

HPP Guidelines 2017-2018

1. Introduction

These guidelines aim to provide a broad overview of the Humanitarian Plan (HPP) 2017-2018, to set out the key changes planned, and to provide guidance on the application format and process.

The purpose and objectives of the HPP remain unchanged. The HPP is designed to provide **funding for predictable humanitarian related interventions in situations of protracted, predictable and recurring crises**. It is intended that the HPP **addresses acute humanitarian needs in a way that builds resilience and lays the groundwork for sustainable development**. For this reason, the HPP may also incorporate elements of preparedness, disaster risk reduction and early recovery. The specific objectives of the HPP are:

- To support achievement of Irish Aid's humanitarian outcomes and key result areas as set out in the Framework for Action for *One World One Future*;
- To strengthen the partnership-based nature of Irish Aid's humanitarian engagement with NGOs;
- To support partner organisations' approach to, and capacities for, humanitarian response;
- To encourage predictable and flexible financing, in line with Good Humanitarian Donorship (GHD) commitments.

There are two important developments this year that will further strengthen the ability of the HPP to be a predictable and effective humanitarian funding mechanism in protracted crises. These developments reflect the commitments in Ireland's International Development Policy, *One World, One Future*, are in line with international best practice for engagement in protracted humanitarian crises, and also reflect the priorities of the World Humanitarian Summit.

The first is the move towards multi-annual funding for HPP programmes. The timeframe of the HPP will be from January 2017 to December 2018. It is envisaged that the next HPP will provide funding for the duration January 2019 to December 2021, thereby tying in with the completion of Programme Grant (PG) II. This initiative will enable HPP partners to plan and implement within a longer timeframe, facilitating a more strategic engagement with partners and stakeholders.

The second key development is the strengthening of linkages between Ireland's humanitarian and development funding mechanisms, namely the HPP and the PG II, through a concurrent application and appraisal process. This presents an opportunity for HPP partners to demonstrate / strengthen the organisational approach to engagement in protracted crises and to strengthen approaches to

linking relief, recovery and development. All HPP partners should therefore read this note in conjunction with the PG II Strategic Framework and the PG II Guidance Note and Application Form.

2. Application and Appraisal Process

The Application Form for the PG 2017-2021 and the HPP 2017-2018 and the accompanying Guidance Note have been shared with partners. In summary, there are three parts to the Application Form:

1. Part A requests organisational details;
2. Part B requests information on organisational approaches; and
3. Part C requests distinct programmes of work for the Programme Grant, Public Engagement, Development Education (optional) and HPP under Part C4 (for current HPP partners).

Part B builds and expands on the HPP overview section in recent years, and requires applicants to provide information under a series of headings¹. Part C4 requires HPP partners to submit a programme of work (see guidance in Section 5), which replaces the individual country proposals submitted in previous years.

At the application stage one abbreviated Results Framework is required for the HPP (see guidance in Section 6) and no budget is required at this time. Final country level Results Frameworks and detailed budgets will be submitted and agreed upon communication of funding allocations.

The appraisal process will further strengthen the results- and evidence-based approach. A concurrent (where relevant) HPP/PG appraisal will be carried out by a team from both the Civil Society and Development Education Unit and the Humanitarian Unit. While a common appraisal tool will be used (which will include issues specific to the HPP), there will be two separate scores and two separate Results Allocation Models (RAMs). The current RAM for the HPP will be reviewed to ensure coherence with the PG, however the score allocated from the appraisal process and historical levels of HPP funding (weighting for which will likely decrease) will continue to be key components of the RAM. The Humanitarian Unit's annual *Country Categorisation of Needs* will also be taken into account.

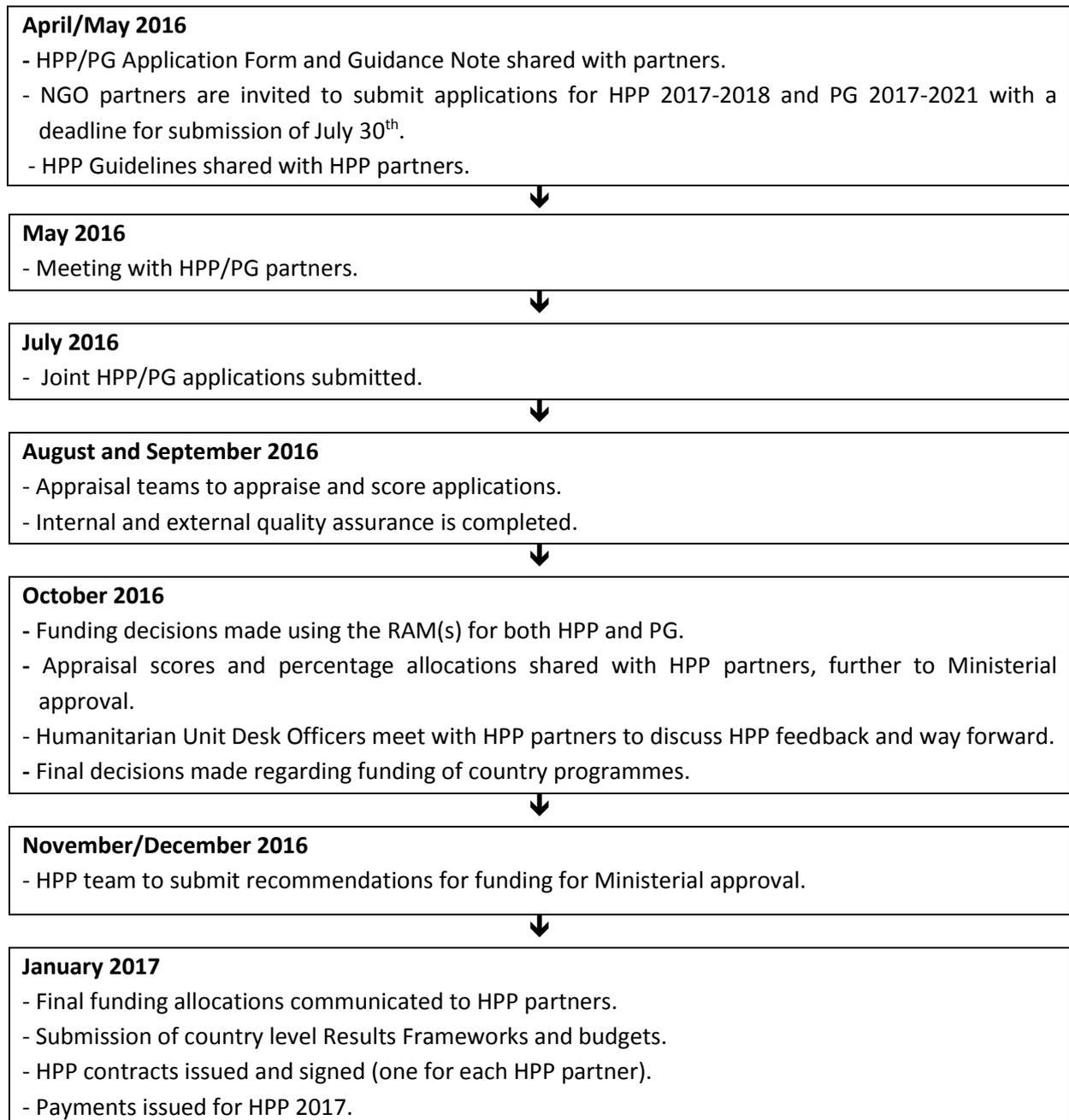
The score from the HPP RAM will translate into a percentage of funding that each HPP partner will receive from the annual HPP budget (2017 and 2018). The Humanitarian Unit, in consultation with the HPP partners, will agree on what country programmes are to be funded for 2017-2018². However the Humanitarian Unit recognises the importance of ensuring that the HPP retains a needs based approach and responds to the evolving contexts in situations of protracted crisis. This will necessitate a certain degree of flexibility to be built in to the HPP funding mechanism and a process whereby certain changes can be made on a case by case basis. It is important to note, however, that this should not detract from the importance of multi-annual planning and programming in protracted crises.

¹ (1) Strategic and Policy Framework; (2) Theory of Change, Context Analysis and Targeting; (3) Contribution to Change; (4) Partnership Approach; (5) Results Based Management; (6) Accountability, Governance and Financial Oversight; (7) Engagement with the Irish Public (only for Programme Grant partners); and Development Education (optional for Programme Grant partners only).

² Programmes funded in the HPP 2016 that are ongoing in 2017 will be funded from the 2016 budget allocation, unless included in the HPP 2017-2018 as an expanded/extended programme.

The move to multi-annual funding should facilitate HPP partners to present an overall strategic programme of work, rather than a series of distinct programmes or projects. The HPP programme of work should set out where it will engage, how it will engage, and in which sectors it will engage. The type of results that this approach will achieve should be clearly articulated. Feedback provided to partners in recent years should be referred to in order to enhance the quality of submissions.

3. HPP 2017-2018 Indicative Timeframe and Key Steps



4. General Guidance for the concurrent PG/HPP Process

The first two year period (2017-2018) during which the HPP moves to multi-annual funding and linkages between the HPP and the PG are strengthened will be a transition phase. During this period, Irish Aid will maintain regular contact with partners in order to continue to develop the approach. For the HPP in particular, the Humanitarian Unit will ensure that dialogue with its partners will facilitate information sharing and feedback in relation to the transition.

HPP 2016 and transition to HPP 2017-2018: It will need to be clarified to Irish Aid through the submission which programmes approved under HPP 2016 will continue under HPP 2017-18 or which will end as planned in 2017. Full clarity on this should be included in the detailed budget submission for HPP 2017-18 (as per the timeline above).

MoUs/Contracts: On the basis of successful applications and subject to Ministerial Approval, one MoU and one contract will be issued per HPP partner to cover the approved programme of work. The MoU will govern the HPP two year period (2017-2018) while the contracts will be issued on an annual basis, from January to December.

Disbursement of HPP Funding: Funding will be disbursed on an annual basis further to the exchange of signed contracts. Partners are requested to confirm receipt of funding on headed paper of the receiving bank account, the title of the programme, the amount and the date received, within 10 days, as per the contract. Please note that HPP partner organisations can incur expenditure under HPP upon communication of Ministerial approval.

Reporting: From 2017, HPP reporting will move to an annual report which will set out progress in relation to the approved programme of work. Potential to link HPP and PG annual reporting will also be explored. Detailed guidelines will be issued in due course.

No Cost Extensions: If a HPP partner requests a *no cost extension*, they must submit a formal request to Irish Aid providing a clear rationale two months before the end of the programme. If a no cost extension is granted, this will be communicated formally to the partner. In addition, the organisation should complete the budget report template to illustrate expenditure against the budget to that date and should also resubmit a revised budget in line with the no cost extension timeframe (if the budget has changed).

Budgets: Guidance on budget formats for HPP 2017-18 will be shared with partners in due course.

5. Guidance for Completing Section C4: the HPP Programme of Work (approx. 10 pages)

Please provide a summary of the proposed programme of work for the HPP. Please note that it is important that the summary is consistent with, and builds on, the organisational approach outlined in Part B. While there is no specific format for this part of the application form, it should cover the issues highlighted in the guidance below. However these are not exhaustive.

Programme Details

- Please indicate the proposed countries and regions of implementation, referring to the *Country Categorisation of Need*. Please indicate which programmes are already ongoing, and funding that has been received to date (either from HPP, other Irish Aid funding mechanisms or other donors).

Contribution to Ireland's Policy Framework

- Please describe how the programme of work contributes to Ireland's Policy for International Development, [One World, One Future](#) and to the specific High-Level Outcomes in the [Framework for Action](#) (any number may be selected).

Context Analysis

- Please present the context analysis that informs the programme of work. This should consider the drivers of poverty and vulnerability and key policy priorities.
- A focus on the drivers of conflict and the range of risks faced at household and community level is particularly relevant for programming in fragile and conflict affected settings.
- Please describe how the programme of work will carry out ongoing analysis and adapt strategies to respond to the changing/evolving context.

Targeting

- Please set out the rationale for the geographic focus of the programme of work and describe the protracted nature of the crises, referring to the *Country Categorisation of Needs*.
- Please describe the targeting approach for the programme of work, setting out target groups and targeting strategies and demonstrating how it will effectively reach those in need of humanitarian assistance and the most vulnerable, according to humanitarian principles.
- Please describe how the targeting approach, and the programme of work more broadly, considers the specific needs and capacities of women and girls. Irish Aid is committed to prioritising the protection of women and girls from violence in every humanitarian operation and therefore it is required that the programme of work meaningfully addresses gender and protection.

Change / Building Resilience

- Please set out the overall goal and objectives of the programme of work.
- Please set out the programme of work's intended change. This should include: (i) approaches and outputs/outcomes; (ii) the nature of the change for specific groups of people and/or systems/policies/processes; and (iii) the applicant's contribution to bringing about the change.
- Please set out how the programme of work will ensure linkages between engagements at different levels.

- If the programme of work is informed by a Theory of Change, please describe. Otherwise, please set out your understanding of how the programme of work will bring about change. Where relevant, this should describe how development and humanitarian approaches link to bring about desired change.
- Please outline how the programme of work will address acute humanitarian needs and bring about change in a way that contributes to building resilience and lays the groundwork for sustainable development.
- Please describe how the programme of work builds an understanding of the range of shocks and stresses affecting the target group and how the strategies and approaches strengthen the capacity to anticipate, mitigate, cope with and recover from these shocks and stresses.

Partnership Approach

- Please describe the programme of work's partnership approach, its rationale for working in partnership and for the choice of partners, and how the approach contributes to strengthening the localised response.
- Please set out the nature and scope of capacity-building and plans for on-granting to partners.
- Please set out how the programme of work ensures engagement and coordination with relevant stakeholders; and how it supports humanitarian response plans and local/national development plans and fosters linkages with local/national government (as appropriate).

Quality Assurance, Monitoring and Review

- Please describe what quality standards apply to the programme of work and your organisation's track record and expertise in same.
- Please describe the quality assurance processes that are in place in HQ and at country-level.
- Please describe the monitoring system in place to support the tracking and analysis of progress/results (including at the outcome level) for the programme of work and how this supports a results based approach.
- Please set out systems in place to ensure accountability to beneficiaries, partners and other key stakeholders, including how they will participate in the planning and implementation of the programme of work and what feedback mechanisms are in place.
- Please outline what plans are in place to review / evaluate the programme of work.

Learning and Innovation

- Please set out how key learning, including from reviews and evaluations, from previous funding has informed the proposed programme of work.
- Please describe the strategies to capture key learning from the programme of work (including through research) and to strengthen the exchange of information and knowledge within your organisation, with partners, with the wider development community and other key stakeholders.
- Please set out how the proposed programme will undertake/adopt innovative approaches/initiatives/research and make a contribution to best practice.

Risk

- Please describe how risk management supports the implementation of the programme of work and is integrated into the RBM approach.

6. Guidance for Completing the Abbreviated Results Framework (maximum 2 pages – to be included as an Annex in the PG/HPP Application Form)

At this point only an abbreviated Results Framework is requested for the overall programme of work as it is more efficient to set out detailed country specific frameworks once the resource allocation has been decided. Further guidance on the detailed Results Framework will be provided in due course.

The HPP abbreviated Results Framework seeks to summarise and highlight what kind of change your organisation is aiming to bring about through the programme of work. Its purpose is to provide a high-level indicative overview of the key results and how they will contribute toward the outcomes and, where possible, the overall impact. The abbreviated Results Framework should fully reflect the scope of the programme of work. While baselines and targets are not required at this stage, where possible, sample indicative baselines and targets may be provided.

Guidance on terminology

Irish Aid understands that organisations and donors use different terminology, formats and approaches when devising results frameworks. We have previously provided a template as requested by HPP partners and to facilitate consistency and standardisation in submissions. However, we do not insist that this format be used if partner organisations develop equivalent results frameworks which clearly demonstrate how the programme/project will deliver measurable results. The below terminology is based on common practice amongst other donors.

Impact: The impact describes the change that the programme/project will contribute towards achieving. The impact can be positive and negative with primary and secondary long-term effects. The impact should indicate the wider effects of the programme - social, economic, technical, environmental – on individuals, gender, age-groups, communities, and institutions.

Outcome: An outcome is the likely or achieved short-term and medium-term effects of the programme/project outputs. Outcomes are programme/project objectives which occur between the completion of outputs and the achievement of impact. The outcome should identify what will change, and who will benefit. Where programmes or projects have several components, formulate one outcome statement for each component.

Output: An output is the immediate and tangible result of a programme's/project's inputs, such as number of children fed, number of schools built, number of trainings provided, etc. Outputs are the specific, direct deliverables of the programme/project. These will provide the conditions necessary to achieve the outcome. The logic of the chain from output to outcome therefore needs to be clear.

Indicators: Indicators directly measure achievement of results. Indicators can be quantitative or qualitative and provide a simple and reliable means to measure achievement and reflect the changes connected to an intervention. These can be standard or proxy indicators and are essential for monitoring programme/project performance. Indicators should be completed for each level of the Results Framework (outcome and output) and more than one indicator can be included for each.

Baseline data: Baseline data are the initial data which serve as the basis for comparison for measuring of programme/project results. Baseline data can be qualitative or quantitative. All programmes/projects should have baseline data at all levels before they are approved.

In exceptional circumstances, programme/project proposals may be approved without baseline data at Output level, but only where the programme/project makes provision to obtain baseline data within 3 months of the start date.

Target: Targets must be Specific, Measurable, Achievable, Relevant and Time bound (i.e. SMART), thereby indicating the desired result at the end of the programme/project. Targets should be included wherever baseline data is available and should be disaggregated by sex where appropriate.

Sources (Means of Verification): Sources provide a list of the information or data which your organisation is using in order to demonstrate what has been accomplished through assessing progress against indicators.

Assumptions: Assumptions are the external conditions which must hold in order for the results in a results framework to be achieved. These assumptions are usually beyond the control of the implementing organisation and are *in addition* to the risks identified in the preceding section.