Australian Humanitarian Partnership: A partnership between DFAT and Australian NGOs

"Build diverse and inclusive partnerships that reaffirm the core humanitarian principles, support effective and people-driven humanitarian action, enable first responders to take a leadership role, and leverage the power of innovation"

Restoring Humanity Global Voices Calling for Action, Synthesis of the Consultation Process for the World Humanitarian Summit, 2015.

11 May 2016

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Glossary of Terms

This design uses terminology in accordance with the 3 March 2016 draft working text on terminology of the *Sendai Indicator Working Group on Indicators and Terminology*.[1] These definitions will be amended, as necessary, to reflect the definitions in the final text which is due to be adopted in early 2017.

ACFID

Australian Council for International Development.

ADF

Australian Defence Force.

ANCP

Australian NGO Cooperation Program.

ANGO

Australian Non-Government Organisation.

ARC

Australian Red Cross.

Build back better

The guiding principle to utilise the reconstruction process to improve living and environmental conditions including through integrating disaster risk reduction into development measures, making nations and communities more resilient to disasters.

Climate change

Climate change refers to a change in the state of the climate that can be identified (e.g., by using statistical tests) by changes in the mean and/or the variability of its properties, and that persists for an extended period, typically decades or longer. Climate change may be due to natural internal processes or external forcings such as modulations of the solar cycles, volcanic eruptions, and persistent anthropogenic changes in the composition of the atmosphere or in land use.

DFAT

Australian Government Department of Foreign Affairs and Trade.

Disaster

A serious disruption of the functioning of a community or a society due to hazardous events interacting with conditions of vulnerability and exposure, leading to widespread human, material, economic and environmental losses and impacts.

[1] http://www.preventionweb.net/files/47136_workingtextonterminology.pdf, 3 March 2016. Accessed 8 March 2016.

Disaster management (DM)

The organisation, planning and application of measures preparing for, responding to, and assisting initial recovery from disasters. Note: Disaster risk management (see below) may not completely avert or eliminate the threats. Disaster management focuses on creating and implementing preparedness and other plans to decrease the impact of hazards and build back better. Failure to create or apply a plan could lead to damage to life, assets and lost revenue.

Disaster risk

Disaster risk is considered to be a function of hazard, exposure and vulnerability. It is normally expressed as a probability of loss of life, injury or destroyed or damaged assets which could occur to a system, society or a community in a specific period of time.

Disaster risk management (DRM)

Disaster risk management is the application of disaster risk reduction policies, processes and actions to prevent new risk, reduce existing disaster risk and manage residual risk contributing to the strengthening of resilience. Note: Disaster risk management includes actions designed to avoid the creation of new risks, actions designed to address pre-existing risks, and actions taken to address residual risk and reducing impacts on communities and societies.

Disaster Risk Reduction (DRR)

Disaster risk reduction is the policy objective aimed at preventing new and reducing existing disaster risk and managing residual risk, all of which contributes to strengthening resilience.

GBV

Gender-based violence.

HPA

DFAT-NGO Humanitarian Partnership Agreement (2011-2016).

HRG

ACFID Humanitarian Reference Group.

INGO

International Non-Government Organisation.

MEL

Monitoring, evaluation and learning.

Natural hazard

Natural process or phenomenon that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage.

NGO

Non-Government Organisation.

NZMFAT

New Zealand Ministry of Foreign Affairs and Trade.

ODI

Overseas Development Institute.

OECD DAC

Development Assistance Committee of the Organisation for Economic Cooperation and Development.

Pacific region

Note: For the purposes of the Australian Humanitarian Partnership, Timor Leste is considered to be part of the Pacific region.

Recovery

Decisions and actions aimed at restoring or improving livelihoods, health, as well as economic, physical, social, cultural and environmental assets, systems and activities, of a disaster-affected community or society, aligning with the principles of sustainable development, including build back better to avoid or reduce future disaster risk.

Resilience

The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.

Sendai Framework

Sendai Framework for Disaster Risk Reduction (2015-2030).

Executive Summary

Investment Rationale

Conflict and the negative impact of natural hazards undermine growth, and increase poverty and insecurity. The Indo-Pacific is one of the most hazard-prone regions in the world, and Pacific Island countries are particularly vulnerable.

I**t is in Australia's national interest to have a stable and economically productive region.** Reducing risk is a priority not only to save lives but also to provide a platform to build resilience through which continuity of business, service delivery and livelihoods can be sustained when adversity strikes.

Australia has a tradition of supporting those facing humanitarian crises overseas. Disaster risk reduction and humanitarian response (relief and early recovery) are core responsibilities of DFAT. The Department is well positioned to provide this support, particularly in our region where Australia is looked upon to play a leadership role.

Investment Description and End of Investment Outcomes

This Investment Design[2] **describes an "Australian Humanitarian Partnership."**[3] **This partnership incorporates a funding mechanism which operates under the auspices of the existing relationship between DFAT and Australian NGOs (ANGOs**) who are members of the ACFID Humanitarian Reference Group (HRG). The investment builds on DFAT's history of partnering with experienced ANGOs to deliver humanitarian assistance. It will replace the current *DFAT-NGO Humanitarian Partnership Agreement (HPA)* which is due to expire in 2016.

The **partnership's goal** is to save lives, alleviate suffering and enhance human dignity during and in the aftermath of conflict, disasters and other humanitarian crises, as well as to strengthen capacity to prepare for and recover from the occurrence of such situations.

The **purpose of the partnership** is to strengthen collaboration and innovation to deliver effective humanitarian assistance and support local communities to take a leadership role in preparedness, response, early recovery, risk reduction and resilience efforts.

Contributing to this purpose are three end-of-investment outcomes:

1. **Effective response and early recovery**: target populations receive timely and high quality humanitarian assistance appropriate to the context; and are well supported in early recovery.

[2] See Annex 7 for terms of reference for the design process.

[3] The "Australian Humanitarian Partnership" is a working title for the partnership. It is an indicative title only. The design team anticipates that, once active, the partners will debate and agree on a name (or brand) for this partnership.

2. **Local humanitarian capability in the Pacific** is strengthened to anticipate, prepare for, respond to and reduce risks from natural hazards; and **Pacific communities are more resilient** to the impacts of natural hazards.
3. **The DFAT-HRG partnership is strengthened**: HRG member NGOs, their local partners and DFAT work together more effectively.

Priorities of the partnership include:

- **Emergency capacity**: Rapidly mobilising Australian assistance and effectively coordinating responses to crises when it is needed to augment local efforts.
- **Early recovery**: Response efforts including support for early recovery and the transition from humanitarian relief to longer-term recovery and development.
- **Resilience and risk reduction in the Pacific**: Supporting communities to anticipate disasters and crises and take practical steps to protect their own lives, livelihoods and economies.
- **Protection and inclusion**: Supporting those in situations of vulnerability, including women, children and people with disabilities, to live safer and more dignified lives and strengthening protection mechanisms, particularly from sexual and gender based violence.
- **Leadership by women and people with disabilities**: elevating the role of women and people with disability in decision making. The partnership will support their full participation, and recognise their capacity as leaders and participants.
- **Innovation and learning**: Supporting innovation in response and community resilience initiatives; engagement with the private sector and ensuring sector-wide learning to improve program design and delivery.
- **Public awareness:** Leveraging each other's networks to effectively communicate the impact of Australia's response to the Australian public and other key stakeholders.
- **Relationships:** Strong relationships and engagement with local communities and experience working in partnership with national governments.

This investment is closely aligned to DFAT's (draft) Humanitarian Strategy. This partnership will make specific contributions across all four of Australia's strategic objectives identified in the strategy: strengthen international humanitarian action; reduce disaster risk; support preparedness and effective response; and enable early recovery.

Delivery Approach

The Australian Humanitarian Partnership has been designed to enhance the existing relationship between DFAT and the fifteen members of ACFID's Humanitarian Reference Group (HRG).[4] The established partnership between DFAT and HRG members will be strengthened, with an emphasis on strategic dialogue and improved inter-agency coordination and collaboration. While DFAT funding will not

[4] HRG Member NGOs: ActionAid; Act for Peace; Adventist Development and Relief Agency (ADRA); Australian Lutheran World Service; Australian Red Cross; CARE Australia; Caritas Australia; ChildFund Australia; Habitat for Humanity Australia; Oxfam Australia; Plan International Australia; RedR Australia; Save the Children Australia; Transform Aid International; World Vision Australia.

flow to all HRG member NGOs, they can all choose to be full participants in strategic dialogue, open communication, and lesson learning activities as facilitated by a Support Unit funded under the partnership.

Under this partnership, DFAT will select a small number of HRG member NGOs for funding, through a competitive procurement process, based on a detailed assessment of capabilities across five domains.[5] This will give DFAT the confidence that they are working with the best placed ANGOs in different crises and in different contexts.

The same **4-6 HRG member NGOs** will be selected by DFAT to be eligible for response funding (including early recovery) and to receive multi-year funding to support local humanitarian capability in the Pacific and build the disaster resilience of Pacific communities. Applications will be restricted to HRG member NGOs. HRG members applying for funding are encouraged to consider consortia arrangements that enable them to demonstrate strong capacity over all five domains of capability. Consortia led by an HRG member and involving non-HRG members will be eligible to apply. **Consortia arrangements are encouraged but not required.**

Response funding (including early recovery), and the decision-making processes and timeframes around it, have been tailored to different crises. That is, under this design, **approaches to and procedures for a rapid-onset crisis are significantly different to procedures for a protracted or slow onset crisis**. (Refer to Section 3: Delivery Approach for details).

The 4-6 selected NGOs will **participate with DFAT in a 'design-and-implement' inception phase** in 2016-17 for the **multi-year funding** to support local humanitarian capability and build the disaster resilience of Pacific communities. During this inception phase, partners will work with DFAT to determine the priorities, partnerships and program initiatives to be pursued with an emphasis on collaboration in-country. The inception phase will include systematic mapping, gap analysis and coordination with local actors to ensure this investment reaches it proposed outcomes, and strengthens (rather than undermines) local capacity. The split of funding between different activities and countries will be determined during this phase. DFAT staff at Post will be engaged as part of this process.

The partnership will be supported by a small unit. An organisation to host the Support Unit will be selected through a competitive procurement process. DFAT envisages that the competitive process will draw interest from organisations in the non-government sector including possibly HRG NGO members and/or peak bodies such as ACFID. The procurement process will also be open to private sector bodies. The work of the Unit will support the achievement of all three end-of-investment outcomes. The Support Unit must have the capacity to enter into contractual agreements with the 4-6 HRG member NGOs pre-selected to receive DFAT funding. The Unit will add value to all partnership members by facilitating information

[5] Selection will be based on an assessment of capabilities across five domains: response to rapid-onset crises (including early recovery); response to protracted and slow-onset crises (including early recovery); building local humanitarian capacity and strengthening the disaster resilience of Pacific communities; protection and inclusion expertise; and partnership capacity.

sharing, and supporting innovation, monitoring, evaluation and learning and public awareness activities.

Innovation and Risk

The partnership will support innovation in humanitarian action by mainstreaming innovation across all outcome areas. In support of DFAT's (draft) Humanitarian Strategy, DFAT will seek to foster within the partnership "an environment where the use of innovative methods is encouraged".[6] In the initial two years of the partnership, it is anticipated that mainstreaming efforts may focus on exploring innovative approaches to humanitarian response (including early recovery) and capacity building through partnerships with the **private sector**.

The significant investment in the Pacific region envisaged in this design reflects DFAT's policy focus as outlined in its (draft) Humanitarian Strategy. The increased investment under this partnership is both an opportunity and a risk. It presents an opportunity for DFAT to support a fit-for-purpose humanitarian system in the Pacific. However, it also presents risks around ineffective coordination and duplication of effort resulting in limited impact. Further work is required to identify the specific contribution that this partnership can make. Critical to this effectiveness will be ensuring that programming under this partnership complements other DFAT investments in the region (i.e. through ANCP[7] and bilateral and regional programs). **To mitigate these risks,** the design proposes investing in a collaborative 'design and implement' inception phase, starting small, and scaling up activities over time, based on effectiveness and lessons learned.

Timeframe and Resource Commitments

The partnership will operate over 5 years (2016-2021) and with an indicative allocation of AUD 50million (TBC). (See page 30 for budget breakdown). **Funding for specific humanitarian responses will be additional** to core funding.

Value for money will be maximised by leveraging existing arrangements, improving coordination between partners (including through joint activities) and avoiding duplication of investments. These elements, combined with a focus on strengthening local actors, will produce better programming.

The investment will be supported by the establishment of a small unit to assist the ongoing functioning of the partnership and its components. The Support Unit will be staffed by three people (a Partnership Director; a Monitoring, Evaluation and Learning Officer; and a Communications/Support Officer), and will have access to external technical expertise.

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[6] DFAT's Humanitarian Strategy (draft), February 2016.

[7] Australian NGO Cooperation Program (ANCP).

2. Analysis and Strategic Context

Global and Regional Context

Humanitarian action is designed to save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of emergencies.

Globally, humanitarian needs continue to increase: over 58 million people (the highest number to-date) were reportedly forced to flee from violence or persecution in 2014, and a further 107.3 million people were affected by natural hazards.[8] And while global international humanitarian assistance increased by 19% in 2014[9], a large funding gap remains. UN-coordinated appeals, for example, failed to meet their requirements, revealing a global shortfall of USD 7.5 billion (38%) - the highest funding gap yet.[10]

Developing countries, and the poor, are disproportionately affected by disasters. Recent estimates suggest that 93% of people living in extreme poverty are in countries that are either "politically fragile, environmentally vulnerable or both".[11] Conflict and natural hazards destroy lives and livelihoods, and undermine economic growth. Estimated economic losses due to natural hazards worldwide "may now be as high as USD 300 billion a year".[12]

The Indo-Pacific is one of the most hazard-prone regions in the world.[13] Population growth, unplanned and rapid urbanisation, climate-related changes, and environmental degradation are contributing to increasing disaster risks in our region.

Pacific island nations are particularly vulnerable. Four of the top 10 countries listed on the *2014 United Nations World Risk Index* – which ranks countries' risk of being subject to natural hazards – are Pacific island nations (Vanuatu is 1st – with the greatest risk of natural hazards worldwide – Tonga is 3rd, Solomon Islands 6th, PNG 10th). And while the Pacific has relatively small numbers of people affected by different types of hazards compared to other regions, the economic pressure in recovering is often disproportionate to the economic capacity of many Pacific island countries.[14]

Australia is susceptible to natural hazards and is recognised globally for its disaster management (DM), disaster risk management (DRM), and disaster risk reduction (DRR) expertise. Australia has a tradition of supporting those facing humanitarian

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[8] Global Humanitarian Assistance Report 2015.

[9] With contributions totalling USD 24.5 billion.

[10] Global Humanitarian Assistance Report 2015.

[11] Global Humanitarian Assistance Report 2015.

[12] UN Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator Stephen O'Brien Opening Remarks to the Global Consultation for the World Humanitarian Summit Geneva, 14 October 2015.

[13] http://www.unescap.org/our-work/ict-disaster-risk-reduction.

[14] *Humanitarian Trends and Challenges for the Pacific Region*, Paper prepared by ODI for the World Humanitarian Summit's Regional Consultation, July 2015.

crises overseas and the Australian community makes generous contributions, providing their own expertise, time and money.

Development Issues Analysis

The effectiveness of the humanitarian system and the roles of different actors are under intense scrutiny. The first-ever *World Humanitarian Summit* will be held in 2016. The Summit is expected to be a critical moment to set a 'new vision' on how to meet the needs of the millions of people affected by conflicts and natural hazards. Consultations leading up to this summit, including regional consultations in the Pacific, are calling for a change in how we prepare for and respond to crises, and in how we work together.[15]

Central to this call for change is the importance of 'localisation': that is the role of national and local actors in preparing for and responding to crises. Domestic governments should and often do take the lead in crisis response and resilience-building. However, national and local resources and capacities are often low in the very places most vulnerable to hazards.[16] The complexities of the localisation agenda have particular relevance to Australia's role in the Pacific, and to how an investment that works with ANGOs can supplement the capacities of affected communities and national and local efforts.

Reducing disaster risk is critical in reducing vulnerability and building resilience of people and property and in protecting economic growth. The *Sendai Framework for Disaster Risk Reduction (2015-2030)* represents an international consensus on the importance of investments to prevent and reduce risk and to strengthen resilience. The Framework called for a shift of emphasis from disaster management to disaster risk management.[17]

Climate change is increasing the frequency and intensity of climate-related natural hazards and, potentially, bio-hazards.[18] The Pacific region is particularly vulnerable, being prone to climate-related hazards including cyclones, severe storms, flooding, and drought. It is also encircled by the 'ring of fire' marked by the subduction zones of several tectonic plates. Like all aspects of life, climate change has a gender dimension. Leading academics have warned that global warming will inflict far more suffering on women than men because they are more vulnerable to the floods, droughts and diseases that are expected to increase as the climate changes. An example of this was seen in the 1991 Bangladesh cyclone when 90 per cent of the 150,000 people killed were women.[19]

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[15] Between May 2014 and July 2015, eight regional consultations involving more than 23,000 people, as well as major thematic and stakeholder consultations and online dialogues took place, backed by over 400 written submissions.

[16] Global Humanitarian Assistance Report 2015.

[17] Sendai Framework for Disaster Risk Reduction 2015-2030.

[18] https://www.ipcc.ch/pdf/special-reports/srex/SREX_Full_Report.pdf.

[19] http://www.independent.co.uk/environment/climate-change/climate-change-women-more-vulnerable-to-dangers-of-global-warming-than-men-say-leading-academics-a6717311.html.

Humanitarian crises impact people differently. People are more vulnerable due to poverty, inequality and marginalisation (i.e. on the basis of gender, gender identity, age, disability, and/or sexual orientation). **Women and men, boys and girls have different needs in crises as well as different contributions to make and capacities to respond**. In many situations, women and girls are disproportionately affected by natural hazards and conflict. **People with disabilities are amongst the most vulnerable**. Over the past decade, there has been an increased focus on the importance of understanding vulnerability including on addressing gender equality and disability inclusion in humanitarian action. When humanitarian action fails to do so, it can result in unequal access to humanitarian support, lack of protection against sexual and gender-based violence and inadequate engagement of women and people with disabilities in leadership roles.

Humanitarian financing is also under scrutiny - this is due in part to the recognition that international humanitarian assistance alone is not sufficient in meeting the humanitarian needs of crises today.[20] Funding patterns show that OECD DAC donors typically channel around 19% of their international humanitarian assistance directly through NGOs, and around 62% through multilateral organisations (primarily UN agencies). In 2014–15, DFAT provided a total of AUD 215.7 million in response to 19 different humanitarian crises. Approximately 10% of this funding was channelled through NGOs, with 44% going to UN agencies.

Evidence and Lessons Learned

DFAT's own experience and global evidence around humanitarian effectiveness have informed the design of this investment.

There are many rich lessons from the *DFAT-NGO Humanitarian Partnership Agreement (2011-2016).*[21] Most recently, an independent review of this agreement found that the HPA has been an innovative model that has delivered good outcomes:

- It consistently delivered fast emergency response funding. In many instances, this enabled Australia to be one of the first donors to get support on the ground after a humanitarian crisis.
- The predictable, multi-year nature of the DRR and DRM funding supported long-term planning and helped build strong partner relationships.
- It moved the DFAT-NGO relationship away from a transactional approach to one involving a greater sense of collaboration.[22]

However, the review also identified some **issues which are constraining the HPA's ability to achieve its full potential**. These include:

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[20] ibid.

[21] The HPA is a partnership between six pre-selected Australian NGOs (CARE Australia, Caritas Australia, Oxfam Australia, Plan International Australia, Save the Children Australia and World Vision Australia) and the Australian Government.

[22] See Review of the DFAT-NGO Humanitarian Partnership Agreement (2011-2016), July 2015.

- the competitiveness of the peer review
- the appropriateness of the mechanism for protracted crises
- the purpose of the partnership and of the strategic dialogue
- the lack of public awareness and visibility, and
- some aspects of monitoring, evaluation and learning.

A summary of lessons relevant to the design can be found at **Annex 1**.

Global discussions around humanitarian effectiveness have also influenced the design. Good Humanitarian Donorship principles call on donors to "strive to achieve predictability and flexibility in funding" (GHD principle 12).[23] Many are also suggesting the need for a fundamental shift in the humanitarian business model – "from a culture and set of practises that tend towards insularity, reactiveness and competition towards an enterprise rooted in anticipation, transparency, research and experimentation, and strategic collaboration".[24]

Recent research by the Overseas Development Institute (ODI) found that humanitarian effectiveness will be improved by a more locally-rooted or inclusive humanitarian community which "leverages the capacities (and the responsibilities) of states, civil society and affected communities, supported by international actors".[25] OECD research is also extensive in this area. Some relevant recommendations include the importance of working with different partners recognising their comparative advantage, the need to move away from a one-size fits all response model, and the need to recognise (in policy and programming) that humanitarian effectiveness is a shared responsibility but different actors have different roles to play.[26]

The global discussion around the role of International NGOs (INGOs) is also relevant to this investment. INGOs are recognised to have specific capabilities to offer, including their field-based knowledge and established relationships. However, global research points to their future role in the humanitarian sector changing, bringing with it new ways that INGOs can add value. These new ways include NGOs as innovators: identifying and demonstrating innovative practices that will be needed, particularly for prevention and preparedness. It also speaks to INGOs as actors who can "support capacity-building both at community and central levels to promote resilience and sustainability".[27]

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[23] *Towards Better Humanitarian Donorship: 12 Lessons from DAC Peer Reviews*, OECD, 2012.

[24] *Future Humanitarian Financing: Looking Beyond the Crisis*, a report of the findings of the Future Humanitarian Financing (FHF) dialogue process, 2015.

[25] *ODI: Humanitarian Policy Group: "Localising humanitarianism: improving effectiveness through inclusive action"* (July 2015).

[26] *Imagining More Effective Humanitarian Aid: A Donor Perspective*, OECD Development Cooperation Working Paper 19, October 2014.

[27] *Humanitarian Futures Programme: The Future of NGOs in the Humanitarian Sector (August 2013)* – A discussion paper for the START Network.

Strategic Rationale for DFAT Engagement

It is in Australia's national interest to have a stable and economically productive region. Conflict and natural hazards undermine growth, and increase poverty and insecurity. Reducing risk is a priority not only to save lives but also to provide a platform to build resilience and support sustainable economic growth.

The Australian Government is committed to responding rapidly to international humanitarian crises, with DFAT as the lead Australian Government department in preventing, preparing for, responding to, and recovering from international humanitarian disasters and other crises. Disaster risk reduction, humanitarian response and supporting early recovery are core responsibilities of DFAT, as reflected in the Australian Government's aid policy under the investment priority "*Building Resilience: Humanitarian Assistance, Disaster Risk Reduction and Social Protection*".

It is widely acknowledged that crisis-affected people will be better served if the humanitarian community draws upon a range of actors including the affected population themselves, depending on their comparative advantages.[28] DFAT has a range of options available when responding to humanitarian crises, including:

- multilateral partners like the United Nations
- Red Cross
- deployment of specialised personnel
- providing relief supplies and logistics; and
- partnerships with Australian NGOs.

This Investment Design builds on DFAT's history of working with ANGOs to deliver humanitarian assistance and to contribute to more resilient communities.[29] This investment will replace the current *DFAT-NGO Humanitarian Partnership Agreement (HPA)* which is due to expire in 2016.

This investment and its outcomes are closely aligned to DFAT's (draft) Humanitarian Strategy. The overarching goal of this Strategy is to save lives, alleviate suffering and enhance human dignity during and in the aftermath of conflict, disasters and other humanitarian crises, as well as to prevent and strengthen preparedness for the occurrence of such situations. To meet this goal, the Strategy identifies four strategic objectives: strengthen international humanitarian action; reduce disaster risk; support preparedness and effective response; and enable early recovery. This investment will make specific contributions across all four of these objectives.

Australia is well positioned to respond, particularly within our region where Australia is looked upon to play a leadership role. The investment will be a vehicle to

[28] Global Humanitarian Assistance Report 2015.

[29] The current DFAT-NGO Humanitarian Partnership Agreement (2011-2016) replaced the Periodic Funding Agreements for Disaster Risk Management Program 2006-2009.

also give practical application to DFAT's aspirations coming out of the *World Humanitarian Summit* and support initiatives, such as Pacific Island Forum agreements and the Government's commitments under the *Sendai Framework*.

ANGOs have consistently demonstrated their ability to deliver fast response funding, which in many instances has enabled Australia to be one of the first donors to respond on the ground after a crisis.[30] ANGOs also have particular expertise, networks and reach to support the poorest and most vulnerable in communities, making them well placed to deliver humanitarian assistance and to strengthen local capacity and resilience building at the community level.

There are considerable public awareness benefits to a partnership with ANGOs. In 2013-14, the Australian community donated more than AUD 65 million to humanitarian appeals run by ACFID members.[31] A partnership between DFAT and ANGOs can complement and strengthen Australia's overall response, as well as present a visible expression of Australia's collective effort.

Australia is a major donor in the Pacific. The investment will contribute to the development of a more effective humanitarian system in the Pacific (including in Timor Leste), selectively working with ANGOs who can demonstrate strong local capacity and established community networks and relationships. The design will also ensure greater coordination of the Department's regional, bilateral and other investments (such as through ANCP), particularly as they relate to the Pacific region.

Supporting local humanitarian capability and being accountable to crisis-affected populations will be features of the investment, as will a strong focus on **protection, gender and inclusion** (including through support to strengthen sector-wide learning to improve program design and delivery). The investment will seek to improve the **public visibility** of Australia's collective and coordinated efforts. **The partnership will foster an environment which supports innovation** and build on **ANGOs' links with the private sector**.

In summary, drawing on the evidence and lessons learned, as well as consultations with ANGOs, ACFID and DFAT, this Investment Design presents a strong case for a continued partnership with ANGOs that builds on the HPA, and invests in:

- Delivering coordinated humanitarian assistance (including early recovery activities) which is effective, timely, and appropriate to the context
- Building local humanitarian capability and strengthening disaster resilience of communities in the Pacific
- A strengthened partnership between DFAT and ACFID's HRG which facilitates innovation, learning and public awareness activities.

The investment will be assisted by the establishment of a small unit to support the ongoing functioning of the partnership and its components.

[30] *Humanitarian Financing in Australia: Scoping Report on Comparative Mechanisms*, Humanitarian Advisory Group, 2012.

[31] ACFID's Annual Statistical Survey (2013-2014).

3. Investment Description

Draft Program Theory

The **partnership's Theory of Change** is presented in a diagram in **Annex 2.** It is presented as a draft with the recommendation that the **partnership's program theory be tested and refined with partners in the early stages of the inception phase.** The design team recommends that the measures of success also be reviewed by partners, and refined as necessary by the Support Unit, once the partnership is operational**.**

The draft Theory of Change proposes the short term, medium term and end of investment outcomes that are expected to result from the three interconnected outcome areas:

1. **Response and early recovery**
2. **Building local humanitarian capability and strengthening disaster resilience of communities in the Pacific**
3. **The DFAT-HRG partnership**

The key assumptions underpinning the success of the Theory of Change are depicted in numbers in the arrows in the diagram, and in narrative form **(see Annex 2)**. The partnership's (draft) **Theory of Action** which outlines measures of success for outcomes and explains how the partnership has been designed to activate these outcomes is presented in **Annex 3. The Theory of Change and the Theory of Action form the basis of the MEL framework. The design team recommends that the MEL framework be further developed by the Support Unit in collaboration with partners during the inception phase.**

Goal: The partnership's ultimate goal is to save lives, alleviate suffering and enhance human dignity during and in the aftermath of conflict, natural disasters and other humanitarian crises, as well as to strengthen capacity to prepare for and recover from the occurrence of such situations.

The **purpose of the partnership** is to strengthen collaboration and innovation to deliver effective humanitarian assistance and support local communities to take a leadership role in preparedness, response, early recovery, risk reduction and resilience efforts.

End of Investment Outcomes: Contributing to this purpose are three outcomes:

1. Effective response and early recovery: target populations receive timely and high quality humanitarian assistance appropriate to the context; and are well supported in early recovery.
2. Local humanitarian capability in the Pacific is strengthened to anticipate, prepare for, respond to and reduce risks from natural hazards; and Pacific communities are more resilient to the impacts of natural hazards.

3. The DFAT-HRG partnership is strengthened: HRG member NGOs, their local partners and DFAT work together more effectively.

PRIORITIES:

- **Emergency capacity:** Rapidly mobilising Australian assistance and effectively coordinating responses to crises when it is needed to augment local efforts.
- **Early recovery**: Response efforts including support for early recovery and the transition from humanitarian relief to longer-term recovery and development.
- **Resilience and risk reduction in the Pacific:** Supporting vulnerable communities to anticipate disasters and crises and take practical steps to protect their own lives, livelihoods and economies.
- **Protection and inclusion:** Supporting those in situations of vulnerability, including women, children and people with disabilities, to live safer and more dignified lives and strengthening protection mechanisms, particularly from sexual and gender based violence.
- **Leadership by women and people with disabilities**: elevating the role of women and people with disability in decision making. The partnership will support their full participation, and recognise their capacity as leaders and participants.
- **Innovation and learning:** Supporting innovation in response and community resilience initiatives; engagement with the private sector and ensuring sector-wide learning to improve program design and delivery.
- **Public awareness**: Leveraging each other's networks to effectively communicate the impact of Australia's response to the Australian public and other key stakeholders.
- **Relationships:** Strong relationships and engagement with local communities and experience working in partnership with national governments.

Outcome Area 1: Response and early recovery

End of Investment Outcome: Effective response and early recovery: target populations receive timely and high quality humanitarian assistance appropriate to the context; and are well supported in early recovery.

Under the partnership, DFAT will provide funding for humanitarian response to crises (including rapid-onset, protracted and slow-onset crises). This is the priority focus of the partnership. Short term outcomes in this outcome area will occur as the funding is activated. The pre-selection process will be designed to ensure the best positioned partners are selected to deliver crisis responses (using tailored approaches for rapid onset and protracted/slow onset crises). Building on the strengths of the HPA, funds will reach the ground quickly, allowing Australia to be one of the first international partners to respond.

Funded NGO partners will deliver response activities complementary to the Core Humanitarian Standard on Quality and Accountability. The medium term outcomes represented in this outcome area outline the key outcomes that partners are expected to deliver through their response approaches. Funded NGO partners will

leverage their local, international and private sector links within initiatives in-country. This will enable them to work with others to achieve more, enhancing value for money.

The transportation and distribution of supplies and 'gifted' goods (physical supplies provided by the Australian Government) **will be effectively managed during responses**. Strong coordination will occur between DFAT, funded NGO partners, the ADF (as appropriate), and other providers to ensure efficient transportation and distribution of goods for their intended purposes.

Building on the strong practice of the HPA, funded NGO partners will deliver inclusive responses which protect and meet the individual needs of men, women, girls and boys including people with disabilities. Response activities will be informed by a robust gender analysis, in a way that considers the changing gender roles and power dynamics of crisis situations. Opportunities will also be provided for standalone gender-based violence (GBV) protection programming.

Response efforts will include early recovery assistance to support the smooth transition from humanitarian relief to longer-term recovery and development. Early recovery investments will help localise a post-crisis response by empowering local actors, including marginalised and vulnerable groups, and supporting the local private sector. Early recovery activities can take many forms, including:

- Restoring basic services (e.g. health, education and infrastructure)
- Reviving markets and livelihoods
- Supporting protection measures that alleviate short-term suffering
- Incorporating 'Build Back Better' principles into recovery and reconstruction.

Reporting will capture all activities from response through to early recovery. Results will be clearly communicated to the Australian public to raise awareness of the response and demonstrate how Australia's collective effort has made an impact.

Outcome Area 2: Building local humanitarian capability and strengthening disaster resilience of communities in the Pacific

End of Investment Outcome: Local humanitarian capability in the Pacific is strengthened to anticipate, prepare for, respond to and reduce risks from natural hazards; and Pacific communities are more resilient to the impacts of natural hazards.

This investment outcome will be designed and implemented to support and not undermine local capacity. To support a shift towards localisation, initiatives under this outcome area will focus on building the disaster management capacity and coordination of local Pacific-based NGOs and civil society organisations; and strengthening the disaster resilience of Pacific communities.

The partnership will support a 'design and implement' inception phase with funded NGO partners to design activities under this outcome area. The (draft) short-term outcomes represented in this outcome area outline the central outcomes partners

must achieve in their designs. Funded NGO partners will align and coordinate their initiatives with their own ANCP funded programs; with other selected ANGO partners and Australian investments (including with the Australian Red Cross); and with local communities and authorities. **The inception phase will foster stronger working partnerships in-country and will test innovative approaches**.

The (draft) medium term outcomes represent the core outcomes that must be achieved at the end of each partner's initiative. As with crisis responses, these initiatives will have a strong focus on protection, gender equality and disability inclusion. The multi-year funding provided through this outcome area will enable partners to progress and deepen these aspects, **achieving stronger gains in the leadership of women and people with disabilities**. Funded NGO partners will be expected to support the leadership of women and people with disabilities within their partner organisations and in activities that support risk reduction and resilience.

The initiatives under this outcome area are also an avenue to progress Australia's commitments under the *Sendai Framework for Disaster Risk Reduction*, as well as other regional commitments. Activities will work towards delivering specific outcomes within the four priority areas of the *Sendai Framework*.

Outcome Area 3: The DFAT-HRG Partnership

End of Investment Outcome: The DFAT-HRG partnership is strengthened: HRG member NGOs, their local partners and DFAT work together more effectively.

This investment builds on existing partnership/dialogue structures between DFAT and the HRG. **The outcomes under this area will be primarily achieved through the work of the Support Unit.** The Support Unit will work with partners to achieve all three end-of-investment outcomes. The Support Unit will provide response coordination, communications and MEL support in a way that benefits all HRG members, DFAT and the DFAT-HRG partnership.

Strengthened coordination between ANGOs was a success of the HPA. **The new partnership aims to enhance coordination among NGOs in the areas of visibility and learning**. Under the partnership, DFAT would like to see greater collaboration between HRG member NGOs in communicating Australia's collective response to crises. Over time, DFAT would like to explore options for joint fundraising efforts which could leverage additional funding and increase the visibility of Australia's collective humanitarian efforts.

The HPA review also found that learnings were generally limited to HPA partners. As such non-HPA partners were often excluded and/or not able to fully benefit from the rich learning processes that occurred. As part of this new arrangement, **innovation, research and learning will feed into wider sectoral learning forums open to all HRG members**.

Delivery Approach

This Investment Design describes the "Australian Humanitarian Partnership". This partnership incorporates a funding mechanism that operates under the auspices of the relationship between DFAT and the ANGOs who make up the HRG.

The DFAT-HRG partnership will be the main channel for strategic dialogue among partners on humanitarian issues, building on the established role and value of the HRG. Emphasis will be placed on how HRG members and the Australian Government can better collaborate and coordinate their efforts.

The partnership will include a small unit to help strengthen collaboration and manage contractual relationships. This Support Unit will also add value to the partnership as a whole by facilitating information sharing, and supporting innovation, mutual learning and public awareness activities.

Under the aegis of this partnership, a small number of HRG member NGOs will be selected for funding through a competitive procurement process based on a detailed assessment of capabilities. This will give DFAT the confidence that they are working with the best placed ANGOs in different crises and in different contexts. The design proposes that the tender process assess applicants against five domains of capability (see section below).

One group of **4-6 HRG member NGOs** will be selected by DFAT to be eligible for response funding (including early recovery) and to receive multi-year funding to support local humanitarian capability and build the disaster resilience of Pacific communities. Applications will be restricted to HRG member NGOs. HRG members applying for funding are encouraged to consider consortia arrangements that enable them to demonstrate strong capacity over all five domains of capability. Consortia led by an HRG member and involving non-HRG members will be eligible to apply. Consortia arrangements are encouraged but not required.

Under the partnership, DFAT funding will support:

- Humanitarian response to rapid-onset crises (including early recovery)
- Humanitarian response to protracted and slow-onset crises (including early recovery)
- Local humanitarian capability and disaster resilience of communities in the Pacific.

An enhanced partnership

The DFAT-HRG partnership will be the premier forum for collaboration among ANGOs engaged in humanitarian response and the Australian Government. This partnership will be the main channel for strategic dialogue and emphasis will be placed on collaboration among the partners. An important aim of the partnership will be to look for opportunities to leverage resources across the DFAT-HRG engagement and increase visibility of the collective Australian response.

Partners will proactively seek opportunities for greater collaboration, including programming resources together where it makes sense to do so. NGOs may agree to a greater degree of shared resources, for example by multiple partners drawing on one NGO's specialist protection expertise, another NGO's specialist gender expertise, and so on. The operation of the partnership will be facilitated by a strengthened Support Unit which will help to make the most efficient use of partners' resources.

Basing the Australian Humanitarian Partnership on the HRG membership will strengthen existing coordination structures. It will bring greater coherence to DFAT's partnerships within the Australian humanitarian sector, including with the Australian Red Cross and RedR, both of whom are members of the HRG and have separate funding relationships with DFAT.[32] While DFAT funding will not flow to all HRG members, they will all be able to be full participants in strategic dialogue, open communication, and lesson learning activities as facilitated by the Support Unit.

This model builds on the best of the HPA, including NGO participation in funding decisions, rapid processes enabled by pre-selection of partners, and an element of assured funding to build capacity and strengthen relationships. It seeks to improve on HPA's weaknesses, including the divisive aspects of decision-making processes, ambiguity of HPA's strategic dialogue function in relation to ACFID and HRG, and use of a rapid response mechanism to respond to protracted and slow-onset crises. The model seeks to support the further development of the Australian humanitarian sector, including by fostering collaboration and innovation, and resourcing more comprehensive lesson-learning activities across the DFAT-HRG partnership.

A number of alternative delivery models were considered by the design team. See **Annex 4** for a brief description of each option.

Selection based on an assessment of capabilities

A small number of HRG member NGOs will be selected based on an assessment of their capabilities. DFAT, through a competitive tender process, will seek information from HRG member NGOs according to the following five domains of capability, with information broken down geographically (with a greater level of detail sought for the Indo-Pacific region).

1. Response to rapid-onset crises (including early recovery)
2. Response to protracted and slow-onset crises (including early recovery)
3. Building local humanitarian capacity and strengthening the resilience of Pacific communities
4. Protection and inclusion expertise
5. Partnership capacity.

[32] In light of those separate funding agreements, it is expected that Australian Red Cross and RedR will participate in the partnership aspects of the Australian Humanitarian Partnership but will not be eligible for pre-selection for rapid response funding under this investment.

DFAT will use the information on applicants' capabilities to select a small number of agencies (an anticipated 4-6) who will be eligible to receive response funding and multi-year funding to build local humanitarian capability and to strengthen the resilience of Pacific communities. Decision-making processes (including DFAT's level of involvement) and timeframes for protracted and slow-onset crises will significantly differ from rapid response crises, as set out below.

HRG members applying for funding are encouraged to consider consortia arrangements that enable them to demonstrate strong capacity over all five domains of capability. Non-HRG members will not be eligible for funding under this arrangement, except in circumstances where a group of NGOs apply as a consortium led by an HRG member NGO. **Consortia arrangements are encouraged but not required.**

Domains of Capability

1. Response to rapid-onset crises (including early recovery)
   - Demonstrated emergency response capacity and local capability to provide humanitarian relief and early recovery assistance in response to rapid-onset crises
   - Breadth and depth of relationships with local implementing partners
   - Relationships with partner governments
   - Extent of existing development programming
   - Ability to manage and distribute logistical supplies

2. Response to protracted and slow-onset crises (including early recovery)
   - Demonstrated local capability to provide humanitarian relief and early recovery assistance in response to protracted and slow-onset crises
   - Breadth and depth of relationships with local implementing partners
   - Relationships with partner governments
   - Extent of existing development programming

3. Building local humanitarian capacity and strengthening the resilience of Pacific communities
   - Demonstrated capacity to strengthen local capability to anticipate, prepare for, respond to and reduce risks from natural hazards
   - Knowledge of and experience in the Pacific region, including a strong understanding of and ability to complement partner government initiatives
   - Breadth and depth of relationships with local implementing partners
   - Extent of existing development programming

4. Protection and inclusion expertise
   - Expertise and experience in protection in program design and delivery – both mainstreaming and specific programming
   - Expertise and experience in gender equality in program design and delivery – both mainstreaming and specific programming
   - Expertise and experience in disability inclusion in program design and delivery - both mainstreaming and specific programming

5. Partnership capacity
   - Demonstrated track record of collaboration with other partners, including governments, the Red Cross movement, NGOs and local networks (such as churches), and the private sector, especially in a humanitarian context
   - Demonstrable community networks and relationships
   - Demonstrated commitment and capacity to increase and enhance collaboration with such partners.

Response to rapid-onset crises

Under the auspices of the Australian Humanitarian Partnership, it is anticipated that a small group of 4-6 ANGOs will be pre-selected through a competitive procurement process to be eligible for funding to respond to rapid-onset humanitarian crises (including through early recovery activities). When rapid response funding is made available, the Support Unit will convene the pre-selected ANGOs to meet as the Response Committee[33] to determine the optimal response within the scope of available funding, and submit a Consolidated Proposal to DFAT for approval.

The same group of 4-6 ANGOs will be eligible for funding for protracted and slow-onset responses, and will receive multi-year funding to build humanitarian capability and strengthen disaster resilience of communities in the Pacific. HRG members applying for funding are encouraged to consider consortia arrangements that enable them to demonstrate strong capacity over all five domains of capability.

[33] A similar process to that under the current HPA model, with some modifications as outlined below.

Activation of Rapid Response Funding	
Crisis	Crisis event occurs
Activation	Foreign Minister approves rapid response funding, and DFAT advises HRG members of available funding envelope
Activation + 0-48 hours	Response Committee (comprised of one representative of each pre-selected NGO, the Partnership Director, an HRG representative and an independent technical expert) meets to agree allocation of funds between the few NGOs best placed to respond. Allocation decisions will be made with reference to individual proposals, the pre-agreed capability map and MEL documentation from previous activations. Voting will be equally weighted among Response Committee members.
Activation + 48 hours	Partnership Director submits a concise Consolidated Proposal to DFAT
Activation + 48-72 hours	DFAT approves the Consolidated Proposal and prepares a contract with the Support Unit and disburses funds to the Unit
Activation + 1 week	The Support Unit prepares contracts with relevant NGOs, using pre-agreed templates, and disburses funds to the relevant NGOs
Activation + 8 weeks	Support Unit collates funded NGOs' Implementation Plans and submits to DFAT. Adjustments to activities are permitted up to this point in response to changing operational context, with written justification for changes to be included in the Implementation Plan
Activation + 2-12 months	Support Unit works with DFAT to meet reporting and public communication requirements. Support Unit collates and submits final NGO reports to DFAT
Subsequently	Support Unit, in collaboration with ACFID and HRG Co-Chairs, facilitates a lesson learning event open to all HRG members
Subsequently	Lesson learning report distributed to all HRG members and shared with local implementing partners.

Response to protracted and slow-onset crises

Under the partnership, the same small group of 4-6 ANGOs selected through the competitive procurement process will be eligible for funding to respond to protracted and slow-onset crises. HRG members applying for funding are encouraged to consider consortia arrangements that enable them to demonstrate strong capacity over all five domains of capability.

When DFAT activates funding to respond to such crises, it will set out funding parameters (such as priority sectors, geographic areas, composition of the technical

assessment panel and preferred number of partners), assessment criteria, and decision-making timeframes.

DFAT may determine the partner(s) to be funded, or suggest preferred partners for the activation. This acknowledges the central role to be played by DFAT's country programs (including Posts) in setting the scope of humanitarian response activities, as well as the need for context specific approaches to protracted crises, protracted displacement and natural disasters.

When funding is, or is likely to be, available for a protracted or slow onset response, the Support Unit will convene an early teleconference(s) involving DFAT and HRG members to discuss the unfolding crisis and the potential scale, objective(s) and expectations of Government funding. Partners will discuss the likely scale of the funding parameters and decision-making timeframes. It will be important to consider the role of in-country consultations (i.e. between DFAT posts, ANGO representatives and recipient government bodies) in shaping the funding proposals.

The Support Unit will convene a small technical assessment panel to consider ANGO proposals, determine the optimal response within the scope of available funding, and submit a draft Consolidated Proposal to DFAT for consideration. The Response Committee (which is convened to make decisions for rapid-onset crises) will not be used to make decisions around protracted and slow-onset crises responses, unless a sudden peak in a crisis requires a rapid response.

DFAT will strive to allocate multi-year funding to protracted crises, acknowledging that multi-year funding allows longer-term planning which is more efficient and more conducive to responding to the root causes of crises rather than just their effects. DFAT and its partners will make use of early warning systems that have been developed to quickly identify the emergence of a slow-onset crisis, such as a food security crisis.

Activation of Funding for Protracted and Slow-onset Crises

Crisis	Crisis occurs
Pre-activation	DFAT convenes teleconference(s) with HRG members to discuss unfolding crisis and the potential scale, objective(s) and expectations of Government funding. Support Unit assists, documents any decisions and provides any follow-up support to partners.
Activation	Foreign Minister approves funding, and DFAT advises HRG members of available funding envelope
Activation + 5 days	DFAT advises HRG members of funding parameters (such as priority sectors, geographic areas, preferred number of partners, suggested partners), assessment criteria, and decision-making timeframes
Activation + 5-14 days	The Support Unit convenes the technical assessment panel (generally comprised of 2-3 independent humanitarian experts). The panel proposes allocation of funds between the few NGOs best placed to respond, in line with the parameters set by DFAT. Allocation decisions will be made with reference to the pre-agreed capability map and MEL documentation from previous activations
Activation + 5-15 days	Support Unit submits a draft Consolidated Proposal to DFAT
Activation + 7-18 days	DFAT provides feedback and proposes changes to the Consolidated Proposal
Activation + 7-20 days	DFAT and relevant NGOs agree to the amended Consolidated Proposal
Activation + 3 weeks	DFAT prepares a contract with the Support Unit and disburses funds. The Support Unit prepares contracts with the relevant NGOs, using pre-agreed templates, and disburses funds
Activation + 8 weeks	Support Unit collates and submits consolidated Implementation Plan to DFAT. Adjustments to response activities may be negotiated with DFAT during this period, and recorded in the implementation plan
Activation + 3-30 months	Support Unit works with DFAT to meet reporting and public communication requirements. Support Unit coordinates, collates and submits final reports to DFAT
Subsequently	Support Unit, in collaboration with ACFID and HRG Co-Chairs, facilitates a lesson learning event open to all HRG members
Subsequently	Lesson learning report distributed to all HRG members and shared with local implementing partners

Building local humanitarian capability in the Pacific and strengthening the disaster resilience of Pacific communities

Australia is a major donor in the Pacific and this investment will contribute to the development of a more effective and appropriate humanitarian system in the region and strengthen the disaster resilience of Pacific communities.

Under the partnership, DFAT will provide funding to a small number of ANGOs to build local humanitarian capability in the Pacific and strengthen the disaster resilience of Pacific communities. This investment will focus on building the disaster management capacity and coordination of local Pacific based NGOs; as well as strengthening the disaster resilience of Pacific communities. Allocations for this set of activities will be multi-year, with a strong focus on supporting the 'localisation' agenda.

Selected ANGO partners will participate with DFAT in a 6 month 'design-and-implement' inception phase in 2016-17. During this inception phase, partners will work together to determine the priorities, partnerships and program initiatives to be pursued. The inception phase will include systematic mapping, gap analysis and coordination with local actors to ensure this investment reaches it proposed outcomes, and strengthens (rather than undermines) local capacity. The split of funding between different activities and different countries will be determined during this phase. DFAT staff at Post will be engaged as part of this process.

It will be important that this programming complements other DFAT DRR and climate change investments in the region (including through ANCP and bilateral and regional programs)**.** People and organisations of the Pacific clearly want to see a greater collective and coordinated effort to address risk "between humanitarian, recovery, development, risk reduction and climate change adaption sectors."[34]

It will also be critical that this programming is based on further design work that identifies the specific contribution that this partnership can make to progress Pacific stakeholder aspirations as articulated through regional consultations in the lead up to the *World Humanitarian Summit*. These aspirations are summarised in six humanitarian priorities for the region:

- Placing affected people at the centre of humanitarian action
- Realigning the humanitarian system to build on local capacities
- Responding to displacement and human mobility
- Bridging the humanitarian-development divide
- Financing for preparedness, response and early recovery, and
- Partnering with the private sector.[35]

[34] Preparatory Stakeholder Analysis, World Humanitarian Summit Regional Consultation for the Pacific, 2015.

[35] Preparatory Stakeholder Analysis, World Humanitarian Summit Regional Consultation for the Pacific, 2015.

The collective impact of these initiatives will be an important tool for DFAT to progress its **commitments under the *Sendai Framework*** and will contribute to DFAT's objective to support a fit-for-purpose humanitarian system in the Pacific.

A strengthened Support Unit

The operation of the DFAT-HRG partnership will be facilitated by a strengthened Support Unit. This unit, building on the role played to date by the HPA Director, will be staffed by three people responsible for managing the response activation processes (including contractual agreements with the relevant HRG member NGOs selected to receive DFAT funding); enhancing collaboration and coordination amongst all HRG-DFAT partners; supporting innovation and monitoring, evaluation and reporting; supporting learning; and improving visibility of Australian humanitarian action.

An organisation to host the Support Unit will be selected through a competitive procurement process. DFAT envisages that the competitive process will draw interest from organisations in the non-government sector including possibly HRG NGO members and/or peak bodies such as ACFID. The procurement process will also be open to private sector bodies. The work of the Unit will support the achievement of all three end-of-investment outcomes.

The Support Unit will be able to draw on external humanitarian and communication experts where needed. See the Management and Staffing section on page 44 for details.

Promoting humanitarian innovation

Through the Australian Humanitarian Partnership, **DFAT will promote the mainstreaming of innovation across all three outcomes.** In the initial two years of the partnership, it is anticipated that HRG member NGOs will continue to explore innovative approaches to humanitarian response, as well as capacity building, through partnerships with the **private sector**.

Budget

The budget allocation for the operation of the Australian Humanitarian Partnership is estimated at AUD50 million (TBC) over 5 years (2016-2021). This allocation will fund all activities focused on building local humanitarian capability and strengthening the disaster resilience of Pacific communities. It will also fund the entire cost of the Support Unit.

Funding for rapid-onset, protracted and slow-onset crisis responses will be drawn from DFAT's annual humanitarian allocation (and/or other DFAT funding) and will be additional to core funding. The design anticipates increased funding for responses, relative to funding under the HPA and relative to other DFAT humanitarian funding mechanisms. It is proposed that DFAT aim to increase the

share of response funding being channelled through ANGOs from the current 10% to 18-20%.[36] Such an increase would be in line with other OECD DAC donors and recognise the niche role of NGOs in effective humanitarian action due to their local knowledge and community relationships.

The following table presents indicative DFAT allocations of the AUD50 million for the Australian Humanitarian Partnership, along with procurement arrangements. Details on procurement arrangements are provided on page 45.

	Building local humanitarian capacity in the Pacific and strengthening the disaster resilience of Pacific communities[37]	**Support Unit**	**M & E**	**Total**
Procurement arrangements	NGOs selected through a competitive tender process	Organisation selected to host the Support Unit[38]	Organisation selected to host the Support Unit	
2016-17	4,000,000	600,000[39]	400,000	5m
2017-18	8,000,000	600,000	400,000	9m
2018-19	11,000,000	600,000	400,000	12m
2019-20	11,000,000	600,000	400,000	12m
2020-21	11,000,000	600,000	400,000	12m
Total	**45m**	**3m**	**2m**	**50m**

Value for money

Value for money will be maximised by leveraging existing arrangements, improving coordination between partners (including through joint activities) and avoiding duplication of investments. These elements, combined with a focus on strengthening (and not undermining) local actors, will produce better programming.

NGO mechanisms generally have lower transaction costs than multilateral humanitarian mechanisms. Evidence from an independent scoping study found

[36] These percentages relate to DFAT's overall humanitarian expenditure, not to individual activations of the mechanisms. In some contexts (Iraq and Syria, for example) it may be appropriate for much less (or zero) funding to go to ANGOs, while in some other contexts, significantly more than 18-20% may be appropriate.

[37] ANGOs partners selected through the competitive procurement process will participate with DFAT in a 'design-and-implement' inception phase in 2016-17, which will determine the priorities, partnerships and activities to be pursued.

[38] And/or potential secondment of DFAT staff into the Support Unit.

[39] Derived from the following annual estimates based on the DFAT Advisor Remuneration Framework (ARF) 2016 rates. Note that ARF figures are used as a guide only, since the ARF does not apply to "individuals (including those in advisory roles) engaged through the terms and conditions of a grant agreement using the grant recipient's own procurement processes." Director (C3): $164,196. MEL Officer (C2): $120,384. Communications Officer (C2): $120,384. 20% management fee for three full-time positions: $80,993. 33 input days (4 rapid activations at 3 days each, 2 protracted activations at 4 days each, Communications 5 days, Contingency 8 days) from external experts (C3 @ short-term rates, plus a 20% management fee): $32,155. Travel budget $50,000. Office administration costs $30,000 Total: $598,112.

NGO mechanisms had between 5 to 8 administrative steps, in comparison to up to eleven stages for the UN CERF, and UN agencies will often sub-contract to implementing partners including NGOs.[40]

The Support Unit will maximise DFAT's (and HRG members') return on investment by streamlining contracting processes, improving coordination between partners, enhancing the public visibility of Australian humanitarian interventions and providing a stronger focus on improving the quality of humanitarian action through well-resourced and focused lesson learning exercises.

Efficiency will also be improved by the anticipated increase in funding directed through the partnership. The independent review of the HPA found that value for money was difficult to assess, but identified high transaction costs relative to funding volume as a significant constraint to efficiency.[41]

[40] *Humanitarian Financing in Australia: Scoping Report on Comparative Mechanisms*, Humanitarian Advisory Group, 2012.

[41] HPA Review p.18.

4. Monitoring, Evaluation and Learning

Purpose

This draft Monitoring Evaluation and Learning (MEL) framework has been designed to assess and improve the performance of the partnership and its components. **This framework will be further developed and refined by the Support Unit. The design team recommends that, during the inception phase, the Support Unit facilitate a conversation with partners to review the program logic and success criteria.**

This draft MEL framework includes assessment of the three outcome areas of the partnership (as outlined in the Program Theory in Section 3). The program theory forms the basis of the MEL framework which has been designed to test the partnership's theory and to capture, analyse and use information in relation to the expected outcomes and measures of success.

The MEL framework has been designed to ensure the new partnership supports:

- **Learning for improvement** – of the partnership as a whole; crisis and early recovery responses; and DRR and resilience initiatives
- **Accountability** to demonstrate the impact of the Australian Government's and partners' investment to stakeholders
- **Aggregation** of results internally
- **Actioning** of learnings in a systematic way
- **Communication of results** to external stakeholders.

This MEL framework builds on the lessons of the HPA review and takes forward MEL recommendations. To ensure these are embedded in the new MEL framework, the following principles will guide the design and implementation of partnership MEL:

- **Inclusive learning** – partnership learning will be open to HRG members and will not be limited to funded partners.
- **Engagement of local partners** – local partners will be engaged in MEL and the learnings of collective activations will be shared with local partners.
- **Take into account the fast moving pace of crises –** keeping MEL processes minimal in response periods and more involved in quieter periods during 'out of response' times.[42]
- **Prioritised and resourced** – the Support Unit will have a dedicated role responsible for coordinating MEL of collective interventions. The partnership will support the strengthening of local implementing partners' MEL.
- **A focus on learning about innovations in humanitarian practice** – such as partnership models or technologies – will ensure learnings are documented and shared widely.

[42] Monitoring reports will request brief information while individual and joint response evaluations will provide opportunity for more in-depth analysis and reporting.

Features

This MEL framework includes:

- Measures of success (outlined in the (draft) Theory of Action in **Annex 3**)
- A learning agenda (as outlined in key evaluation questions for each outcome)
- MEL processes and products (**Annex 5**)
- MEL roles and responsibilities.

Alignment

This draft MEL framework:

- Will be revisited with partners during the inception phase
- Aligns with the Core Humanitarian Standards
- Aligns with and will feed into the Performance Assessment Framework (PAF) of DFAT's (draft) Humanitarian Strategy
- Will be adapted to align with and feed into the DFAT-NZMFAT joint MEL framework at the whole of response level that is currently being developed.

Approach

This section outlines the high level approaches that will be used to track and assess how well the partnership is achieving success in each of the three outcome areas (as articulated in the Measures of Success for each outcome). The Measures of Success aim to ensure stakeholders have a clear understanding of what the partnership aims to achieve and how change will be brought about. Tracking and assessing these will enable stakeholders to see if the partnership is delivering as planned and if and how it needs to be adapted over the five year period to ensure optimal performance.

Outcome Area 1: Response and Early Recovery

The selection process

Selection processes have been designed to ensure the best placed partners are selected to deliver responses. In the predecessor mechanism (the HPA) there was no accountability mechanism in place to review the decisions of the peer review panel, and ensure the best placed partners and proposals were selected. Under the new partnership, selection and decision-making will be documented and will be transparent and open to independent scrutiny.

The design team recommends that an independent accountability review of the decisions of the Response Committees and Technical Assessment Panels be conducted after the first year and third year of the partnership. These reviews will be conducted through a random sample of completed responses using a **light desk-top review process** and confidential informant surveys. Changes may be made to the

peer review composition, selection criteria, selection process and DFAT parameter-setting as required.

KEY ACCOUNTABILITY REVIEW QUESTIONS:

- Have peer review members objectively selected partners/proposals according to the selection criteria and specified process?
- Is there evidence to suggest that the best partners and proposals were selected? In hindsight, could additional information or processes have supported a better decision?
- Is the composition of peer review members appropriate? Does it need to be changed?
- Are the selection criteria and parameters set by DFAT appropriate? How could they be strengthened?
- Has the process had any negative effects on ANGO relationships? What process could be put in place to prevent this?

MEL of individual responses

Funded NGO partners will undertake their own internal monitoring and evaluation of their response and early recovery efforts in accordance with their agency MEL approaches. Funded NGO partners will be expected to report on progress in relation to the targets and indicators outlined in their proposals. In addition, they are expected to incorporate the medium-term[43] outcomes into their response MEL frameworks and report on these. In relation to the cross-cutting outcome related to engagement and leadership of women and people with disabilities, in addition to providing sex and disability disaggregated data, funded NGO partners will report on the approaches they have used to ensure inclusive and equitable responses and how effective these have been.

Response budget allocations will include provision of approximately 10% for MEL of individual responses. This will enable funded partner NGOs to conduct final evaluations and effectively support their local implementing partners to undertake MEL and strengthen their MEL processes. Funds to support the capacity development of the MEL of implementing partners can be used for activities such as local learning and reflection processes, MEL training and systems development, and strengthening equity and inclusion within MEL processes and practice. Funded partner NGO partners will share and feed this on-the-ground learning into broader partnership learning processes.

[43] See the Theory of Change in Annex 2.

MEL of collective responses

As with the previous HPA, the design team proposes that a **learning event be held after each activation**. This will ensure learnings relating to selection, coordination in decision making and other operational matters are captured and inform ongoing improvements.

An **independent joint evaluation of certain responses** should be undertaken, with relevant activations selected by mutual agreement. This process will be coordinated and managed by the MEL Officer of the Support Unit. While the approach taken for joint evaluations will be context dependent, peer learning processes which foster participation of local partner staff, ANGO staff and DFAT will be encouraged.

Joint evaluations will be planned for at the outset of a response and a joint MEL framework/work plan will be developed to ensure adequate planning and input into key MEL activities. Terms of Reference will be developed for team members (in addition to the lead consultant) to ensure clear roles for field work and participation in planning and reflection activities. Evaluations will allow for sufficient time to visit an adequate sample of all participating agencies' project sites.[44] The design team recommends that a digi-story collector[45] be part of the evaluation team and a strategy be developed for ensuring participating affected populations have an opportunity to view the film, as an appropriate feedback medium for affected communities and broader stakeholders.

As outlined above, the information collected by funded NGO partners on their own responses will be reported on and individual response data will be centrally aggregated by the Support Unit. Joint evaluations should not duplicate this information. The focus should be on conducting analysis and synthesis across the partnership responses as a whole. A joint evaluation will assess whether the response has achieved the end of investment outcome for outcome area 1 (as defined by the agreed upon measures of success) and test the assumptions outlined in the Theory of Change.

The MEL Officer will be responsible for developing the terms of reference for joint evaluations in collaboration with DFAT, funded NGO partners and other key stakeholders. Given the complexity of joint evaluations (and the short-term nature of humanitarian responses) it is difficult to assess impact, and focus will therefore be on outcomes, learning and quality of response (using assessments of key OECD DAC criteria areas as proxy indicators of quality and impact). Suggested key evaluation questions to be considered or adapted have been developed. These questions integrate assessment of the Core Humanitarian Standards (CHS).

[44] During consultations with partners, field visits of 2-3 days for each implementing partner was reported to be insufficient.

[45] Collection of photo, video and audio content will enable people to directly report their own experiences of being involved in crisis responses and capture these in a format that can be more easily shared with the Australian public and other stakeholders. This will ensure participatory ways of collecting and sharing content can be used in the evaluation.

JOINT RESPONSE EVALUATION QUESTIONS:

How did the response approach support localisation?

- To what extent have responses supported those affected by disasters to rebuild their lives? (CHS3)
- To what extent did approaches support local leadership and not undermine local efforts? (CHS3)
- How well did responses support and align with local government efforts and structures (local, provincial and national)? (CHS6)
- How well did disaster management capacity building support staff and volunteers do their job effectively? (CHS 8)

To what extent did the Partnership deliver quality and accountable responses?

- How timely did was the disbursement of funds, and how quickly did assistance reach affected communities (CHS 2)
- To what extent did interventions respond to and meet identified needs of the affected population (men, women, boys and girls)? (CHS 1)
- To what extent did women, men, children and people with disabilities participate in and lead decision making? (CHS 4)
- How well were gender, disability and child protection needs met in responses?
- Did communities and people affected by crisis have access to safe and responsive mechanisms to handle complaints? (CHS 5)
- How well did relief responses link with longer-term processes of recovery and development? Did this occur early on in responses?
- Were partners able to make good decisions on limited initial rapid assessment?
- How efficiently and ethically were resources shared and managed? (CHS 9)

How coordinated was the response?

- How did cooperation through the DFAT-HRG partnership add value to individual NGO interventions? (CHS 6)
- How effective was the coordination of the contract management, MEL and reporting of the response? (CHS 6)
- How effective was coordination at the field level? (CHS 6)
- Were there any significant gaps or duplications evidenced at response locations? (CHS 6)

Outcome Area 2: Building local humanitarian capability in the Pacific and strengthening disaster resilience of Pacific communities

Partners selected to deliver activities in the Pacific will participate with DFAT in a 'design-and-implement' inception phase. The MEL frameworks for these initiatives will therefore be developed by the partners involved. It is expected that partners integrate the five medium-term outcomes articulated in the draft Theory of Change for outcome area 2 into their MEL frameworks.

Evaluation

Funded NGO partners will have the flexibility to conduct evaluations of their initiatives according to the partnerships they have adopted and approaches used. For example, partners may conduct a joint ANCP and Australian Humanitarian Partnership evaluation to assess how their integrated approaches have supported communities to become more resilient. Partners may conduct joint evaluations with other organisations (such as the Australian Red Cross). MEL approaches should support collaboration (with Australian partners and local communities) and encourage joint ownership and accountability for results. A possible set of evaluation questions which can be used or adapted by funded NGO partners when evaluating their initiatives, and by the Support Unit when designing an overall review of intervention in the Pacific, is provided:

BUILDING LOCAL HUMANITARIAN CAPABILITY AND STRENGTHENING DISASTER RESILIENCE OF PACIFIC COMMUNITIES - INITIATIVE EVALUATION QUESTIONS:

Localisation

- How have initiatives supported local communities to anticipate, prepare for and reduce risks from natural hazards? (knowledge, skills, connections and structures)
- How have initiatives supported local authorities to implement inclusive DRR and resilience activities? (knowledge, skills, connections and structures)
- To what extent did approaches support local leadership and not undermine local efforts?

Inclusion

- How well have partners supported the inclusion and leadership of women and people with disabilities in their own staffing, volunteer and community structures that support DRR/resilience initiatives?
- What evidence is there that women and people with disabilities are leading initiatives and playing key operational, management and decision making roles in initiatives?
- Are women and people with disabilities benefiting equitably from initiatives?
- Did different groups have access to safe and responsive mechanisms to handle complaints?

Coordination

- How well have agencies collaborated to design and implement initiatives (including sharing and managing resources)?
- What factors have supported and hindered inter-agency collaboration?
- What can be learned about ensuring strong alignment between DRR and development?
- How have partners worked with the private sector and what efficiencies and benefits has this created?
- How effective was the coordination of the contract management, MEL and reporting of the initiatives?

Learning

As outlined in the section below, **the Support Unit will commission meta and strategic evaluations of capacity building activities in the Pacific.**[46] It will also support ACFID to facilitate wider DRR and resilience learning forums, to which the partnership interventions will contribute. In addition, the Support Unit will work to document and share learnings in relation to innovations in DRR and resilience practice in the Pacific (such as emergent partnership approaches or technologies). The partnership may seek to either host an innovation sharing workshop in the Pacific or support participating partners to feed learning into a local event (if this is planned and hosted by other stakeholders locally) over the course of the partnership.

Outcome Area 3: The DFAT-HRG Partnership

The DFAT-HRG partnership will be enhanced by the operations of the Support Unit. The design team suggests that early in the inception phase, the Support Unit facilitates a discussion between DFAT, all HRG partners (and ACFID) to outline specific partnership outcomes and refine the measures of success that can then be incorporated within the MEL framework.

As outlined in the evaluation questions for outcome areas 1 and 2, the value-add of the coordination between DFAT and HRG, and between HRG members, to crisis response and early recovery, as well as DRR and resilience initiatives, will be assessed as part of the MEL of these outcome areas. This will ensure data is collected to inform an assessment of the short-term outcome 'DFAT and HRG coordinate to select and deliver responses'.

The accountability review of the response selection process will also build a picture of the effectiveness of HRG coordination. The Support Unit will request, store and track information relating to the funding raised through any joint appeal processes, and undertake analysis to determine if the collective approach and visibility and awareness raising activities are leveraging additional funding.

The design team suggests that annual light touch 'partnership health checks' be conducted during the partnership to ensure it is tracking as planned. As part of the mid-term review (MTR) of the partnership, a DFAT-HRG partnership reflection will be held. It will support DFAT and HRG member NGOs to reflect on whether the partnership is meeting its agreed partnership outcomes and its end-of investment outcome.

[46] Strategic evaluations will provide an in-depth examination of priority areas that warrant deeper enquiry (i.e. protection in responses and initiatives, ANGO and whole-of-government coordination in responses). Meta evaluations will synthesis and analyse evaluations and other key information, allowing key issues and learnings to be summarised in priority areas (i.e. private sector engagement, adherence to the Core Humanitarian Standards).

POSSIBLE DFAT-HRG REVIEW QUESTIONS:

- Has locating the partnership within the DFAT-HRG diluted or dominated HRG dialogue?
- Do HRG members who do not receive funding experience significant benefits or drawbacks from engagement with the partnership?
- How has the peer review process fostered collaboration or created tensions among members?
- What are the key ways in which the Support Unit has strengthened the DFAT-HRG partnership and how has this in turn strengthened humanitarian practice?
- Has the context for collaboration changed?
- Have specific joint appeals been particularly successful? Do HRG members perceive joint appeals to benefit or disadvantage the fundraising results of their own agencies?
- How many joint appeals and visibility initiatives were conducted? Is there evidence to indicate that this has resulted in a deeper awareness of the Australian public and/or resulted in additional funding being allocated to agencies?

Overall Partnership MEL

The MEL processes and products produced through the different outcome areas will feed into the overall partnership MEL as represented in Annex 5. This will be assessed through an independent mid-term review and a final review. The Support Unit will work to assess key aspects of the partnership's performance and support continuous improvement. The partnership is expected to evolve over the five year period. It will be important to test the program's theory and its foundations, and whether the mechanism has been appropriately designed to deliver the end of investment outcomes. It will also be important to ensure the necessary structures, capabilities and resources are in place and make any necessary adjustments. **Core questions to guide the assessment of the overall partnership** that could be incorporated into the MTR are provided.

OVERALL PARTNERSHIP EVALUATION QUESTIONS:

- Is the overall program theory sound? (Are the assumptions correct?)
- To what extent is the partnership achieving outcomes in each of the three outcome areas?
- Are the expected outcomes and measures of success still relevant?
- Do DFAT and HRG member NGOs have sufficient commitment to, investment in and ownership of the partnership? What shortfalls need to be addressed?
- Are the capabilities and resources within the Support Unit and within participating partner organisations sufficient to ensure the partnership functions as intended?

Learning, sharing and dissemination of MEL products

The Support Unit will play a key role in coordinating and leading MEL. This investment of resources is expected to support the partnership to be able to measure results, and deepen mutual learning.

The Support Unit will help to facilitate 'lesson learning' meetings for response activities. The Support Unit will hold responsibility for documenting and sharing learnings in relation to innovations in response, DRR and resilience practice. As outlined above, it will also coordinate joint crisis response and recovery evaluations. The Support Unit will commission meta and strategic evaluations to deepen analysis and assessments of key aspects of the partnership; areas of enquiry may relate to any of the three outcome areas and will be determined by DFAT-HRG.

When learning events occur, funded NGO partners will be encouraged to invite local staff from their implementing partner organisations to participate. The Support Unit in collaboration with funded NGO partners will also ensure learning documents and collective evaluation reports are disseminated to implementing partners. It is important to ensure collective Australian learnings are shared with local stakeholders on the ground, as this was identified as a gap of the predecessor mechanism.

Another key gap of the HPA was the lack of take up of evaluation and review recommendations. The Support Unit will manage and monitor a **recommendations register** and work with the HRG and DFAT to develop action plans to ensure recommendations are taken forward. Processes for activation of funding will reference lessons learned in previous activations, as outlined in section 3 above.

MEL roles and responsibilities

The Support Unit will:

- Facilitate a DFAT-HRG partnership brokering discussion during the inception phase to help partners identify partnership outcomes and measures of success
- Use the draft Theory of Change and Theory of Action as a basis to revise and develop a MEL framework with partners
- Support selected partners (outcome area 2) to develop MEL frameworks in line with this revised MEL framework.
- Aggregate response and early recovery, and DRR and resilience partner reports
- Coordinate and manage joint response evaluations
- Commission meta and strategic reviews to deepen analysis and assessments of key aspects of the partnership.
- Help facilitate the mid-term and final review of the partnership (assessing all outcome areas)
- Facilitate 'light touch' annual DFAT-HRG partnership health checks

- Action and monitor take up of recommendations resulting from evaluations and reviews
- Support appropriate sharing of information to in-country and Australian stakeholders.
- Review and revise the partnerships' MEL framework.

Funded NGO partners will:

- Participate in revising the MEL framework with partners, using the draft Theory of Change and Theory of Action as a starting point
- Undertake monitoring and evaluation of their own initiatives
- Contribute to the development of terms of reference for joint evaluations
- Participate in joint evaluations (as agreed)
- Share internal learnings and feed these into collective learning processes
- Support partner MEL by building partner MEL capacity, ensuring collective Australian learning is fed back to partners, and supporting partners to attend learning events (virtually or in-person) in-country and Australia.
- Participate in DFAT-HRG partnership health checks (all HRG member NGOs)
- Implement agreed recommendation findings

DFAT will:

- Participate in revising the MEL framework with partners, using the draft Theory of Change and Theory of Action as a starting point
- Review monitoring reports and individual evaluations and provide feedback to NGOs on performance
- Input into the terms of reference for all evaluations
- Participate in joint evaluations
- Participate in DFAT-HRG partnership health checks
- Manage the mid-term and final review of the partnership
- Provide management responses to joint evaluations, the MTR and final evaluation
- Review and respond to recommendations.

5. Governance Structure

The Australian Humanitarian Partnership will be implemented in accordance with the Australian Government's development policy *Australian Aid: promoting prosperity, reducing poverty, enhancing stability* and performance framework *Making Performance Count: enhancing the accountability and effectiveness of Australian aid* (2014). This design has been formulated with reference to DFAT's (draft) Humanitarian Strategy.

The DFAT-HRG partnership builds on the existing structure of the HRG and the existing relationship between the HRG and DFAT.

High-level partnership meetings will provide the opportunity for strategic dialogue on matters of policy:

- Annual humanitarian policy discussions will be held between CEOs of the HRG members and DFAT's First Assistant Secretary responsible for humanitarian affairs
- Quarterly humanitarian partnership dialogue meetings will be held at the humanitarian director level.

Operational meetings will provide the forum for practical coordination, collaboration, information exchange and lesson learning:

- Activation and lesson learning meetings for responses
- Quarterly collaboration meetings among ANGOs funded to build local humanitarian capacity in the Pacific (held back-to-back with quarterly meetings of the partnership as a whole)
- Issue-specific teleconferences may be convened, with participation determined on a case-by-case basis
- Regular meetings between Partnership Director and DFAT Humanitarian Director.

6. Implementation Arrangements

Roles and Responsibilities

The partnership's ultimate goal is to save lives, alleviate suffering and enhance human dignity during and in the aftermath of conflict, disasters and other humanitarian crises, as well as to strengthen capacity to prepare for and recover from the occurrence of such situations. **The purpose of the partnership,** and the Support Unit which underpins it, is to strengthen collaboration and innovation to deliver effective humanitarian assistance and support local communities to take a leadership role in preparedness, response, risk reduction and resilience efforts.

The partnership aims to add quality to the work of all partners. **All HRG member NGOs** will have the opportunity to help improve the quality of Australian responses

to humanitarian crises, in particular through participation in strategic policy dialogue, practical collaboration, open communication and mutual learning exercises.

DFAT will participate and engage in HRG meetings, recognising this forum as the key channel for strategic dialogue. DFAT will be responsible for managing contracts with the Support Unit, including by clearly articulating what it requires of funded partners. It will notify HRG members of activation of response funding, and ensure timely disbursal of funds. DFAT will engage with partners in a manner consistent with the principles of Good Humanitarian Donorship.

HRG member NGOs (subject to decisions made during a partnership brokering exercise) will continue to chair the HRG on a rotating basis, and will participate in Response Committees where relevant, and will participate in the range of partnership and lesson learning activities on an opt-in basis. NGOs selected for funding will implement their activities transparently, and in accordance with applicable humanitarian accountability standards.[47] They will report on activity progress in line with agreed formats.

The HRG, and its members, are independent of Government and remain important vehicles for advocacy and policy development. That role will continue outside the scope of the Australian Humanitarian Partnership. During the inception phase, the Support Unit will work with DFAT and HRG members to develop a set of communication protocols which will guide communication activities in the lead up to, during and after a humanitarian response which has involved the Australian Humanitarian Partnership. These protocols will be developed collaboratively and agreed to by all partners.

The organisation selected to host the Support Unit will be contracted through a competitive procurement process. The organisation must have the capacity to enter into contractual agreements with the 4-6 HRG member NGOs pre-selected to receive DFAT funding.

The **Support Unit** will be responsible for supporting partners to work together to achieve the partnership outcomes and for the day-to-day functioning of the Australian Humanitarian Partnership. It will manage the activation processes, including by convening meetings, engaging external technical expertise, documenting decisions and communicating with partners. It will be the central focus for lesson learning in the partnership, including by compiling joint reporting, convening lessons-learned activities and disseminating associated documentation. It will be the primary resource for maximising public awareness of the achievements of the partnership, including by providing information to DFAT and other partners, and producing coordinated media products.

[47] Including among others the Core Humanitarian Standard on Quality and Accountability, the ACFID Code of Conduct, the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief, and the Sendai Framework for Disaster Risk Reduction.

Management and Staffing

The Support unit will be staffed by three people and have access to external technical expertise.

The **Partnership Director** will lead the Support Unit and oversee all of its functions, and will be the central point of contact for the operation of the partnership. The Director will be responsible for managing contractual arrangements with DFAT and with the relevant NGOs, managing activations for rapid-onset responses, including by convening the Response Committee, participating in Response Committee deliberations, producing the Consolidated Proposal and communicating with DFAT. The Director will also be responsible for managing activations of funding relating to protracted and slow-onset crises, including by arranging pre-activation teleconferences, convening the technical assessment panel, producing the Consolidated Proposal and communicating with DFAT. The Director will play a strategic role in maximising the public visibility of activities undertaken through the partnership.

The design team recommends that the Partnership Director report to the co-chairs of the HRG (or to an appropriate alternative agreed to by partners) in recognition of the importance of the DFAT-HRG relationship to the spirit of the Australian Humanitarian Partnership. The Partnership Director will have day-to-day line management and human resources issues managed by the CEO (or agreed equivalent) of the organisation selected to host the Support Unit. The Director position will be funded by DFAT.

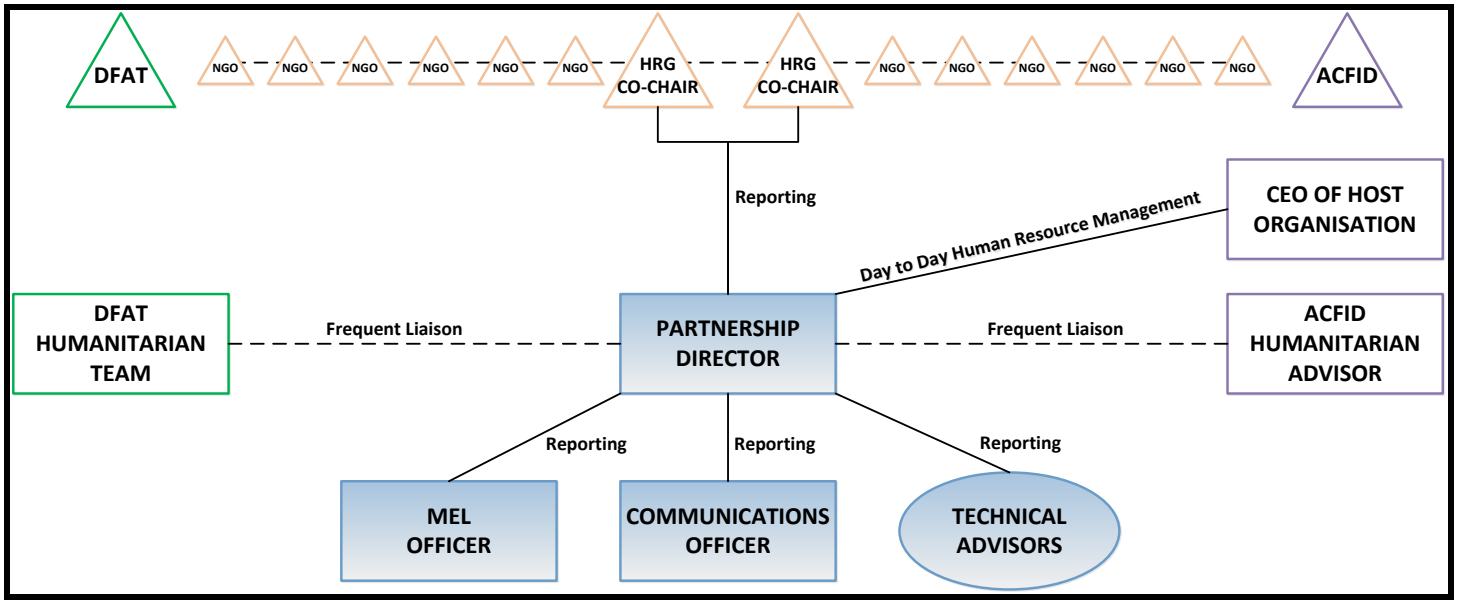
The **Monitoring, Evaluation and Learning (MEL) Officer** will build on the draft MEL framework in this design and work collaboratively with partners to develop a revised MEL framework. The Officer will build on HPA work to-date and further streamline and target reporting templates. The Officer will compile NGO reporting into joint reports that meet DFAT's requirements, and which can be used to inform future decision-making. The MEL Officer will convene lesson learning exercises, ensure that appropriate documentation is shared among all members of the HRG (and beyond), and ensure that the capability map is kept up-to-date. This position will coordinate collective evaluations and hold responsibility for implementing the partnership MEL framework. The MEL Officer will be funded by DFAT and will report to the Partnership Director.

The **Communications and Support Officer** will work with DFAT, and HRG members to improve the public's awareness of Australia's collective response to humanitarian crises in a manner that is timely, accurate and engaging. The Communications and Support Officer duties will include gathering information from funded NGO partners as responses are assembled; providing comprehensive media materials to encourage informed reporting; maintaining relationships with DFAT's communications officer (within the Humanitarian Division) and ANGOs' media teams to ensure the collective story is included in media releases, talking points etc.; creating content (producing text/graphics, sourcing photos from the field, writing articles for blogs) to share with partners; preparing written, photo and graphic content for social media distribution;

and leveraging the media and communication channels of all partners. Duties will also include general administrative support (including contract administration) for the operation of the partnership as a whole. The Communications and Support Officer will be funded by DFAT and will report to the Partnership Director.

A small pool of **expert technical advisors** will be available to the Support Unit through a 'Help Desk' standby contract. The advisors will primarily be used to provide an independent, expert voice on the Response Committee for funding of rapid-onset responses and the technical assessment panels for funding relating to protracted and slow onset crises. They may also be used to facilitate lesson learning exercises, and to verify the accuracy of capability maps, along with other tasks as required. Funding for access to technical advisors with strategic communications and content creation expertise will also be available to the Support Unit. The pool of expert technical advisors will be funded by DFAT.

The Support Unit will work with **ACFID staff** as required, particularly recognising the need for effective collaboration with ACFID's Humanitarian Policy Advisor and ACFID's communication team.



Detailed position descriptions for the above positions are provided at **Annex 6**.

Procurement Arrangements

DFAT will tender for **an organisation to host the Support Unit** through a competitive procurement process. DFAT envisages that the competitive process will draw interest from organisations in the non-government sector including possibly HRG NGO members and/or peak bodies such as ACFID. The procurement process will also be open to private sector bodies. The organisation must have the capacity to enter into contractual agreements with the 4-6 HRG member NGOs pre-selected to receive DFAT funding.

The proposed **selection criteria** for the tender for an organisation to host the Support Unit include:

1. Knowledge of the humanitarian sector

- Knowledge of and experience working with Australian NGOs and their local partners
- Knowledge of and experience working with the Australian Government aid program, preferably on humanitarian programming
- Familiarity with and commitment to Good Humanitarian Donorship principles

2. Experience managing relationships in a complex partnership

- Experience in partnership brokering and negotiation
- Experience in managing diverse and at times competing organisations for the achievement of a shared objective

3. Contracting capability

- Proven ability to develop contracting templates
- Proven ability to manage contractual relationships for results
- Demonstrated ability to undertake contracting processes *rapidly* under pressure

4. Ability to act rapidly

- Willingness and demonstrated ability to meet the deadlines specified for activation of the Australian Humanitarian Partnership
- Willingness and demonstrated mechanisms for undertaking the work including out of regular office hours when required

5. Monitoring, evaluation and learning capability

- Demonstrated experience managing monitoring and evaluation processes for complex development programs, preferably humanitarian programming.

DFAT will pay the costs of the **Support Unit** through an acquittable grant to the selected organisation. DFAT may elect to second a DFAT staff member into the Support Unit. Any decision around a secondee would be made in collaboration with HRG members. The Support Unit will be *hosted by* an organisation but will not be *part of* that organisation. It will remain organisationally separate.

Support Unit personnel – including three staff members and the on-call technical experts – will be recruited by the DFAT-HRG partnership and engaged by the host organisation. The selection panel will be made up of two HRG members, and one DFAT representative.[48] The host organisation will assume responsibility for human resource management of all Support Unit personnel.

[48] Draft position descriptions are attached at Annex 6, for discussion and agreement among DFAT, ACFID and HRG members.

Through a competitive procurement process, **4-6 HRG member NGOs** will be selected by DFAT to be eligible for response funding (including early recovery) and to receive multi-year funding to support local humanitarian capability and strengthen the disaster resilience of communities in the Pacific region. Applications will be restricted to NGO members of the HRG (consortia led by an HRG member and involving non-HRG members will be eligible to apply). The selection process will place significant emphasis on demonstrable humanitarian capabilities and on existing presence and capacity in Pacific island countries, in line with the five 'domains of capability' outlined above. [49]

Procurement processes during activations of response funding

The Consolidated Proposal submitted to DFAT by the Support Unit will form the basis of an acquittable grant from DFAT to the Support Unit. The Support Unit will sub-contract to the relevant HRG member NGOs identified for funding.

Performance and results will be linked to future funding decisions, as the Response Committees and Technical Assessment Panels will be required to consider past performance in their deliberations.

All HRG member NGOs have demonstrated their commitment to coordinated humanitarian action over many years through their participation in the HRG. The successful operation of the HPA demonstrates there is more-than sufficient market capacity to implement the Australian Government's humanitarian response programming among members of the HRG.

The following is an **indicative schedule of procurement processes** for the Australian Humanitarian Partnership.

March – July 2016	**M**	**A**	**M**	**J**	**J**
DFAT approves Investment Design	x				
Draft procurement documentation prepared by DFAT and the Design Team	x	x			
Procurement documentation finalised by DFAT		x	x		
Competitive procurement call for submission of statements of capability by HRG members			x		
Competitive procurement call for submission of statements by organisations to host the Support Unit			x		
Selection and contracting of successful bidder to host the Support Unit				x	
Advertising and selection of Support Unit personnel				x	
Submission of statements of capability by HRG members				x	
Commencement of Support Unit personnel					x
Selection and contracting of successful NGO bidders					x
Implementation commences					x

[49] Detailed selection documentation will be developed by DFAT and the Design Team.

Implementation Schedule – Year One

Once procurement has been conducted and agreements signed, the partners – supported by the Support Unit – will begin to operationalise the Australian Humanitarian Partnership. The partnership will rely on HPA templates (and processes) until new ones are developed. The following schedule is an indicative list of priority actions for the first 12 months of the partnership.

July 2016 – June 2017	**J**	**A**	**S**	**O**	**N**	**D**	**J**	**F**	**M**	**A**	**M**	**J**
Quarterly meeting (inception meeting/partnership brokering)	x											
Development of principles, templates and processes for the response funding	x	x										
'Design and implement' inception phase to build local humanitarian capability and strengthen disaster resilience of communities in the Pacific	x	x	x	x	x							
MEL framework revised, and familiarisation and planning of MEL events		x	x									
Development of communications plan and protocols			x	x								
Quarterly meeting (revised MEL framework and communications plan)				x								
Development of consolidated ANGO capability mapping				x	x	x	x	x	x			
Quarterly meeting (building humanitarian capability and strengthening disaster resilience)							x					
Quarterly meeting (capability mapping)										x		

Initial **quarterly humanitarian partnership dialogue meetings** will be used to set the direction of the partnership and iron out details of implementation arrangements. Suggested topics for discussion are:

- July 2016: Inception meeting to introduce Support Unit team, discuss the partnership arrangements and plan for the first three months of operations. The design team recommends that a partnership broker be engaged to facilitate work on the partnership's agreed priorities and outcomes
- October 2016: Operationalising the revised MEL framework and the communications plan and protocols
- January 2017: Presentation of progress of the inception phase to build local humanitarian capability and strengthen disaster resilience of Pacific communities.
- April 2017: Developing a comprehensive ANGO humanitarian capacity map

Development of mutually agreed **templates** and **processes** to increase efficiency will be a priority in the operationalisation of response funding. HPA templates and processes offer a useful starting point. At a minimum, these should include:

- An agreed process and criteria for the review and scoring of proposals, to

ensure the consistency and rigour of decision-making processes
- Template for individual NGO proposals to the Response Committee (rapid-onset crises) and the Technical Assessment Panel (protracted and slow onset crises)
- Template for Consolidated Proposals (one for rapid-onset crises and one for protracted and slow onset crises)
- Cleared template for grant agreements between the Support Unit and funded NGOs
- Template for Implementation Plans (one for rapid-onset crises and one for protracted and slow onset crises)
- Template for individual NGO progress and completion reports, and an associated Joint Report, both aligned to the revised M&E framework.

The inception phase for activities to **build local humanitarian capability in the Pacific and strengthen disaster resilience in Pacific communities** will determine the priorities, partnerships and activities to be pursued. Strong emphasis will be placed on approaches which draw in a range of local players, and collaboration between ANGOs, their local partners, the Red Cross and other significant local actors.

MEL framework revision and familiarisation, including annual planning of MEL events, will ensure all partners and the MEL Officer have a unified approach to monitoring, evaluation and learning under the partnership.

A **Communications Plan** for the Australian Humanitarian Partnership will be developed by the Communications and Support Officer, in collaboration with HRG members. The Plan will agree protocols and products for communication with the Australian and overseas public. The Plan will clearly set out processes and templates for joint press releases and other media products.

A comprehensive ANGO humanitarian capability map which outlines by country the organisational strength, extent of partner government approval to operate, sectoral focus and geographic presence of each ANGO will inform decision-making by the Response Committees, Technical Assessment Panels and DFAT. It will also support coordination and collaboration among HRG member NGOs beyond the scope of DFAT funding.

Development of this capability map will be carried out by the Support Unit using the proposals submitted by NGOs in the DFAT tender processes as a starting point. The Support Unit will work with DFAT to assess the viability of adapting the Smartygrants IT system to capture, present and update capacity mapping information in a way that is useful, timely and relevant to the partnership.

Sustainability

Sustainability has been a key consideration in the design of the Australian Humanitarian Partnership. The members of the HRG, and their global families, are well-established organisations with multiple funding sources and physical presence

throughout the world. The partnership is based on a pre-existing coordination mechanism (the HRG), which will continue regardless of DFAT funding.

The strong emphasis placed on strengthening disaster resilience and the localisation agenda will help the partnership to make a strong contribution to the sustainability of the global humanitarian system. **The inclusion of early recovery** activities in response funding will help to ensure that response activities support ongoing recovery and development.

Gender Equality

The Australian Humanitarian Partnership will embed gender equality policy and program approaches across the investment. Strategic dialogue and learning activities will include a focus on improving gender equality outcomes. Contingency planning prior to the onset of an emergency and the design of services will aim to meet the needs of all, based on context-specific gender analysis. Support will be given to women's participation and leadership in humanitarian responses as well as initiatives to reduce risk and strengthen resilience. A woman's right to be free from violence and to engage at all levels in the humanitarian response, early recovery and risk reduction initiatives will be an essential and visible part of the Australian Government's activities through this partnership.

The process of selecting ANGO partners for funding will include the requirement for **demonstrated capability of expertise and experience in gender equality in program design and delivery.** Tender assessment details will draw on relevant global good practice guidelines.[50] Selection will include an assessment of ANGOs' capability statements to ensure disaster risk reduction (prevention, mitigation and preparedness), response and recovery initiatives equally involve and benefit men, women, boys and girls.

All activities under the Australian Humanitarian Partnership will be designed in accordance with DFAT's *Gender equality and women's empowerment strategy.*[51]

The investment will take forward lessons from the review of the HPA and integrate gender equality into the overarching MEL framework (refer Section 4). Minimum requirements have been established to ensure partners appropriately target vulnerable groups including children, women and people with disabilities. Sex and age disaggregated data will be collected and used to improve investments. The Support Unit's MEL Officer will work with partners, and revise templates as appropriate, to ensure a consistent approach to data collection and use.

This investment will **focus on approaches and learnings which relate to strengthening opportunities for women's leadership** (in responses and community-resilience activities), **as well as ensuring high quality protection approaches**,

[50] Such as: the *Inter-agency Standing Committee: IASC Gender Handbook in Humanitarian Action* (2006); and the *Inter-agency Standing Committee, 2015: Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action: Reducing risk, promoting resilience and aiding recovery*.

[51] DFAT's Gender Equality and Women's Empowerment Strategy, February 2016.

particularly around GBV. Partners will build on the HPA Gender Action Plans, and consider the value of adopting the revised IASC Gender Marker as a simple system of ensuring that both design and implementation is gender sensitive.

The Support Unit will work with partners to create opportunities for collaboration and resource-sharing. This might include supporting the collaborative development of *rapid gender analyses* which are then shared with all partners to provide practical recommendations for programming. It might also include the sharing of gender expertise, where an ANGO with in-house gender expertise provides this resource to benefit partners' activities (such as being part of Technical Assessment Panels; running learning events etc).

In addition, **funded NGO partners will be required to create opportunities for local women's civil society groups to participate meaningfully in decision-making** on policy and practice for humanitarian assistance, as well as around risk reduction and resilience work. Funded NGOs will also be required to provide data on workplace gender equity within both the ANGO and their local partners, with the aim of improving workplace equity.

Disability Inclusiveness

Including people with disabilities is a priority for Australia's aid program. Australia has ratified the United Nations Convention on the Rights of Persons with Disabilities (UNCRPD), and and adopted the Sendai Framework, which includes strong commitments to inclusivity of all stakeholder groups, including people with disabilities. Australia is committed to all Australian aid activities including and benefitting people with disabilities. Protecting people with disabilities in humanitarian crises is a particular focus of DFAT's (draft) Humanitarian Strategy, and has been a priority for DFAT and many of its NGO partners for a number of years.

Disability inclusiveness will be a key consideration in the deliberations of the Response Committees and the Technical Assessment Panels. Disability inclusiveness will also be a key consideration in the 'design and implement' process for activities that build local humanitarian capacity in the Pacific and strengthen the disaster resilience of Pacific communities. The inception phase of that set of activities will include consultation with Pacific-based people with disabilities, through the Pacific Disability Forum (PDF), and opportunities will be sought for people with disabilities to take leadership positions in the activities. Disability inclusiveness will also be a consideration in the selection for activities that promote humanitarian innovation.

All activities under the Australian Humanitarian Partnership will be designed in accordance with DFAT's *Development for All 2015-2020* strategy for strengthening disability-inclusive development in Australia's aid program and *Accessibility Design Guide: Universal Design Principles for Australia's Aid Program*. NGOs funded through the partnership will collect data across all interventions, using methods similar to the Washington Group questions, which identify disability-prevalence where possible.

Private Sector

The Australian Humanitarian Partnership is a partnership between DFAT and Australian NGOs. The private sector is not, therefore, a central player in the partnership. Nonetheless, the private sector is increasingly involved in providing humanitarian assistance, offering innovative solutions to humanitarian problems. DFAT and its NGO partners regularly engage with private sector partners, particularly for the supply of logistical and procurement services.

DFAT funding under the partnership will support innovation to be mainstreamed across all outcome areas. In the initial two years of the partnership, it is anticipated that mainstreaming efforts may focus on exploring innovative approaches to humanitarian response (including early recovery) and capacity building through partnerships with the **private sector**.

Risk Management Plan

A degree of risk is inherent in all humanitarian response activities. Accordingly, risk management has been a key consideration in the design of the Australian Humanitarian Partnership. Risk and risk management will be considered explicitly by the Response Committees, and by the Technical Assessment Panels for each activation.

Under the Australian Humanitarian Partnership, funding will only flow from DFAT, via the Support Unit, to NGOs accredited to DFAT's ANCP program – which have undergone rigorous assessment of their systems, processes, and track record. These NGOs have demonstrated experience and processes to ensure adequate protection against **fraud risk** and provide for **personnel safety** in high risk environments.

The partnership is built on established structures (particularly the HRG) and proven long-term partners. It includes a well-resourced Support Unit to support the functioning of the partnership. These factors mitigate the **partnership risks** and **coordination risks** involved in a partnership of 16 agencies.

The Risk Register for the partnership is included at **Annex 8**. The risk register will be reviewed by DFAT quarterly as part of ongoing risk management and quality assurance processes.

Safeguards

Activities under this investment have the potential to cause harm in relation to child protection. Children are particularly vulnerable during crises, and the role played by partners on the ground will potentially involve a high level of staff contact with children. The potential impact of this risk is major. In particular, there is potential for a strong negative impact on beneficiaries and their communities. There is also the possibility for negative impact on DFAT's reputation.

Activities under this investment also have the potential to cause environmental harm. For example, disposal of medical waste and handling of hazardous

construction materials such as asbestos-cement sheeting create risks that need to be appropriately managed. The potential impact of this risk is moderate, with the possibility of negative impact on beneficiaries and DFAT's reputation.

Only ANGOs accredited to DFAT's ANCP program will be eligible for funding through this investment (along with consortia of NGOs led by an HRG-member). ANCP accreditation is a rigorous assessment which examines NGOs' governance, program management capacity, partner management, and risk management – including capacity around, and compliance with, the main safeguard issues. The competitive procurement processes will further stipulate a requirement for compliance with DFAT's child protection standards and environmental safeguard systems, and will also assess broader protection capabilities including around gender equality and disability inclusion.

During implementation, checks of compliance with DFAT's child protection and environmental protection policies, and the presence of appropriate safeguards, will be carried out as part of monitoring, evaluation and learning activities. These checks will cover both funded ANGO partners and their local implementing partners.

Annex 1: Lessons from the HPA Review

A summary of lessons collected as part of the review of the HPA is below:

The Partnership Approach

- **The HPA emphasis on collaborative relationships between trusted and respected partners has delivered good outcomes**. The partnership has matured over the life of the HPA. The HPA experience should be seen as a basis on which to build.
- **Clarity of purpose is critical to effective partnerships**. It is important that all partners share a common understanding of the partnership's purpose, its collective value, and the roles, responsibilities and accountabilities of each partner.
- **Effective partnerships take time**, and require: shared objectives but also an understanding of those objectives which are not shared; positive relationships; risk sharing; and a commitment to trust and equity within the partnership.
- **Ongoing care must be taken in balancing relationships between HPA partners, the broader HRG and ACFID**. There is need to clarify the appropriate channels for, and objectives of, the strategic dialogue. An overarching document that gives clarity on roles, responsibilities and communication between these various stakeholders would be valuable.[52]
- **Regular and transparent communication between partners is important** for maintaining effectiveness and efficiency.
- **The HPA fosters competition as well as collaboration**. The peer review makes use of partner expertise to improve the quality of response designs. However, it also places partners in a position where they are expected to be objective while they are under pressure to secure funding, compromising the integrity of the process and quality of the relationships.
- **The level of awareness of the HPA** among the various sections of DFAT (including posts) impacts (positively and negatively) on the effectiveness and efficiency of the mechanism.[53] Deployment of DFAT Crisis Response Team members assisted in mitigating this issue.[54]
- **There are often large, capable non-HPA partners working on the ground that could be consulted with**, and may be in a position to add-value to Australia's collective humanitarian response. Non-HPA NGOs note that they are also partners of DFAT.
- **Shared learning events work well when they focus on the quality** of the response and/or programming (in addition to the process), and are inclusive of the full sector as represented by the HRG.

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[52] HPA mid-term review June 2013, p.22.

[53] HPA mid-term review June 2013, p.19 and Philippines Typhoon Haiyan HPA Response Report, August 2014. p.20.

[54] Philippines Typhoon Bopha HPA Response Report, June 2013. pp.11-12.

Efficiency and Effectiveness of the HPA Mechansim

- **The mechanism is best suited to rapid onset crises. I**nitial distributions based on 'coarse' needs assessment data (largely informed by prior experience) enable essential items to be provided quickly. Using this contact with affected communities to enable a more detailed needs assessment proved an effective approach.[55]
- **The eight week window built into the HPA enhances the planning process**. This enables in-country partners to collect substantive information in the start-up phase.
- **The HPA was not designed for slow onset and protracted crises, yet adaptations have occurred** over the course of the partnership making it more 'fit-for-purpose'.[56]
- **In protracted crises, DFAT country programs can usefully be involved in decision-making from the beginning**, and decision-making processes should be appropriate to the timeframes (e.g. through including an independent technical assessment of proposals).
- **A separate mechanism (or funding window) for slow-onset and protracted crises could allow for more appropriate decision-making** and response timeframes, as well as targeted selection of the most appropriate partners for specific response types.
- **Capacity mapping procedures,** presenting an up-to-date, verified picture of the nature of existing presence and capacity could support better decision-making.
- **There is potential value in developing a system among partners to trigger discussions about early warning signs** (such as the Ebola crisis) to ensure timeliness of response.
- **HPA funding is particularly valuable to partners in crises in which it is difficult to secure public funding**. The transaction costs are more acceptable to partners in cases where other funding is difficult to obtain (i.e. Horn of Africa and Syrian crises).
- **Efficiency could be improved by increasing the volume of funding through the mechanism.** Conversely, if there is no appetite to increase the funding through HPA, then governance arrangements should be made less time- and resource-intensive.
- **Implementing partners have appreciated the flexibility of funding,** which they have used on 'softer' activities such as capacity building in MEL, and trialling new approaches to protection.

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[55] Philippines Typhoon Bopha HPA Response Report, June 2013. pp. 12-13.

[56] This is illustrated by the Lebanon activation which gave partners an additional two week period to prepare investment concept proposals.

DRR and DRM Activities

- **Long term, predictable funding has supported partners to evolve and deepen their DRR and DRM strategies** over the four year period and has supported them to build and maintain valuable expertise in these areas. Clearer parameters around DRR and DRM funding (i.e. geographic, thematic) could help to focus activities in the future.
- **NGOs are uniquely placed to implement disaster risk reduction work** across these various levels due to their relationships with communities, district and provincial level officials and national government agencies.[57]
- **HPA learning around DRR and DRM has been particularly valuable** as it has allowed partners to build and share expertise in a particular area over a long timeframe. However, these learnings could be used more effectively in programming and advocacy.
- **The DRR component could be strengthened by dialogue with development-focused NGO** colleagues on the importance of mainstreaming DRR into development programming.
- **The emphasis on DRR and DRM learning needs to support sector-wide learning** (rather than simply aim to bring others into HPA DRR/DRM learning events).
- **The HPA definition of DRM is different to the shared (UN) definition**. This has created some confusion as to the focus of funding.
- There would be value in ensuring that the **DRR funding within the HPA forms part of a coordinated, strategic approach** to DRR by DFAT.
- **It is important to promote and strengthen links** between DRR, DRM and response.[58]

Monitoring, Evaluation and Learning

- **The lack of a clear overarching monitoring, evaluation and learning framework** for the HPA has constrained its ability to articulate the value of the partnership.
- **A future mechanism would benefit from a clear MEL framework with defined partnership outcomes** and partner roles in MEL, as well as sufficient budget allocation.
- **The HPA has been valuable in supporting partners to improve their MEL of responses** by funding implementing partners' in-country learning events and staff training in MEL.
- **Partners have benefitted from formal and informal learning** that has taken place under the framework of the HPA. Non-HPA partners have sometimes been excluded from this learning, in which they could have both added value to, and benefited from.
- **'Value for Money' considerations have not been integrated in the HPA MEL making it difficult to assess this issue**. This is particularly problematic given concerns around high transaction costs.[59]

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[57] Joint Communique: Learning and Recommendations on Disaster Risk Reduction, May 2014.

[58] Joint Communique: Learning and Recommendations on Disaster Risk Reduction, May 2014.

- **A lack of technical/sectoral 'global' indicators has hindered simple aggregated reporting** which would allow DFAT and NGO partners to feed into global reporting, and also provide clearer messaging of impact to the Australian public.
- **Reporting processes have been cumbersome** with NGO partners and the HPA Director spending significant amounts of time compiling sets of data to produce collective reports. The use of online systems such as ANCPs 'Smarty Grants' may be appropriate for the HPA.
- **Much of the HPA learning has occurred in relation to DRR/DRM** which encompasses a relatively stable set of ongoing activities. **Facilitating learning in relation to crisis contexts requires different MEL** that takes into account the nature of working in these contexts.
- The proposal and reporting formats are activity focused which is **appropriate for a rapid onset response**. **Protracted crises warrant a more sophisticated design** which includes a Theory of Change, program strategies and expected outcomes.
- It would be valuable to **share the results and learnings of collective activations**, as outlined in HPA reports and evaluations, **with HPA implementing partners.**

Management and Governance Arrangements

- **There are many benefits of NGO peer-based decision making,** such as access to operational expertise. However it is often the anticipation of the peer review which improves the quality of proposals, rather than the peer review itself (i.e. scoring processes and the question and answer session).
- **In certain circumstances, the peer review would benefit from involving an independent technical appraisal** of individual proposals. This would be particularly relevant for slow onset and protracted crises (e.g. Lebanon GBV sector).
- Partners experience a range of pressures during the first phase of a crisis. **NGO participation in scoring and decision making may not be the best use of their time**.
- **In certain circumstances, a decision to distribute available funds evenly among NGO partners may be appropriate to the response context.** It may also be an effective way to minimise transaction costs and foster more effective collaboration.
- **There is no need to establish an HPA-specific coordination mechanism at the country level** for emergency responses additional to existing coordination mechanisms.[60]
- **Additional staffing resources, contributed by the NGO hosting the HPA Director, have been central** to ensuring the effective and efficient operation of the HPA.

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[59] The challenge around identifying what has gone into (i.e. partner time and resources) and the collective value of the partnership has implications for determining the Value for Money of the HPA (for both DFAT and NGO partners).

[60] Philippines Typhoon Bopha HPA Response Report, June 2013. p.15.

Gender Equality, Disability Inclusion and Protection

- **The focus on gender equality within the HPA was improved by the introduction of the Gender Action Plans**, and gender-related lessons from early HPA reviews were successfully applied in future activations, such as in the Typhoon Haiyan response. There is an opportunity with a new mechanism to take this work to a higher level.
- **The HPA has supported a focus on protection mainstreaming.** An implementing partner noted that this was highly beneficial and rare compared with other donors.
- **Protection and other cross-cutting issues (i.e. disability inclusion and child protection) have not been adequately integrated into HPA MEL,** making it difficult to assess partner achievements and challenges in relation to these issues.
- **It would be helpful if DFAT clarified its position on protection within HPA activations**, as some partners noted that dedicated protection activities were often removed from proposals in favour of 'harder-edged' frontline responses. As a result, HPA NGO partners have appeared to mainly focus on mainstreaming protection into humanitarian responses.

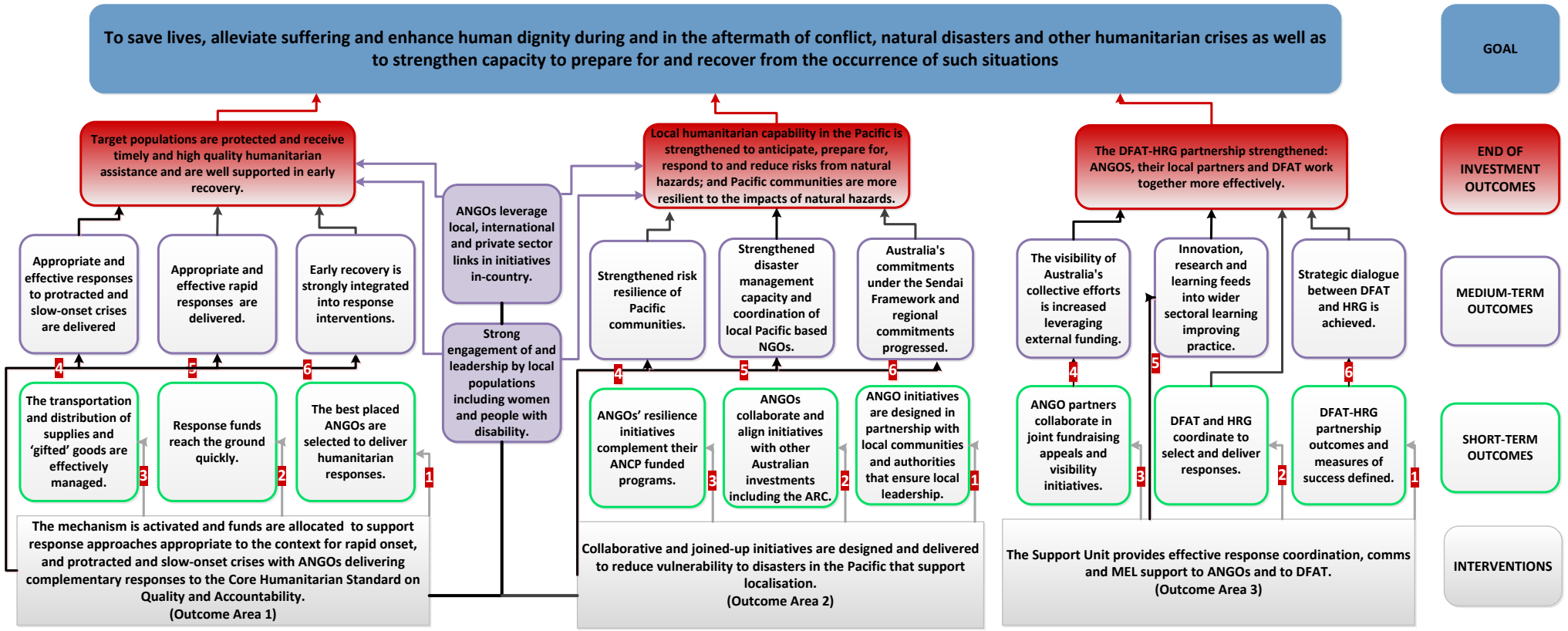
Public Awareness and Visibility

- **The rapid release of funds is an important contributor to visibility** of the Australian response to a humanitarian emergency.[61]
- **A lack of clarity on what to promote (to who and how), has led to missed opportunities** to showcase the collective achievements of the HPA.
- **There is a conceptual distinction between in-country visibility as a donor (i.e. stickers and signage) and visibility recognition as a global player.** These have not been appropriately distinguished in the implementation of the HPA.
- **The amount of funding that flows through the HPA poses challenges to promoting public awareness and visibility**. In some instance, HPA funding is small relative to public donations; and in some countries, the total Australian funding is a small percentage of the global response.
- **The absence of a visibility plan has negatively impacted on public awareness** of the HPA's achievements.[62]
- **A shared understanding on branding** (i.e. should the HPA have a brand of its own?) and target audiences (to assist with generating case studies) would be beneficial.

[61] Independent Review of the Period Funding Agreement for Disaster Risk Management (PFA), December 2009. p.5.

[62] HPA mid-term review, June 2013, p.21.

Annex 2: Draft Theory of Change



ASSUMPTIONS

The following assumptions are linked to the numbers in the Theory of Change diagram:

ASSUMPTIONS UNDERPINNING THE THEORY OF CHANGE

Outcome Area 1: Response and early recovery

1. The peer review panel is objective and transparent.

2. ANGOs have the legal and operational arrangements in place to operate in-country.

3. DFAT can arrange transportation and ANGO partners can satisfy government requirements for entry and transportation of supplies.

4. ANGOs and their local in-country partners have appropriate expertise and capacity to deliver responses to protracted crises and/or slow-onset crises.

5. ANGOs and their local in-country partners have appropriate expertise and capacity to deliver responses to rapid response crises.

6. Partners have the capacity to make good decisions based on limited rapid assessments and consider recovery needs early on alongside response efforts.

Outcome Area 2: Building local humanitarian capability and strengthening disaster resilience of communities in the Pacific

1. ANGO systems and the DFAT-NGO design process are flexible enough for partners to explore synergies.

2. Diversity of NGOs' sectoral and geographic focuses and internal agency processes does not limit collaboration.

3. NGOs have good working relationships with local authorities and are able to undertake joint decision making and ownership for initiatives.

4. NGOs integrate a strong community capacity building focus throughout initiatives.

5. Local NGO staff and organisational structures are sustainable and appropriately supported by ANGOs.

6. Sendai guiding principles are integrated into the design and delivery of initiatives.

Outcome Area 3: The DFAT-HRG partnership

1. DFAT and HRG members can agree on clear and achievable partnership outcomes and the Support Unit functions to progress these.

2. DFAT, Whole-of-government and ANGO response partners can form working links in responses where appropriate.

3. ANGOs do not perceive that this will diminish their ability to raise funds.

4. Domestic and international stakeholders are more likely to contribute funds if they see a coordinated and consolidated Australian approach.

5. Learning in relation to response and resilience initiatives feeds into the wider learning agenda of the HRG.

6. HRG dialogue will not be diluted by locating the mechanism within the HRG (noting not all members will receive funding).

Annex 3: Draft Theory of Action

This section presents the draft Theory of Action for the partnership. It explains how the Theory of Change (presented in Annex 2) will be activated to achieve the expected outcomes. It identifies Measures of Success which clarify each outcome and identify what success will look like. These Measures of Success are the criteria by which performance will be judged. The Theory of Action also outlines what the partnership will do to achieve the intended outcomes. Only outcomes with activities allocated to them are included. This is because higher level end of investment outcomes may flow primarily from lower-level outcomes, with little or no further effort required by the project.

OUTCOME AREA 1: RESPONSE & EARLY RECOVERY		
Outcomes	**Measures of Success**	**How will the outcomes be activated?**
The best placed ANGOs are selected to deliver humanitarian responses.	• Selection ensures optimal overall response in terms of achieving maximum reach and addressing priority needs, avoiding duplication. • Selected partners have good relationships with local implementing partners, government and communities and support localisation. • Selected partners have the technical and humanitarian response capacity to deliver the response required.	• DFAT and HRG will revise selection criteria to ensure rigour within the decision making process. • For responses, a committee with the expertise required which brings in independent players will be formed comprising: one representative of each pre-selected NGO; the Partnership Director; an HRG representative and an independent technical expert. • For protracted and slow onset crises, the selection parameters will be determined by DFAT and the selection process will involve consultation with Post and, if appropriate, the recipient government. The selection will be informed by an assessment of the proposal/s by a technical panel, the composition of which will be determined by DFAT on a case by case basis. • The effectiveness of both selection processes will be reviewed. • The capability map will help to ensure appropriate selection
Response funds reach the ground quickly.	Rapid response: • DFAT approves proposal (Activation + 48 - 72 hours) • Funded NGOs use agency funding in the interim	• The Support Unit effectively supports the response funding activation processes. • DFAT will be responsible for managing contracts with the Support Unit. The Support Unit will be responsible for managing contracts

	• DFAT disburses funds (Activation + 1 week) Protracted and slow-onset crises response: • DFAT and funded NGOs agree to the consolidated proposal (Activation + 7-20 days) • DFAT disperses funds (Activation + 3 weeks)	with funded NGO partners and will ensure timely disbursal of funds.
The transportation and distribution of supplies and 'gifted' goods are effectively managed in rapid-onset crises	• DFAT selects the NGOs best placed to take receipt of and distribute the supplies. • Strong coordination between DFAT, selected ANGO partners, ADF and other providers ensures efficient transportation. • Relief supplies are managed and used properly for their intended purposes.	• Ability to manage and distribute logistical supplies is a capability under the Response to rapid-onset crises domain and ANGO capacity will be mapped in this area.
Women, men, boys and girls including people with disability are strongly engaged in responses.	• Funded NGO partners adopt the revised IASC Gender Marker as a simple system of ensuring that both design and implementation is gender sensitive. • Partners have linked with DPOs and use the Washington Group Questions in responses. • Responses use appropriate strategies to ensure women, men, boys and girls and people with disability participate in response processes (i.e. needs identification, registration, distribution). • Funded NGOs and their in-country partners establish feedback and grievance mechanisms that are accessible to different groups (i.e. women, men, children, people with disability).	• The Support Unit will support partners to share tools and learnings to support protection, gender and disability inclusion in responses. • The process of selecting ANGO partners for funding will include the requirement for demonstrated evidence of high quality gender equality and disability inclusion policy and programming, in line with IASC handbooks and guidelines. • The partnership will promote the sharing of gender and disability expertise, where an ANGO with in-house expertise provides this resource to benefit partner activities (such as being part of technical assessment panels and learning events).
ANGOs leverage local, international and private sector links within initiatives in-country.	Additional funds, resources, capacities and expertise are allocated to response efforts to extend reach and multiply the impact of partners' contribution: • ANGOs leverage the funds, resources and capacities of their global families; • ANGOs leverage the resources and capabilities of	• The Domains of Capability for funding under the partnership have a focus on: breadth and depth of relationships with local implementing partners; and relationships with local governments. •

	their local networks (other local NGOs, established local /community structures, and local authorities); • ANGOs link with local private sector entities to create efficiencies and use of locally sourced response supplies where feasible.	
Appropriate and effective responses to protracted and slow-onset crises are delivered.	• Additional measures of success for protracted and slow-onset crises to be developed at inception – facilitated by the support unit. • Funded NGO responses respond to different priority needs and / or reach different communities. • Responses meet the individual needs of men, women, girls and boys. • Gender, disability and child protection needs in emergencies are met. • Responses meet the DAC criteria, Core Humanitarian Standards, and Do No Harm. • Slow onset and protracted crises responses are linked with longer-term processes of recovery and development.	• Selection will include an assessment of ANGOs' capability statements to ensure disaster risk reduction (prevention, mitigation and preparedness), response and recovery initiatives equally involve and benefit men, women, boys and girls. • Protection will be mainstreamed into response criteria and opportunities for standalone GBV protection programming will be provided. • MEL processes integrate review and analysis of response outcomes and adherence to the Core Humanitarian Standards and the Do no Harm principle. • Partnership reporting will capture the full cycle from response through to early recovery.
Appropriate and effective rapid responses are delivered.	• Additional measures of success for rapid responses be developed at inception – facilitated by the Support Unit. • Funded NGO responses respond to different priority needs and/or reach different communities. • Responses meet the individual needs of men, women, girls and boys. • Gender, disability and child protection needs in emergencies are met. • Responses meet the DAC criteria, Core Humanitarian Standards, and Do No Harm. • Immediate relief responses are linked with longer-	• Selection will include an assessment of ANGOs' capability statements to ensure disaster risk reduction (prevention, mitigation and preparedness), response and recovery initiatives equally involve and benefit men, women, boys and girls. • Protection will be mainstreamed into response criteria and opportunities for standalone GBV protection programming will be provided. • MEL processes integrate review and analysis of response outcomes and adherence to the Core Humanitarian Standards and the Do no Harm principle. • Partnership reporting will capture the full cycle from response through to early recovery.

	term processes of recovery and development.	
Early recovery is strongly integrated into responses.	• Early recovery begins early on in response efforts in parallel with relief efforts • Achievable, steady, incremental improvements are made in the safety and resilience of communities and their infrastructure that reduce future vulnerability to natural hazards or other shocks • Immediate relief responses are linked with longer-term processes of recovery and development.	• Selection will include an assessment of ANGOs' capability statements to ensure recovery initiatives are well considered in the immediate response design phases. • The partnerships' MEL assesses the extent to which partners have made good decisions on limited initial rapid assessment. • Partnership reporting will capture the full cycle from response through to early recovery
OUTCOME AREA 2: BUILDING LOCAL HUMANITARIAN CAPACITY AND STRENGTHENING DISASTER RESILEINCE OF PACIFIC COMMUNITIES		
ANGOs' resilience initiatives complement their ANCP funded programs.	• Funded NGOs link DRR / resilience activities in with their development programs to extend reach and impact. • Funded NGOs integrate DRR activities within their development programs, working towards shared goals of reducing community exposure to multiple hazards, thus building resilience.	• In the application process, ANGO partners will be expected to demonstrate how their DRR and resilience initiatives will align with activities implemented through their ANCP funded development activities.
ANGOs collaborate and align initiatives with other Australian investments including with the ARC.	• Funded NGO partners form working links with each other, fellow HRG member NGOs and with other DFAT DRR and DRM investments in the region, including through ANCP and bilateral and regional program (in relation to delivery, innovation, advocacy and learning) .	• The design will allow time to be invested (during the inception phase) to enable partners to deepen mutual understanding of each other's operations in order to identify opportunities for collaboration and to develop joint programs for increased impact.
ANGO initiatives are designed in partnership with local communities and authorities that ensure local leadership.	• Initiatives' approaches, goals, activities and targets are determined in partnership with local communities and authorities. • Initiatives are designed and delivered to support local leadership of DRR and resilience activities by communities and local authorities (with implementing partners playing a support role).	• Selected partners will participate with DFAT in a 'design-and-implement' inception phase, which will determine the priorities, partnerships and activities to be pursued. The localisation agenda will be strongly integrated into the design process and approach.

Strengthened risk resilience of Pacific communities	• Initiatives are designed and implemented to strengthen and augment the capacity (knowledge, skills, connections and institutions) of Pacific communities. • Communities develop capacity to implement disaster risk activities that are inclusive of women, men, children and people with disability. • Communities are better prepared for future crises: Early warning system works for community members (i.e. community members are involved in understanding what to do in an evacuation; and have appropriate mechanisms in place to minimise on-going risks (such as regular flooding).	• Selected partners will participate with DFAT in a 'design-and-implement' inception phase which will give selected partners time to engage with communities to build a shared working definition of resilience and identify gaps and develop appropriate strategies to address these in partnership with community.
Strengthened disaster management capacity and coordination of local Pacific based NGOs	• Local implementing partners have improved organisational capacity in DM (systems, policies processes, equipment and distribution). • Local NGO staff and volunteers have improved knowledge of and skills in DM. • Funded NGO partners have improved coordination and stakeholder relationships which support DM. • Strengthened local community structures, committees and networks which support the DM activities of local NGOs. • Improved capacity for inclusion of funded NGO partners and their local community DM networks.	• Selected partners will participate with DFAT in a 'design-and-implement' inception phase, which will determine the priorities, partnerships and activities to be pursued. The localisation agenda will be strongly integrated into the design process and approach.
Australia's commitments under the Sendai Framework and regional commitments progressed.	Initiatives deliver outcomes within the four priority areas of the Sendai framework for DRR: • Priority 1: Understanding disaster risk • Priority 2: Strengthening disaster risk governance to manage disaster risk • Priority 3: Investing in disaster risk reduction for resilience	• The 13 Sendai principles and four priority areas of the Sendai Framework will under-pin the design of partner initiatives.

	• Priority 4: Enhancing disaster preparedness for effective response and to 'Build Back Better' in recovery, rehabilitation and reconstruction.	
ANGOs leverage local, international and private sector links within initiatives in-country.	Additional funds, resources, capacities and expertise are allocated to initiatives to reduce vulnerability to disaster in the Pacific and multiply the impact of Australia contribution: • Funded NGOs leverage the funds, resources and capacities of their global families; • Funded NGOs leverage the resources and capabilities of their local networks (other local NGOs, established local /community structures, and local authorities); • Funded NGOs link with local private sector entities to create efficiencies and use of locally sourced disaster risk reduction supplies where feasible.	• The Domains of Capability for selection of NGO partners have a focus on: breadth and depth of relationships with local implementing partners; and relationships with local governments. •
Strong engagement of and leadership by local populations including women and people with disability.	• Women and people with disability play key operational, management and decision making roles in initiatives. • Women and people with disability are well represented in staff, volunteer and community structures that support DRR / resilience initiatives. • Initiatives use appropriate strategies to ensure women, men, boys and girls and people with disability participate in and benefit equally.	• Funded ANGOs will be required to create opportunities for local women's civil society groups and DPOs to participate meaningfully in decision-making on policy and practice for reduction and resilience work. • Partners will also be required to provide data on workplace gender and disability equity within both the ANGO and their local partners, with the aim of improving workplace equity. • The partnership will promote the sharing of gender and disability expertise, where an ANGO with in-house expertise provides this resource to benefit partners' activities
OUTCOME AREA 3: THE DFAT-HRG PARTNERSHIP		
DFAT-HRG partnership outcomes and measures of success defined.	• Clear outcomes and measures to be developed • The Support Unit strengthens the mutually agreed partnership outcomes identified jointly by DFAT and the HRG.	• The design team suggests that early in the inception phase, the Support Unit facilitates a discussion between partners to outline specific partnership outcomes and refine the measures of success that can then be incorporated within the MEL framework

DFAT and HRG coordinate to select and deliver responses.	• DFAT and HRG coordinate in the response selection processes to avoid duplication of efforts. • HRG member NGOs share storage facilities for response supplies and equipment where feasible. • HRG member NGOs proactively seek opportunities for greater collaboration, including sharing programming resources together. • DFAT will coordinate with whole-of-government (i.e. ADF) and response partners to ensure coordinated response efforts.	• The operation of the partnership will be facilitated by a strengthened Support Unit, which will help to make the most efficient use of partners' resources. • The Support Unit will encourage HRG member ANGOs to a greater degree of shared resources, for example by multiple partners drawing on one NGO's specialist protection expertise and another NGO's specialist gender expertise.
ANGO partners collaborate in joint fundraising appeals and visibility initiatives.	• DFAT and HRG member NGOs participate in joint funding appeals. • DFAT and HRG member NGOs explore options to jointly raise awareness of Australia's role in crises responses and DRR / resilience through joint media initiatives. • DFAT and HRG member NGOs explore options to undertake joint appeals.	• The Support Unit will provide comms assistance to assist partners to coordinate and message joint appeals.
The visibility of Australia's collective efforts is increased leveraging external funding.	• The impact of responses and DRR initiatives is communicated clearly to the Australian public and internationally (clarity of message). • Different forms of communication are used to ensure Australia's efforts are communicated to different stakeholders. (mode of communication) • Collective ANGO raised funding increases.	• The Support Unit will support partners to report the impact of response and DRR and resilience initiatives to different stakeholders.
Innovation, research and learning feeds into wider sectoral learning improving practice.	• Response learning is constructed to feed into and benefit wider HRG learning around particular crisis responses. • Learning around delivering quality, accountable and innovative resilience initiatives in the Pacific is shared at local, national and global forums.	• The Support Unit will support the wider Australian humanitarian sector, including by fostering collaboration and innovation, and resourcing more comprehensive lesson-learning activities.

Annex 4: Alternative Delivery Options Considered

A number of alternative delivery approaches were considered by the design team, but are not recommended. Each option has benefits and drawbacks, as evidenced by DFAT's own experience as well as that of other donors.

Alternative option 1: Replicating the HPA: The HPA has been an effective mechanism to respond quickly to disasters and to strengthen community resilience and preparedness. Replicating the existing model would be a straightforward option, and would allow existing partners to continue to develop collaborative relationships with one another, building on accomplishments to date.

However, replicating the HPA would likely lead to stagnation in the ongoing development of a strategic partnership in the Australian humanitarian sector, and could constrain the scope for even greater collaboration between ANGOs. It would also fail to address the issues that were found to limit HPA's effectiveness.[63]

Verdict: A safe bet, but would constrain effectiveness and collaboration in the sector.

Alternative option 2: Direct management by DFAT: Reverting to a traditional grant model – with DFAT considering individual proposals submitted by ANGOs – would have some advantages. It would theoretically allow for closer alignment between DFAT's humanitarian response and development programming. It would also shift some administrative workload away from NGOs, particularly during peak times. Other donor mechanisms, such as the UK Government's Rapid Response Fund and New Zealand's Disaster Response Partnership, retain this decision-making power for the donor agency.

This model would require significantly increased DFAT staff resources, along with investment in DFAT's in-house humanitarian expertise, which is not feasible at this time. It would also be a backward step from the progress achieved under HPA towards a more strategic partnership between DFAT and its NGO partners.

Verdict: Insufficient DFAT staff resources available, and a backwards step for collaboration.

Alternative option 3: A private sector-led humanitarian response facility: A highly nimble humanitarian response facility managed by a private sector entity would facilitate rapid disbursal of funds, and would significantly reduce the administrative workload for NGOs and DFAT. Examples of this kind of mechanism being used for humanitarian response are rare, but there are numerous examples of DFAT and other donors achieving efficient outcomes through use of managing contractors to undertake contracting and payments on their behalf.

[63] Such as the divisiveness of the peer review process; the inappropriateness of the mechanism for protracted crises; overlap with other structures such as the HRG; and a lack of public awareness and visibility.

Insertion of a third party between DFAT and ANGOs would be a step backwards in terms of strategic partnership. It would also be expensive, particularly in light of the extreme peaks in workload during crisis responses. Nonetheless, elements of this model have merit – namely the efficiency created through a support unit – and there may be an appropriate role for a private sector entity in supporting the functioning of the investment.

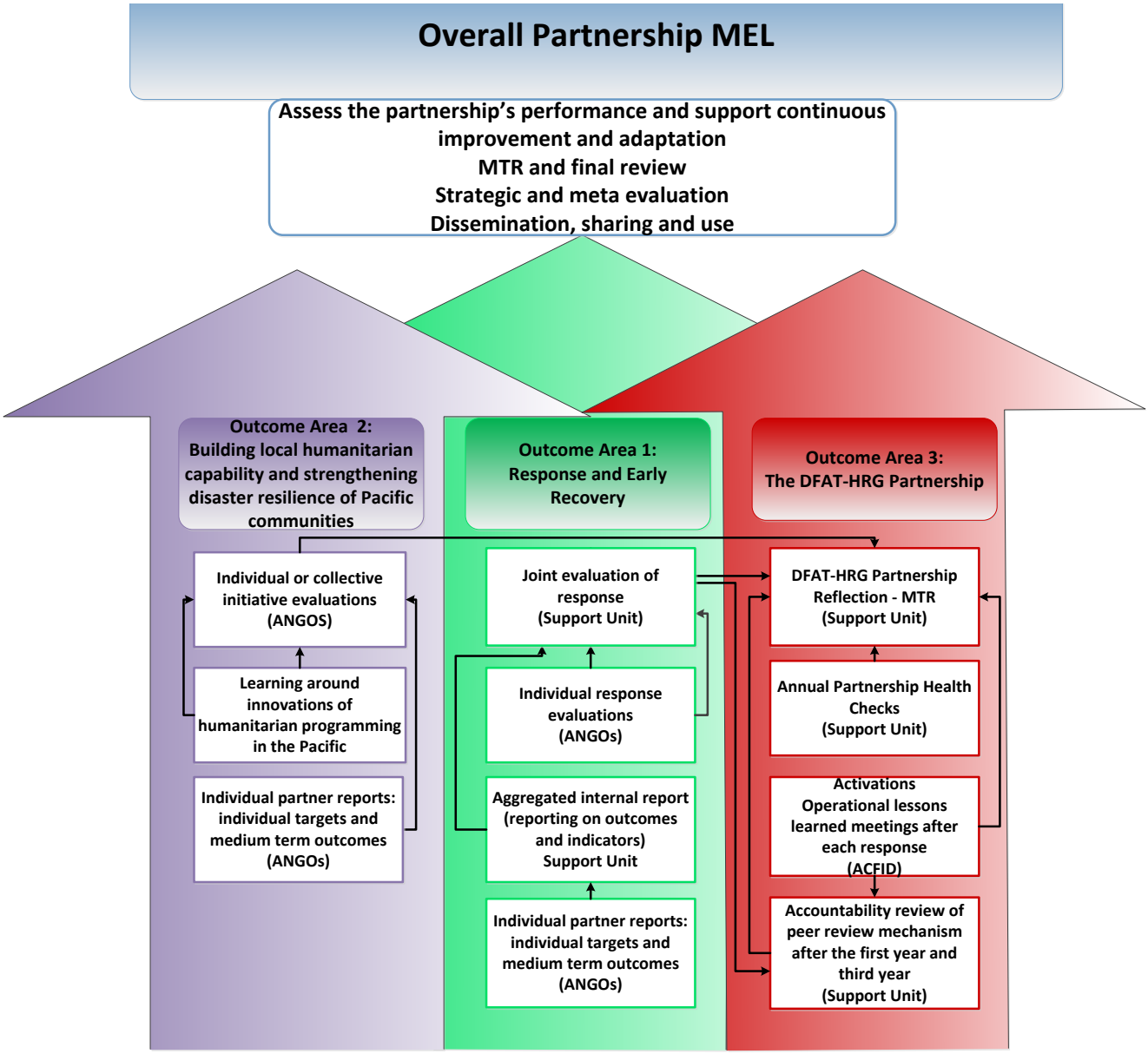
Verdict: An efficient support unit would be valuable, but insertion of an expensive third party between DFAT and its NGO partners is undesirable.

Alternative option 4: Block funding to an NGO-managed consortium: Provision of block funding to an entirely NGO-managed consortium would facilitate rapid response to crises that do not receive high profile media attention, or are under-funded for other reasons. It would likely foster closer collaboration among ANGOs and significantly reduce the administrative workload for DFAT. The START Network's Start Fund (funded by DFID and Irish Aid) demonstrates the value of this kind of model.

However, this model would fail to meet the requirement for a mechanism through which the Government can actively respond to humanitarian crises. Removing the role of the Minister for Foreign Affairs in activation would reduce the visibility of the response and thereby miss an opportunity to shape the Australian public's engagement in the response.

Verdict: NGO centrality to decision-making is highly valuable, but removing the mechanism too far from the Australian Government would be counter-productive.

Annex 5: Draft MEL processes and products



Annex 6: Support Unit's Terms of Reference and Position Descriptions

Australian Humanitarian Partnership Support Unit

The Support Unit will facilitate the operation of all aspects of the Australian Humanitarian Partnership. The core responsibilities of the Support Unit will be:

- **Managing contractual agreements with DFAT and with the 4-6 HRG member NGOs selected to receive DFAT funding**
    - Including both multi-year contracts for outcome area 2 and a series of diverse contracts for outcome area 1.

- **Managing the activation processes for humanitarian responses under the partnership**
    - Including by convening meetings, engaging external technical expertise, documenting decisions and communicating with partners.

- **Supporting sector-wide information-sharing, monitoring and evaluation, reporting and lesson-learning**
    - Including by supporting the collaborative development of a coordinated ANGO humanitarian capability map, compiling joint reporting, convening lessons-learned activities and disseminating associated documentation.

- **Maximising visibility of Australian humanitarian action**
    - Including by providing information to DFAT and other partners, and producing coordinated media products.

The Support Unit will be staffed by three full-time team members, and will be able to draw on external humanitarian and communication experts, as set out in the position descriptions below. The Support Unit will be funded by DFAT.

An organisation selected to host the Support Unit will be contracted through a competitive procurement process.

Partnership Director

Summary

The Partnership Director will lead the Support Unit and oversee all of its functions, and will manage the contractual arrangements and the activation processes for humanitarian responses under the partnership.

Duties and responsibilities

The Partnership Director's leadership responsibilities include:

- Being the central point of contact for the operation of the partnership, including facilitating collaboration and negotiation among partners
- Maximising the public visibility of activities undertaken through the partnership
- Managing the other two staff positions
- Overseeing management of the contracts with funded NGOs
- Managing the panel of contracted external experts
- Overseeing development and maintenance of the coordinated capability map
- Supporting design and implementation of activities focused on building local humanitarian capability in the Pacific and promoting humanitarian innovation
- Other duties, as required

Managing activation processes (including the contractual arrangements) for humanitarian responses will involve the following primary responsibilities:

- Entering into contractual agreements with DFAT and with the NGOs selected for funding in each activation
- Convening Response Committees and Technical Assessment Panels
- Participating in Response Committee and Technical Assessment Panel deliberations
- Drafting Consolidated Proposals
- Being the central point of contact for communication between and among DFAT and HRG members
- Participating in lesson learning exercises to improve processes
- Other duties, as required

Relationships

The Partnership Director will report to the Co-chairs of the HRG (or to an agreed alternative), with day-to-day line management and human resources issues managed by the CEO (or agreed alternative) of the host organisation. The Partnership Director will manage the two other staff positions and the panel of contracted external expertise.

Priority relationships will include the DFAT Humanitarian Director and their team, and the humanitarian directors of each member NGO. This position will not have contact with children in the course of his/her normal duties.

MEL Officer

Summary

The Monitoring, Evaluation and Learning (MEL) Officer will lead the Support Unit's work to coordinate information-sharing; activity monitoring and reporting; and lesson-learning among partnership members.

Duties and responsibilities

The MEL Officer's primary responsibilities will include:

- Working with HRG members and DFAT to revisit the draft MEL framework in this design and refine and revise it as necessary
- Oversight and responsibility for implementing the elements of the MEL framework outlined in this document.
- Coordinating the process of developing a joint capability map for ANGOs in the Australian Humanitarian Partnership, and ensuring that the capability map is kept up-to-date over the life of the partnership
- Streamlining and improving reporting templates to ensure they are optimally useful for their intended purpose, building on work undertaken under the HPA mechanism
- Aggregating ANGO reporting into joint reports that meet DFAT's requirements, and which can be used to inform future decision-making
- Convening lesson learning exercises and ensuring that appropriate documentation is shared among all members of the partnership, including for the purpose of informing future decision-making
- Coordinating and managing joint response and activity evaluations
- Commissioning meta and strategic reviews to deepen analysis and assessments of key aspects of the partnership
- Supporting appropriate sharing of information to in-country and Australian stakeholders
- General administrative duties to facilitate the operation of the partnership, at the direction of the Partnership Director.

Relationships

The MEL Officer will report to the Partnership Director.

Priority relationships will include DFAT's humanitarian response and partnership team, DFAT's humanitarian performance and quality team, NZMFAT's humanitarian performance and quality team, and the humanitarian directors and M&E officers of each HRG member NGO.

On rare occasions, this position may have limited contact with children during participation in monitoring and evaluation visits.

Communications and Support Officer

Summary

The Communications and Support Officer will lead the Support Unit's work to maximize the visibility of Australian humanitarian action, as well as providing general administrative support (such as contract drafting) to ensure the smooth operation of the Support Unit and the partnership as a whole. The Communications and Support Officer will work with DFAT and HRG member NGOs to improve the Australian public's awareness of Australia's collective response to humanitarian crises in a manner that is timely, accurate and engaging.

Duties and responsibilities

The Communications and Support Officer's primary responsibilities will include:

- General administration to ensure the smooth operation of the Support Unit and the partnership as a whole
- Development of contract templates, and timely preparation of contracts for activations of the response mechanism
- Managing contracts for results
- Gathering information from ANGOs as activities are put together and implemented
- Providing comprehensive media materials to encourage informed reporting
- Working with members' media teams to ensure the collective story is included in media releases, talking points etc.
- Creating content to share among partners, including producing text and graphics, sourcing photos from the field, and writing articles for blogs, among others)
- Preparing written, photo and graphic content for social media distribution
- Leveraging the media and communication channels of all partners.

Relationships

The Communications and Support Officer will report to the Partnership Director.

Priority relationships will include DFAT's communications officer (within the Humanitarian Division), ANGOs' media teams, and media outlets.

This position will not have contact with children in the course of his/her normal duties.

External support staff

A small pool of expert technical advisors will be available to the Support Unit through a contracted 'help desk' panel arrangement.

The advisors will primarily be used to provide an independent, expert voice on the Response Committees and Technical Assessment Panels for humanitarian response activities. They may also be used to facilitate lesson learning exercises, and to verify the accuracy of capability maps, along with other tasks as required.

Technical advisors with strategic communications and content creation expertise will also be available to the Support Unit.

The pool of expert technical advisors will be funded by DFAT, and managed by the Partnership Director.

On rare occasions, if experts are engaged to participate in monitoring and evaluations visits, they may have limited contact with children during those visits.

Annex 7: Design - Terms of Reference

1. Background

The existing Humanitarian Partnership Agreement (HPA) was established in 2011 as a partnership between six pre-selected NGOs (CARE Australia, Caritas Australia, Oxfam Australia, Plan International Australia, Save the Children Australia and World Vision Australia) and the Australian Government. The vision of the HPA is:

That DFAT (then 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.

In relation to emergencies, partners agreed a 72-hour turn-around from activation to approval of funding to enable a rapid response. This has enabled timely mobilisation of life-saving assistance. To complement this, the HPA also provides a mechanism for collaboration on programmed Disaster Risk Reduction (DRR) and Disaster Risk Management (DRM) capacity building initiatives. As a partnership the HPA was also developed with a view to improve strategic dialogue on policy issues of mutual interest between DFAT (then AusAID) and NGOs.

Through the HPA the six NGO partners have received a total of AU$411.5 million in emergency funding (via 12 activations). This is in addition to AU$13.5 million in DRR and DRM funding.[64] The current HPA mechanism has been extended and is now set to expire on 30 June 2016.

Humanitarian response is an important responsibility of DFAT as part of the Australian aid program. It is reflected in the Government's aid policy under the investment priority 'Building Resilience: Humanitarian Assistance, Disaster Risk Reduction and Social Protection'. The HPA is an important part of the Government's humanitarian response options and has provided timely and streamlined funding for humanitarian emergencies. The NGOs under HPA have added value to Australian humanitarian responses, through effective and well-targeted emergency assistance.

A review of the HPA is currently underway and due to be completed on 6 July 2015 with both DFAT and ACFID management responses due on 6 August 2015.

2. Overview

a) Design of a mechanism to enable the delivery of effective, efficient and accountable support to crisis affected people, that contributes to more resilient communities.

[64] According to the Schedule 2 Head Agreement, the objective of this funding was to reduce community vulnerability and enhance resilience to disasters, and to strengthen DRM capacities and systems of HPA NGOs and their in-country NGO partners.

The design will be informed by the review and associated ACFID Humanitarian Reference Group (HRG) and DFAT responses to the review, consultation with stakeholders, experience of other donors and DFAT policies. An indicative process is outlined which will be refined once the review has been completed.

3. Coordination and Direction

- The DFAT HPA Manager will be responsible for the direction and supervision of the Design Team.
- The HRG representative will support DFAT in organising meetings with stakeholders during the consultation phases for the design.
- The Investment Concept and Design Document will inform a tender process and to ensure no conflict of interest ACFID HRG representative/members will not be provided copies of these documents in advance of their release to the market.

4. Scope and Methodology

Note: The process below is indicative, and may be subject to change based on the outcomes of the review process.

Guided by the key questions (Annex 1), review recommendations, and DFAT and ACFID HRG responses to the review, the Design Team will produce a **Design Approach Report** which will detail methodology to obtain additional information and inform further consultations with stakeholders, as required.

On DFAT approval of the Design Approach Report, the Design Team will conduct desk review of further papers and consultations to inform an Investment Concept detailing the broad approach of the new mechanism

The Investment Concept will:

- consider the need for and rationale for the new mechanism (investment);
- propose outcomes and the program logic underpinning these outcomes;
- propose the aid type, partner type, and recommended approach for implementation;
- propose the investment type (for example, a commercial contract, grant agreement or arrangement with another government agency);
- propose a monitoring and evaluation framework;
- consider alternative options for delivering the intended humanitarian outcomes;
- justify the recommended investment as the most effective, efficient, sustainable and accountable way to achieve intended outcomes and
- prepare a risk and value assessment and address safeguard issues.

The Investment Concept will undergo a DFAT peer review process and the Design Team will incorporate changes as a result of this peer review. Once finalised, the Investment Concept will be submitted for DFAT approval.

After the Investment Concept is approved, the Design Team will produce an Investment Design, detailing the governance and management arrangements of the proposed response mechanism. A draft template for the Investment Design document will be provided by DFAT. Among other things, the Investment Design document will include:

- a detailed scope of service and payment structure which will include detail on roles and responsibilities of implementing partners and DFAT (governance arrangements) and administration arrangements, such as reporting requirements and meeting structures;
- a full risk assessment using the DFAT aid risk register template and risk management strategy, including risks to children, the identification of all personnel positions to be working with or in contact with children, displacement and resettlement risks, and environmental protection requirements in accordance with Australian and national laws;
- a monitoring and evaluation framework; and
- how cross-cutting issues such as gender, protection, disability inclusiveness, anti-corruption, child protection, partnerships, innovation and private sector will be integrated.

5. Existing Reports

The Design Team will review existing DFAT policies, HPA review and other documentation, including but not limited to:

a) DFAT's Humanitarian Action Policy*

b) DFAT's Investing in a Safer Future: A Disaster Risk Reduction Policy for the Australian Aid Program*

c) DFAT's Protection in Humanitarian Action Framework

d) Relevant sector standards: ACFID Code of Conduct, Red Cross and NGO Code of Conduct for humanitarian action, the Sphere Standards

e) Relevant documents and evaluations of following donors mechanisms, at a minimum:

   - Consortium of British Humanitarian Agencies (CBHA)
   - DFID Rapid Response Fund
   - ECHO Primary Emergency Decision mechanism
   - UN Central Emergency Response Fund (CERF)

f) Good Humanitarian Donorship Principles

g) IASC guidance, including the Gender Handbook in Humanitarian Action

h) ACFID HRG Policy Paper – Humanitarian Action for Results (HAFR)

i) The Future of Non-Governmental Organisations in the Humanitarian Sector – Humanitarian Futures Programme Discussion Paper

j) HPA Private Sector Engagement Discussion Paper

* DFAT will have finalised a new Humanitarian Strategy by mid-2015, once a draft of the document has been approved by DFAT this will be shared with the Design Team. Relevant DFAT staff involved in the strategy development process will be available to talk with the Design Team during the consultation phase of the design process.

6. Key Stakeholders

The Design Team will meet with representatives from the following DFAT sections to draw on their relevant experience. Where possible, roundtable meetings will be held with the areas listed.

Internal DFAT stakeholders:

a) Humanitarian Division, to discuss emergency responses, disaster risk reduction, protracted crises, early recovery, gender and protection

b) Desk & Post of at least 5 countries – 3 within the Indo-Pacific region and 2 global to discuss their needs to facilitate effective and efficient humanitarian response.

c) NGOs and Volunteers Branch, to discuss existing arrangements with NGOs

d) Development Policy Division, to discuss cross-cutting issues such as fragility, gender, child protection, disability inclusiveness

e) Contracting and Aid Management Division, to discuss scope of service requirements

f) Private Sector Development Section, to discuss options for partnership and private sector linkages

g) Innovation Hub, to discuss innovation in the context of humanitarian response

h) Geographic/Thematic sections that have developed new partnerships, for example the BRAC/DFID/DFAT Strategic Partnership Arrangement.

External stakeholders will include but not be limited to:

a) ACFID Humanitarian Reference Group members

b) ACFID staff, including the Humanitarian Advisor and Head of Policy

c) Other donors and multilateral organisations, at a minimum:

    a. Department for International Development (DFID)

    b. UN Office for the Coordination of Humanitarian Affairs (OCHA)

    c. European Commission

    d. Irish Aid

d) Relevant private sector organisations, such as Aspen Medical, HK Logistics and International Development Contractors Group Australia and the Australian Trade Commission.

e) Other relevant non-government clubs, foundations and bodies, such as Rotary.

f) Research groups who have undertaken work on humanitarian financing, such as the Oversea Development Institute (ODI) and Humanitarian Futures Programme.

g) ACFID technical expertise, such as the DRR Working Group.

7. Specification of Team

The Design Team will be a team of three. DFAT will ensure the team has a mix of expertise including:

- Humanitarian expertise – experience and knowledge of the humanitarian sector, specifically best practice in responding to sudden onset emergencies and protracted crises.
- Partnership expertise – demonstrated knowledge of partnership principles and practical application of these.
- Disaster Risk Reduction and Disaster Risk Management – experience and knowledge of best practice and practical approaches to DRR and DRM.
- Design expertise – demonstrated experience in designing programs, particularly mechanisms designed to respond to requests for assistance and an understanding of DFAT's Investment Design Quality Standards.
- Monitoring and Evaluation expertise – demonstrated experience in developing robust monitoring and evaluation approaches/systems, ideally in the humanitarian sector.
- Policy experience – an understanding of DFAT's policies and cross-cutting issues.

The Team members will have specific responsibilities as detailed below:

- Team Leader role – detailed examination and recommendation of potential options for the next mechanism based on a review of the HPA and best practice donor models. Responsible for drafting the design approach report, Investment Concept and Investment Design, in accordance with DFAT's Investment Design Quality Standards. The Team Leader may be invited to participate in the peer review process of the Investment Concept and Investment Design documents.
- Team Member roles – contribute to the overall design process and support the Team Leader to meet all requirements. This includes providing key inputs (based on the individuals area of expertise) into the design of a new mechanism.