the HPA partners will 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.

3.15 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.

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

- 3.16 The humanitarian partnership between AusAID and NGOs 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.

4. MANAGEMENT ARRANGEMENTS

- 4.1 This section sets out proposed management arrangements for implementation of this Agreement with the Organisation. It also makes reference to supporting management arrangements for the broader HPA program.
- 4.2 Management arrangements including tools, documentation and consultation protocols will be fine-tuned and finalised following commencement of HPA under a one year transition phase from the previous Periodic Funding Agreements Program for Disaster Risk Management (PFA) 2006-2009 to the HPA. In the interim, existing PFA tools and document formats will be utilised.
- 4.3 A steering committee of the humanitarian directors of HPA Organisations plus an AusAID representative will be established as part of the overall management framework of the HPA.
- 4.4 A response committee made up of either the humanitarian directors of HPA Organisations or their senior delegates will convene during each new emergency where funding is to be released by AusAID for the purpose of agreeing on and finalising the Joint Emergency Response Concept Paper (JERCP)(Annex D). A HPA Director will be employed by the HPA Organisations and co-funded with AusAID (50 per cent funded by the HPA Organisations and 50 per cent funded by AusAID). This position will provide oversight and support to the HPA Organisations including conducting the capacity mapping, learning and evaluation exercises and during time of emergency. This will be an independent position hosted by one of the HPA Organisations. This position would report to the HPA Steering Committee.

HPA Partnership Support Arrangements

- 4.5 The Australian Council for International Development (ACFID) Humanitarian Reference Group (HRG) provides the framework for HRG member representation. The HRG is an ACFID committee comprising ACFID member organisations 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.

Grant Orders

- 4.6 Separate Grant Orders will be issued under this Agreement for each funded emergency response activity, for multi-year DRR activity funding and for multi-year DRM Capacity Building activity funding implemented by the Organisation.

Emergency Response Funding

- 4.7 In the event of a disaster where the Australian Government has made a decision to allocate funding for HPA Organisations, AusAID will invite HPA Organisations to collectively submit a two-page JERCP for funding consideration. Individual detailed emergency response proposals by each Organisation are not required by AusAID and will not be requested.
- 4.8 HPA Organisations will immediately receive a share of 75 per cent of response funding. AusAID will allocate the balance of funding at its discretion based on the JERCP.
- 4.9 The JERCP will outline a proposed ‘package’ of interventions developed by HPA Organisations, totalling 75 per cent of available funding. Only concise, basic details of each intervention are required in the JERCP – the NGO, sectoral and geographic focus, target group, and indicative activities and timeframe. The JERCP will indicate the capacity of HPA NGOs 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.
- 4.10 In developing the JERCP, the HPA NGOs must ensure that all interventions proposed in the JERCP are developed in consideration of, and meet HPA standing generic selection criteria, as described in the JERCP Guidance Note (Annex E). 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 to clause 4.9).
- 4.11 Individual HPA Organisations will submit their Individual Concept notes to the HPA Response Committee according to the criteria outlined in the JERCP Guidance Note which will be used by the HPA Response Committee to assess the concept notes and determine their inclusion in the JERCP.
- 4.12 On a case-by-case basis, where more detailed information is needed beyond the scope of the generic criteria, HPA Organisations 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.

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- 4.13 Funding decisions will be actioned within 48-72 hours of the announcement of Australian assistance, and funding will be disbursed to Organisations within one week of the announcement of assistance.
- 4.14 At the earliest opportunity following an HPA emergency response funding round, AusAID will provide a debriefing to HPA Organisations on the process and funding decision. As Organisations are not required to submit standalone proposals, AusAID will not provide individual written debriefs to either successful or unsuccessful Organisations.
- 4.15 The JERCP will form the activity proposal for emergency response Grant Orders issued under this Head Agreement between AusAID and each successful Organisation. Processing and issuing of Grant Orders followed by payment of the grant will then be expedited by AusAID under emergency procurement and accounts processing procedures.
- 4.16 The Organisation shall submit a detailed activity HPA Emergency Response Implementation Plan to AusAID within eight weeks of the provision of the grant. An acquittal is not required. The format and content of the Plan will be agreed by AusAID and the Organisation, but should align with the Organisation's standard (or otherwise agreed) Monitoring and Evaluation and reporting tools to facilitate activity reporting and evaluation.
- 4.17 The Organisation shall ensure that information on its sectoral and geographic activities, resources and expertise in the HRG organisational mapping database is accurate and up-to-date. The Organisation shall also ensure that it provides a list of countries where:
- (a) The Organisation has an office or is allocated lead agency within its national network (Annex B); and
 - (b) The Organisation has a footprint of its own, sister or indigenous organisation (Annex C).
- 4.18 Once the grant has been paid, standard practice will be that the relevant country program within AusAID will manage the Grant Order and the activity through to completion.

Disaster Risk Reduction (DRR) and Disaster Risk Management (DRM) Capacity Building Component

- 4.19 The Organisation funded by AusAID for these activities, shall implement a three-year program of approved DRR initiatives and/or DRM Capacity Building initiatives.

DRR Initiatives

- 4.20 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 activities 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’.
- 4.21 Climate change adaptation-related initiatives are eligible for HPA DRR funding where they overlap with the DRR agenda. Funding will be considered for activities 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.
- 4.22 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 activities rather than DRM Capacity Building.

DRM Capacity Building Initiatives

- 4.23 The objective of the HPA DRM Capacity Building component is to reinforce the internal DRM capacities and systems of HPA NGOs and their local NGO partners. Capacity building support for other organisations will fall under HPA DRR activities.
- 4.24 DRM capacity building for (i) HPA NGO 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 NGO Australia-based staff will be accorded lower priority, but will be considered for funding on a case-by-case basis.
- 4.25 The Organisation shall submit to AusAID a design/implementation document within eight weeks of the execution of this Agreement. The design/implementation document will be accompanied by a detailed work plan for year one and indicative work plans for years two and three.
- 4.26 The DRR and DRM Capacity Building component will be implemented under a Grant Order issued under this Agreement.

Monitoring and Evaluation (M&E)

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

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- (a) *Individual HPA Activities* - The impact of individual HPA NGO emergency responses, DRR activities, or DRM Capacity Building activities;
- (b) *Collective HPA Activities* - The collective impact of hopefully complementary HPA NGO emergency responses, DRR activities, or DRM Capacity Building activities; and
- (c) *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.

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

M&E of Individual HPA Activities

- 4.29 Activity-level M&E data collection must be gender, age and disability-disaggregated and include both qualitative and quantitative data collection and indicators.
- 4.30 At the individual NGO activity level, HPA will utilise NGOs' existing M&E and reporting systems where these provide the necessary data and will not impose additional or duplicate systems.

M&E of Collective HPA Activities

- 4.31 The HPA partners will coordinate to monitor and evaluate the overall performance of collective HPA activities, e.g. the overall impact of emergency response assistance delivered through coordinated HPA activities in a particular disaster response; the collective impact of DRR activities or DRM Capacity Building activities in HPA year one etc.
- 4.32 HPA partners will implement a system of peer review to be activated immediately following an emergency response subject to funding. The system will include tools such as:
 - (a) evaluations;
 - (b) joint NGO-AusAID Post assessments;
 - (c) shared analysis of collective NGO and AusAID reporting; and
 - (d) lessons learned exercises.
- 4.33 Over the initial three-year life of the HPA, AusAID and HPA NGOs will participate in two evaluations of disaster response where HPA NGOs have

implemented AusAID-funded emergency response activities and where appropriate will share the evaluations of the response with UN agencies. Joint NGO-AusAID Post assessments should be undertaken where feasible. Lessons learned exercises subject to funding, should be undertaken after every significant response, normally in the context of workshops facilitated by AusAID and ACFID/HRG. If the HPA is extended, Monitoring and Evaluation arrangements will be specified for the extension period.

M&E of HPA Partnership

- 4.34 M&E at the HPA Partnership level will monitor the development of the relationship over time, looking at a range of agreed performance indicators. This will include an annual emergency response desktop exercise to test HPA preparedness and response coordination mechanisms.

Reporting

Emergency Response Reporting

- 4.35 AusAID will accept the Organisation'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 Organisation for the activity. The Organisation will provide a grant-specific expenditure acquittal report to AusAID.
- 4.36 In addition, for every disaster response for which HPA Organisations receive funding, each Organisation will contribute to a brief (no more than four pages) collaborative analytical 'lessons learned' report to be collated by the funded Organisations and submitted to AusAID.

DRR and DRM Capacity Building Reporting

- 4.37 Unless otherwise agreed, reporting for the HPA DRR and DRM Capacity Building component will be based on, and align with the Organisation's standard activity management tools.

HPA Mid-Term Review

- 4.38 AusAID and the HPA Organisations will undertake an initial review of the HPA after approximately 12 months. This will be conducted internally by AusAID and HPA Organisations.
- 4.39 AusAID and HPA Organisations will commission a Mid-Term Review of the HPA to be completed 24 months after the signing of the agreement. 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 HPA

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Organisations. If the HPA is extended past the initial three year term, the requirement for reviews will be specified.

- 4.40 A Final evaluation will also be conducted. This will take the form of a Desk Review and will be led by an independent consultant, with possible participation by AusAID and HPA Organisations

Annexes:

- A. Shared Objectives
- B. Countries Where the Organisation has an Office or is Allocated Lead Agency Within its International Network
- C. Includes (but is not limited to) Countries in the Asia – Pacific Region Where the Organisation has a Footprint of its Own, Sister or Indigenous Organisation
- D. Joint Emergency Response Concept Paper (JERCP) template
- E. Joint Emergency Response Concept Paper Guidance Note

ANNEX A

ANNEX A – SHARED OBJECTIVES

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.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
<p>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 NGO responses.</p>	<p>Collective HPA Partners and HRG function</p>	<p>Meeting of HPA partners convened immediately following a disaster, normally in the context of an HRG coordination teleconference.</p> <p>Partner sitreps, updates on capacity, current activities and indicative responses shared and discussed.</p> <p>AusAID plans for HPA funding discussed, including quantum of funds, focus and priorities, and proposed selection criteria.</p> <p>Communications/coordination action plan agreed.</p>
<p>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’.</p>	<p>Individual Organisation</p>	<p>Evaluations of individual emergency response initiatives and overall Australia assistance delivered through HPA confirm positive impact and application of humanitarian best practice principles.</p>
<p>1.3. HPA NGOs will ensure that emergency response initiatives uphold and protect the rights of all within an affected community, particularly</p>	<p>Collective HPA Partners</p>	<p>HPA emergency response initiatives developed, implemented, monitored and evaluated using participatory approaches and factoring in gender, age, disability, and child</p>

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.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
<p>those most vulnerable in a crisis including women, children, refugees and internally displaced people, elder persons and people with disability.</p>		<p>protection considerations (including intersecting vulnerabilities).</p> <p>ACFID Disability and Development Working Group consulted on disability issues in development and implementation of initiatives.</p> <p>Gender approaches comply with ACFID gender guidelines and international best practice.</p> <p>Gender action plans included in Emergency Response Implementation Plans.</p> <p>Emergency response data collection, analysis and reporting appropriately disaggregated, by gender, age and people with disability.</p>
<p>1.4. HPA NGOs will ensure that emergency response initiatives conform to AusAID environmental guidelines, have no significant negative environmental impacts and pursue opportunities to enhance the environment.</p>	<p>Individual Organisation</p>	<p>Evaluations of HPA emergency response initiatives confirm no significant negative environmental impacts and that opportunities to enhance the environment have been taken up.</p>
<p>1.5. Within a timeframe agreed by the HPA partners, HPA NGOs will collectively submit to AusAID a two-page Joint Emergency Response Concept Paper (JERCP) outlining a proposed package of interventions for AusAID funding consideration.</p>	<p>Collective HPA Partners</p>	<p>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.</p>

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.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
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.		<p>Emergency response funds approved within 48-72 hours and disbursed within one week of the announcement of Australian assistance.</p> <p>Funding process evaluated for compliance with SOPs after each emergency.</p>

Shared Objective 2 – Work together to reduce vulnerability and enhance resilience to disasters and to strengthen disaster preparedness and response capacity.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
2.1 HPA partners will maintain regular dialogue on DRR policy, programming and implementation issues.	HRG function	<p>Regular dialogue between AusAID and NGOs on DRR maintained, e.g. as a permanent agenda item at quarterly HRG meetings.</p> <p>Updated information on DRR policy and programming progress and issues shared with NGOs by AusAID on a regular basis.</p>
2.2 HPA NGOs 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.	Individual organisation	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.

Shared Objective 2 – Work together to reduce vulnerability and enhance resilience to disasters and to strengthen disaster preparedness and response capacity.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
2.3 HPA NGOs will collaborate to ensure that their DRR and DRM Capacity Building initiatives are complementary to those implemented by other HPA partners.	Collective HPA Partners	Evaluations confirm positive impact of individual initiatives and overall Australia assistance delivered through HPA.
2.4 HPA NGOs 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.	Collective HPA Partners	<p>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).</p> <p>ACFID Disability and Development Working Group consulted on disability issues in development and implementation of initiatives.</p> <p>Gender approaches comply with ACFID gender guidelines and international best practice</p> <p>Gender action plans included in DRR and DRM Capacity Building design/implementation documents.</p> <p>DRR and DRM Capacity Building data collection, analysis and reporting appropriately disaggregated, by gender, age and people with disability.</p> <p>DRM Capacity Building initiatives include support for development of NGO and</p>

Shared Objective 2 – Work together to reduce vulnerability and enhance resilience to disasters and to strengthen disaster preparedness and response capacity.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
		partner NGO gender-sensitive recruitment practices and staff gender analysis skills.
2.5 HPA NGOs will ensure that DRR initiatives conform to AusAID environmental guidelines, have no significant negative environmental impacts and pursue opportunities to enhance the environment.	Individual Organisation	Evaluations of HPA DRR initiatives confirm no significant negative environmental impacts and that opportunities to enhance the environment have been taken up.

Shared Objective 3 – Strengthen collaboration and partnership between AusAID and NGOs working in the humanitarian and disaster management sectors.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
3.1 HPA NGO 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.	Collective HPA Partners	Capacity mapping template developed and agreed by HRG members. HPA NGO capacity and resource mapping accurate and updated annually.
3.2 AusAID and HPA NGOs 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	HRG function	Shared NGO-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

Shared Objective 3 – Strengthen collaboration and partnership between AusAID and NGOs working in the humanitarian and disaster management sectors.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
and events calendar.		interest.
3.3 AusAID acknowledges the right of HPA NGOs 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.	HRG function	<p>Agreed protocols for engaging with NGOs in consultation processes followed by AusAID.</p> <p>Quarterly updates provided by AusAID to the HRG on policy developments.</p> <p>Collective and (where appropriate) individual feedback provided by HRG NGOs to AusAID in the context of both formal policy and strategic consultations and informal dialogue.</p>
3.4 HPA NGOs acknowledge the role of AusAID in implementing Australian Government policies and the need for confidentiality of Government information.	Individual Organisation	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.	Collective HPA Partners	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 NGOs in accordance with AusAID SOPs.

Shared Objective 4 – Strengthen information sharing, monitoring and evaluation and lesson-learning.		
Partnership Commitments	Responsibility	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.	HRG function	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 accountability, HPA NGOs will share HPA activity reports with HPA partners. Partners reserve the right to edit issues relating to security or of a confidential nature.	Collective HPA Partners	HPA activity M&E and key findings and lessons learned documents shared with HPA partners.
4.3 HPA NGOs will collaborate and share lessons learned with AusAID and the sector on good practice approaches to humanitarian response issues.	HRG function	<p>Joint reviews and lessons-learned exercises involving HPA NGOs and AusAID conducted, either in-country or in Australia.</p> <p>At least two ACFID HRG-AusAID humanitarian seminars facilitated annually by AusAID, subject to funding.</p>
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.	Collective HPA Partners	<p>AusAID and HPA NGO joint participation in at least two evaluations in the three-year initial phase of HPA.</p> <p>Annual emergency response desktop exercises conducted, subject to funding. HPA mechanisms, procedures and initiatives reviewed in light of desktop exercise and adjusted as</p>

Shared Objective 4 – Strengthen information sharing, monitoring and evaluation and lesson-learning.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
		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.	HRG function	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 NGOs.	Collective HPA Partners	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-NGO humanitarian partnership, its work and achievements.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
5.1 HPA partners will develop and implement a joint visibility plan that will include branding guidelines.	Collective HPA Partners	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	HRG function	Collective contributions data shared, collated and reported to OCHA. This may be by local partners as required.

Shared Objective 5 – Build public awareness and visibility of the AusAID-NGO humanitarian partnership, its work and achievements.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
data is reported to, and recorded by, OCHA in its global contributions database.		
5.3 HPA NGOs will acknowledge Australian Government support to the NGO’s humanitarian programs through media engagement, communications, public affairs, annual reports.	Individual Organisations	Australian Government support acknowledged in HPA NGO media and communications and in annual reporting.
5.4 AusAID will acknowledge Australian Government partnership with, and the work of, HPA NGOs through media engagement, communications, public affairs, and annual reports.	Individual Organisations	Acknowledgement of HPA partnership and the work of NGOs in media and annual reporting.
5.5 HPA NGOs 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 opportunities arise, and with the HPA Emergency Response Implementation Plan and the HPA completion report.	Collective HPA Partners	Good news stories provided to AusAID by HPA NGOs in a format agreed with AusAID. AusAID in public affairs and briefing material.
5.6 AusAID will provide feedback to the NGOs on stories submitted, including on utilisation in public affairs and briefing material.	Individual Organisations	Feedback provided to NGOs 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	Collective HPA Partners	HPA partner participation in relevant public awareness opportunities.

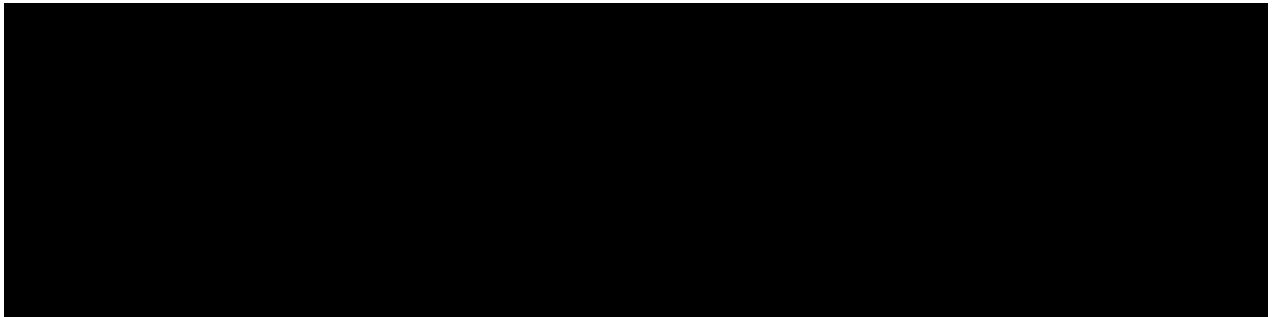
Schedule 2 – FINAL Head Agreement Agreement xxxxx

Shared Objective 5 – Build public awareness and visibility of the AusAID-NGO humanitarian partnership, its work and achievements.		
Partnership Commitments	Responsibility	Partnership Performance Indicators
Reduction Day.		

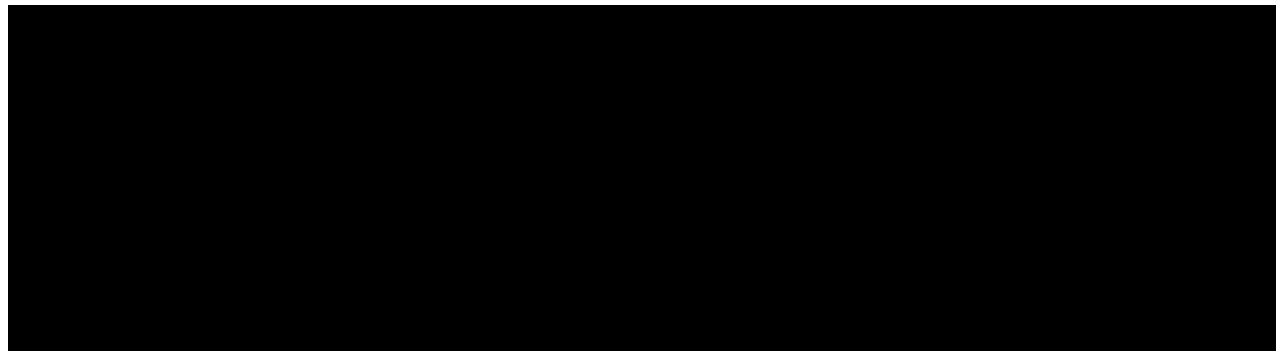
ANNEX B

**ANNEX B - COUNTRIES WHERE THE ORGANISATION HAS AN OFFICE
OR IS ALLOCATED LEAD AGENCY WITHIN ITS INTERNATIONAL
NETWORK**

1. For the purpose of the Head Agreement, AusAID recognises the Organisation to have capacity demonstrated by offices for which the Organisation has direct management responsibility in the following countries:



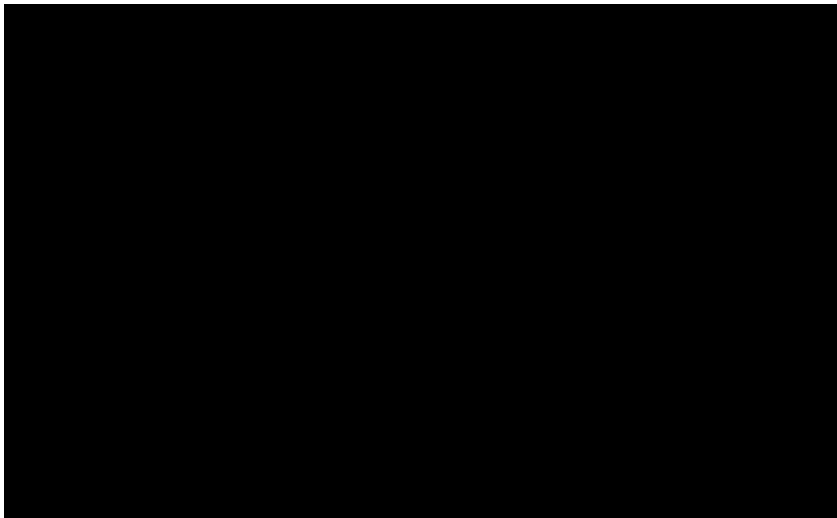
2. For the purpose of the Head Agreement, AusAID recognises the Organisation to have capacity demonstrated by having an office or being allocated lead agency for these countries within its international network (**[insert name]**):



ANNEX C

ANNEX C – INCLUDES (BUT IS NOT LIMITED TO) COUNTRIES IN THE ASIA – PACIFIC REGION WHERE NGO AUSTRALIA HAS A FOOTPRINT OF ITS OWN, SISTER OR INDIGENOUS ORGANISATION

1. For the purposes of the Head Agreement, AusAID recognises the Organisation to have a footprint of its own organisation, or sister organisation, or partnerships with indigenous organisations in the countries listed below. This list may be updated by variation to the Agreement when other countries meet the criteria for listing in this Annex. The countries are:
 - a. Those countries listed at Annex B,



ANNEX D

ANNEX D – JOINT EMERGENCY RESPONSE CONCEPT PAPER (JERCP)

(JERCP template to be developed by AusAID in consultation with HPA NGOs for implementation once HPA has commenced.)

Format for JERCP template will be agreed separately.

ANNEX E

ANNEX E – Joint Emergency Response Concept Paper Guidance Note

(JERCP Guidance note to be developed for implementation once HPA has commenced.)

Format for JERCP Guidance Note will be agreed separately.