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ANNEX I

to the Commission Implementing Decision on the financing of the annual action plan in favour of Nicaragua for 2022

Action Document for NICALERT: Disaster risk reduction with a focus on disaster prevention and preparedness in Nicaragua

ANNUAL PLAN 2022

This document constitutes the annual work programme within the meaning of Article 110(2) of the Financial Regulation, within the meaning of Article 23(2) of the NDICI-Global Europe Regulation.

1 SYNOPSIS

1.1 Action Summary Table

| | |
|---|--|
| 1. Title CRIS/OPSYS business reference Basic Act | Disaster risk reduction with a focus on disaster prevention and preparedness in Nicaragua OPSYS number: ACT-61478 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe) |
| 2. Team Europe Initiative | No |
| 3. Zone benefiting from the action | The intervention shall be carried out in Central America, Nicaragua. North and South Caribbean Coast Autonomous Regions (RACCN & RACCS) |
| 4. Programming document | Nicaragua Multiannual Indicative Programme 2021-2027 ¹ |
| 5. Link with relevant MIP(s) objectives / expected results | The action falls under the Multi-annual Indicative Programme (MIP) 2021-2027 Priority 1: Environment, and climate change adaptation and mitigation. It contributes directly to the Specific Objective (SO3): Community resilience: Disaster risk reduction; prevention and preparation. Under the Gender Country Level Implementation Plan (CLIP) Nicaragua: ‘Mitigate the climate change effects on women’s and girls’ living conditions; increase women’s- in all their diversity- resilience to climate change and, in particular, of rural, indigenous, and afro-descendant women, and improve women’s and girl’s participation and decision-making on issues related to the environment and climate change.’ |
| PRIORITY AREAS AND SECTOR INFORMATION | |

¹ C(2021)9160, 15.12.2021

| | | | | |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|
| 6. Priority Area(s), sectors | 74010 Disaster prevention and preparedness 15170 Gender equality and women's rights | | | |
| 7. Sustainable Development Goals (SDGs) | <u>Main SDG:</u> SDG: 13: Take urgent action to combat climate change and its impacts (13.1, 13.3, 13.b). <u>Other significant SDGs:</u> SDG1: End poverty (1.5) SDG 5: Achieving gender equality and empowering women and girls (5.5) SDG 11: Sustainable cities and communities (11.5, 11.b, 11.c) | | | |
| 8 a) DAC code(s) | DAC code 1 - Disaster Prevention (66%) DAC code 2 - Gender equality and women's rights (33%) | | | |
| 8 b) Main Delivery Channel | UNICEF – 41122 LuxDev – 11000 | | | |
| 9. Targets | <input type="checkbox"/> Migration <input checked="" type="checkbox"/> Climate <input type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input type="checkbox"/> Human Rights, Democracy and Governance | | | |
| 10. Markers (from DAC form) | General policy objective @ | Not targeted | Significant objective | Principal objective |
| | Participation development/good governance | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Aid to environment @ | <input type="checkbox"/> | | x |
| | Gender equality and women's and girl's empowerment | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| | Trade development | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Reproductive, maternal, new-born and child health | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Disaster Risk Reduction @ | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| | Inclusion of persons with Disabilities @ | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| | Nutrition @ | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | RIO Convention markers | Not targeted | Significant objective | Principal objective |
| | Biological diversity @ | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Combat desertification @ | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Climate change mitigation @ | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Climate change adaptation @ | <input type="checkbox"/> | | <input checked="" type="checkbox"/> |

| 11. Internal markers and Tags: | Policy objectives | Not targeted | Significant objective | Principal objective |
|--------------------------------------|--|--|--|--------------------------|
| | Digitalisation @ | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| | digital connectivity digital governance digital entrepreneurship digital skills/literacy digital services | YES <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> | NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | / |
| | Connectivity @ | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | digital connectivity energy transport health education and research | YES <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | / |
| | Migration @ (methodology for tagging under development) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Reduction of Inequalities @ (methodology for marker and tagging under development) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Covid-19 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| BUDGET INFORMATION | | | | |
| 12. Amounts concerned | Budget lines: 14.020140 – Cooperation with Latin America Total estimated cost: EUR 12 700 000. Total amount of EU budget contribution EUR 12 000 000. <i>The contribution is for an amount of EUR 12 000 000 from the general budget of the EU for 2022.</i> Other contribution: EUR 700 000 (United Nations International Children's Emergency Fund - UNICEF) | | | |
| MANAGEMENT AND IMPLEMENTATION | | | | |
| 13. Type of financing | Indirect management with the entities to be selected in accordance with the criteria set out in section 4.3.1 | | | |

1.2 Summary of the Action

Nicaragua is one of the least developed countries in Latin America, where access to basic services is a daily challenge². Social Progress Index (2021)³ classifies Nicaragua as a medium social progress country, placing it 108th out of 168 countries. These gaps are even more comprehensive for indigenous and afro descendent peoples, especially those

² Retrieved from: World Bank, 2021. [Nicaragua: panorama general \(bancomundial.org\)](https://www.bancomundial.org).

³ Retrieved from: [Global Index: Results | Social Progress Imperative](https://www.socialprogressindex.com).

living in the 23 entitled territories on the Caribbean Coast, where conditions of employment, income, education, health, infrastructure, or access to basic services show a marked situation of disadvantage.

‘Nicaragua, due to its geological conformation, morphological structure, and geographic location in the Central American isthmus, hydrographic basins, rainfall regime, etc., as well as the economic, social, and cultural development of the population, is classified as one of the countries with the highest disaster risk’⁴. In a highly hazard-exposed and disaster-prone environment, the action aims to enhance community-based overall resilience in the face of disasters.

Through a strategic alliance between the European Union (EU), one of the most experienced United Nations (UN) agencies in the field of humanitarian and development activities in Nicaragua (UN Children’s Fund - UNICEF), and an EU Member State (MS) development cooperation agency (Luxembourg Development Cooperation Agency - LuxDev), the action adopts a conflict-sensitive community-based approach to identify and implement viable actions. They aim to effectively increase response and coping capacities and the resilience of the most vulnerable at both community and individual levels, focusing on women and youth as key change agents.

The action will improve or establish disaster preparedness (DP) mechanisms, prevention, early warning systems (EWS) and climate change adaptation measures. Under the principle of ‘leave no one behind’, NIC-ALERT will address the climate change impacts on the socio-economic rights of the following groups: women, children and youth, indigenous people, afro-descendant ethnic communities, the elderly and people with disabilities. The action will target historically neglected and isolated areas, where hazards, high levels of vulnerability and limited response capacity result in high levels of disaster risk. Strengthening local disaster risk governance, integrating nature-based solutions (NbS) as well as resilient and accessible infrastructure, strengthening (and localising) inclusive early warning and information systems⁵, and promotion of women and youth empowerment as active actors contributing to disaster response, recovery, and community resilience are the core elements for the action⁶.

The action aims to reinforce the community’s resilience to disasters, in Nicaraguan Caribbean Coastal Regions, through interventions organised in three outputs:

First, enhanced local community-based preparedness and response capacity to disaster risk, focusing on the needs and capacities of children, disabled people and other groups with specific vulnerabilities as well as women and youth as key actors, consolidating community organisation and governance, shelter conditions and management, evacuation plans, social protection measures, small crucial resilient infrastructure works, and planning for risk management. Second, strengthened community-based early warning systems in the face of disaster risk and climate change impacts - improving the generation of local knowledge of hazards and risks, inclusive early warning systems (EWS) and alert dissemination⁷; piloting emergency and post-disaster assessments methodologies (including community-based loss & damage assessments) taking into account ancestral and traditional knowledge and practices. Third, women’s and youth’s empowerment as key agents of change for risk management and adaptation to climate change by fostering their capacities for participation and leadership, fighting against gender-based violence (GBV)⁸, and strengthening their organisation and social fabric around the green and circular economy activities.

⁴ Nicaragua’s multi-hazard and vulnerabilities map. Government of Nicaragua, 2018.

⁵ The concept of inclusive EWS refers to ‘early warning mechanisms and priority evacuation assistance that have been adapted to make sure they equally reach persons with disabilities, and rescuers and neighbours know how to warn and assist all the village population.’ For instance, see: https://reliefweb.int/sites/reliefweb.int/files/resources/Disability_Inclusive_Disaster_Risk_Management.pdf.

⁶ European Parliament and the Council. Joint Communication: *A Strategic Approach to Resilience in the EU’s external action*. Brussels, 07 June 2017 (p. 7-10).

⁷ Early warning systems include the dissemination of alerts and warnings. In Spanish language, the distinction between alert and warning does not exist, and warning is usually translated as *alerta*. However, in English there is a distinction between the alert (in the sense of watch out) and warning (more immediate, a situation that is about to happen).

⁸ Conflicts, disasters, and emergency situations can underscore patriarchal social norms that disproportionately restrict women and youth’s equal access to rights and resources, and they can also create a shift in gender and social roles and norms. Women and youth can also play an active and important role in contributing to community resilience that underpins sustainable development. Ensuring that women and youth are well informed and actively participate in disaster risk governance and sustainable development efforts not only ensure that their specific needs and capacities are taken into consideration but can also create a window of opportunity for social change, by challenging traditional gender and social roles and gender- or ethnic-based discrimination. This is a further factor of community resilience and can ensure more suitable and sustainable outcomes for EU-supported work.

The action falls under MIP 2021 -2027 Priority 1 ‘Environment, and climate change adaptation and mitigation’. It contributes directly to the Specific Objective (SO3): ‘Community resilience: Disaster risk reduction; prevention and preparation’. The action responds to the basic principles of the international and EU policy framework, such as the UN 2030 Agenda for Sustainable Development, the Paris Agreement on Climate Change and the Sendai Framework for Disaster Risk Reduction (2015-2030). It also aligns with Nicaragua’s climate change and disaster risk management policies and plans.

The action contributes mainly to the following Sustainable Development Goals (SDGs): 13: Take urgent action to combat climate change and its impacts (13.1, 13.3, 13.b); 1: End poverty (1.5); 5: Achieving gender equality and empowering women and girls (5.5); and 11: Sustainable cities and communities (11.5, 11.b, 11.c).

The action contributes to GAP 3 priority 3.6. Addressing the challenges and harnessing the opportunities offered by the green transition and the digital transformation and builds on and provides support to initiatives developed by the European Commission’s Directorate-General for European Civil Protection and Humanitarian Aid Operations (DG ECHO) in Nicaragua to strengthen the Humanitarian, Development and Peace (HDP) Nexus with cooperation through continuity and long-term sustainability, including a peacebuilding approach through activities that promote dialogue and peaceful conflict resolution.

2 RATIONALE

2.1 Context

Nicaragua is one of the least developed countries in Latin America, where access to basic services is a daily challenge⁹. The Social Progress Index (2021)¹⁰ classifies Nicaragua as a medium social progress country, placing it 108th out of 168 countries. For 2020, the Gross Domestic Product (GDP) was USD 1 922 (constant prices)¹¹. Nicaragua is one of the four countries with the highest poverty rates¹² in Central and South America. It belongs to the five countries in Latin America with more significant structural gaps in areas such as income per capita, productivity, poverty, education, environment, infrastructure, investment, health, and gender¹³. In 2020, the country experienced an increase in the number of people living under the poverty line, reaching 45.4% (almost 3 million people), from which 8.7% corresponded to extreme poverty (people living with less than one dollar per day). Poverty incidence is high for the rural population in general, but especially among those living in the Caribbean Coast Autonomous Regions, where it reaches 63.2% of the population¹⁴. Only 52% of Nicaragua’s population has access to drinking water. The Latin America and Caribbean SDGs report (2019) highlights that Nicaragua lags in reaching the SDGs, ranking 16 out of 24 countries¹⁵.

These gaps are even more comprehensive for indigenous and afro-descendent peoples, especially those living in the 23 entitled territories on the Caribbean Coast, where conditions of employment, income, education, health, infrastructure, or access to basic services show a disadvantaged situation. Regarding education indicators, the Autonomous Regions also lag behind the Pacific and the national averages. For instance, 18.7% of the population aged 10 or higher in the Autonomous Regions are illiterate (8% higher than the Pacific and 4.3% higher than the national average), and the average years of schooling is 5.6 years (well below the 7.5 years in the Pacific and the national average of 6.7 years)¹⁶. Conditions and indicators decline even further for those communities displaced by either natural hazards-induced disasters or land grabbing.

Populations in these regions have suffered decades of degradation of human rights, often due to state-led policies that promoted exclusion and depletion of natural resources providing basic livelihood. Land expropriation has become a

⁹ Retrieved from: World Bank, 2021. [Nicaragua: panorama general \(bancomundial.org\)](https://www.bancomundial.org/es/news/panorama-general).

¹⁰ Retrieved from: [Global Index: Results | Social Progress Imperative](https://www.globalprogressindex.org/).

¹¹ Retrieved from: [PIB per cápita \(USD a precios constantes de 2010\) - Nicaragua | Data \(bancomundial.org\)](https://www.bancomundial.org/es/data/indicadores/SDY11.NI).

¹² ECLAC, 2019; CABEI, 2020.

¹³ ECLAC (2012). Middle-income countries: a new approach based on structural gaps. Retrieved from: [S2012863_es.pdf \(cepal.org\)](https://www.cepal.org/es/publicaciones/2012/05/2012863-es.pdf).

¹⁴ Fundación Internacional para el Desafío Económico (FIDEG). *Encuesta de Hogares para Medir la Pobreza en Nicaragua – Informe de Resultados 2019*. Retrieved from: <http://fideg.org/wp-content/uploads/2020/12/Informe-Pobreza-FIDEG-2019.pdf>.

¹⁵ Retrieved from: [Índice-ODS-2019-para-América-Latina-y-el-Caribe-2.pdf \(uniandes.edu.co\)](https://www.uniandes.edu.co/indicadores-ods-2019-para-america-latina-y-el-caribe-2.pdf).

¹⁶ FIDEG, 2020. Household Survey to Measure Poverty in Nicaragua.

permanent feature, threatening traditional governance and basic survival of Nicaraguan indigenous and afro descendent people and displacing many in the process.

According to the World Bank (2020), between 2000 and 2017, Nicaraguan GDP growth was, on average, 3.9%, due to the domestic demand increase boosted by remittances and Direct Foreign Investment (DFI). Nevertheless, the violent government crackdown on social protests in April 2018 triggered a political, economic and human rights crisis compounded by the COVID-19 pandemic and the impacts of hurricanes Eta & Iota in late 2020. As a result, Nicaragua's GDP shrank by 8.8% between 2017 and 2020, a decrease of around USD 1 250 million¹⁷.

Human rights have taken a heavy toll, too, as Nicaragua has descended into authoritarian rule. Civicus Monitor¹⁸ ranks Nicaragua among the 25th 'most closed' countries in the world, out of 197, with widespread infringement of civic rights. The repression of political opponents, activists, journalists, and civil society organisations (CSOs) has been exacerbated. This includes an estimated 177 political prisoners detained and currently going through trials that do not comply with international or national legal guarantees. In 2022 alone, over 350 CSOs have been closed, including non-government organisations (NGOs), universities, think tanks, etc. Long-standing EU implementing partners were forced to move operations out of the country. The authorities have imposed highly burdensome administrative requirements for those still operating in-country, leading to closure upon non-fulfilment.

Presidential and parliamentary elections were held in November 2021, enabling the National Liberation Sandinista Front's (FSLN in Spanish) to tighten its power grip. The EU and other members of the international community stated that 'the elections have taken place without democratic guarantees and their results lack legitimacy'¹⁹. Municipal elections are scheduled to occur in 2022 but are not expected to adhere to improved standards absent electoral reforms.

Key parameters on gender equality and women's and girls' empowerment point at important gaps preventing women from fully exercising their rights. The Nicaraguan Gender Profile²⁰ concludes that women are still disadvantaged in most areas, including economic and social rights, participation and leadership, sexual and reproductive rights, and health care. Gaps in terms of income, access to land, use of time, decision-making processes participation, tools, knowledge and other productive resources are even more worrying. Sexual violence is a national health and social challenge for children and girls under 18. Women and girls with disabilities are particularly at risk. In crisis situations and disaster risk, women and girls are 14 times more likely to die than men due to gender gaps and existing inequalities related to their economic and social rights²¹.

They also suffer disproportionately from the impacts of climate change, compromising their physical and mental health, food security and livelihoods, access to clean water and sanitation, etc. At the same time, women and girls, including those from afro-descendant, indigenous and disability groups, have a significant potential for engaging in measures aimed at prevention of, preparedness for, response to and recovery from hazards and disasters. They can also play an essential role in developing climate change adaptation measures making them key agents for disaster risk reduction (DRR) and climate change resilience. Persons with disabilities need particular attention as they are at higher risk of disaster due to pre-existing barriers and exclusion, and, most importantly, they have little access to disaster risk information and early warning mechanisms. In this sense, it is crucial to promote girls' and women's participation and leadership to ensure gender-responsive strategies for climate mitigation and adaptation, disaster risk reduction, and the inclusive and sustainable management of natural resources.

Nicaragua classifies as a low carbon emission country concerning the environment and climate change, with only 0.02% of the global greenhouse gas (GHG) emissions in 2018. Agriculture, forestry and other land use (AFOLU) are the primary sources, representing 79%²² of the total domestic emissions. At the same time, Nicaragua is highly susceptible to climate variability and extreme weather events, ranking in the 6th position on the long-term Global Climate Risk

¹⁷ Nicaragua Central Bank (BCN), 2021.

¹⁸ Retrieved from: [Facts - CIVICUS - Tracking conditions for citizen action.](#)

¹⁹ [Declaration by the High Representative on behalf of the European Union](#) (8 November 2021).

²⁰ The Nicaraguan Gender Profile was prepared by the Nicaragua Technical Assistance (EuropeAid/138618/DH/SER/NI) under the EU Delegation to Nicaragua guidance.

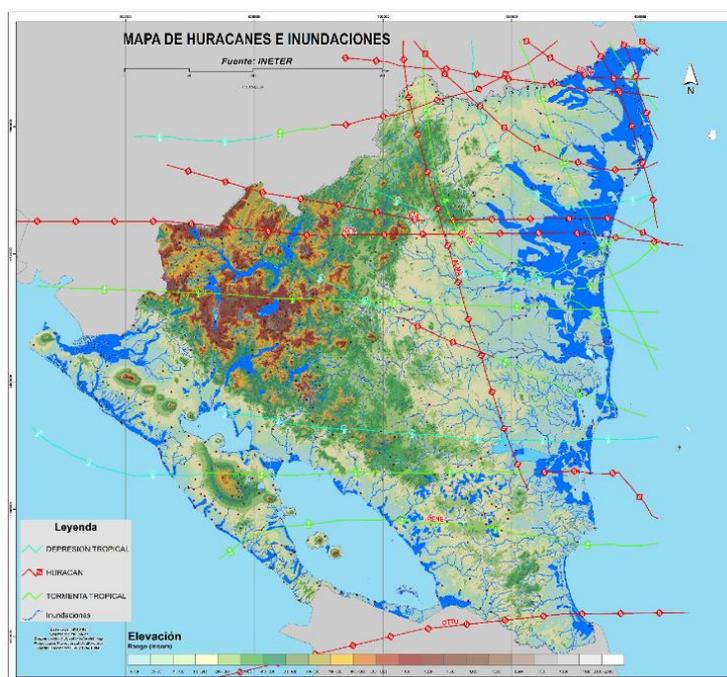
²¹ Retrieved from: [UN Development Programme \(2013\). Gender and disaster risk reduction.](#) Cited by the European Parliament News, [Climate change: mitigating the impact on women](#) (5 December 2017).

²² [Nicaragua's Nationally Determined Contribution \(NDC\), 2020.](#)

Index (1998-2017)²³. An analysis conducted using the Intergovernmental Panel on Climate Change (IPCC) emissions scenario and downscaling of regional climate models found that 21 municipalities are threatened by hurricanes, 48 by drought, and 33 by floods out of a total of Nicaragua's 156 municipalities²⁴.

Climate change significantly increases the number and intensity of tropical cyclones, hurricanes, storms or tropical depressions. In 2020, the Miami National Hurricanes Centre (NHC) database registered 31 tropical or sub-tropical cyclones; 30 named storms, 14 hurricanes and 7 major hurricanes, of which two (Eta & Iota) impacted Nicaragua directly.

As a result, more than 3 million people were affected across the country with estimated losses and damages over USD 738 million, equivalent to 6.2% of the country's GDP²⁵. This unprecedented activity was triggered by the climate phenomenon 'La Niña'. All the infrastructure related to the fishing industry on the Caribbean Coast is exposed to tropical cyclones. A total of 1 678 communities, corresponding to a population of 1.6 million, are the most exposed in the country. The fragility of the houses, close location to the river banks, low-lying coastal areas, artisanal fishing practices, and cultural aspects of living practices make these populations highly vulnerable to these events²⁶.



Tropical cyclones mainly affect forests (broadleaf, coniferous and palm), wetlands – including mangrove and swamp forests, forest plantations and permanent and annual crops²⁷ with subsequent effects on various ecosystems, biodiversity, and food security. Likewise, hurricanes, drought, floods, and landslides significantly impact forests, forestry activities, and natural ecosystems protecting coastal areas such as mangrove forests. Inevitably, such disasters disrupt the supply of forest products and environmental services, threatening local communities and forest industries' subsistence and livelihoods. They can trigger unprecedented pressure on forests, as survivors and displaced people might tend to resort to over-exploitation of remaining forest resources for food, timber, wood fuel, fodder, and even clearing forest areas for agriculture.²⁸

There have also been disasters deriving from collateral hydrometeorological events, such as landslides and floods. These have increased mainly due to the sedimentation and subsequent lowering capacity of the river basins, land deterioration, population settlements on unstable and flooding lands and, in general, environmental degradation. Other events of lower impact and greater frequency, such as forest fires, sudden floods, debris flows or urban fires, have produced significant economic losses and occasionally disasters for a community or town²⁹.

In this sense, strengthening resilience has become a national priority by preventing new risks and reducing root causes of vulnerability. These priorities align with the Sendai framework principles, the UN 2030 Agenda and EU and Member States' (MSs) climate change and DRR policies. The action also contributes directly to Gender Action Plan III (GAP III) thematic area of engagement: Addressing the challenges and harnessing the opportunities offered by the green transition and the digital transformation.

²³ Retrieved from: https://germanwatch.org/sites/germanwatch.org/files/Indice%20de%20Riesgo%20Climatico%20Global%202019%20-%20Resumen_0.pdf

²⁴ Nicaragua Technical Assistance (EuropeAid/138618/DH/SER/NI). Report 'Participatory diagnosis with contributions of disaster risk analysis from Geographic Information Systems' (GIS, available in Spanish).

²⁵ [Nicaragua's Nationally Determined Contribution \(NDC\), 2020.](#)

²⁶ Nicaragua Risk Map (2018).

²⁷ FAO (2020).

²⁸ FAO (2021), The impact of disasters and crises on agriculture and food security. (Report)

²⁹ Comprehensive Risk Management Report. Nicaragua 2013. UNDRR.

2.2 Problem Analysis

Nicaragua's geographic location and natural exposure to climate variability and change impacts, such as the El Niño-Southern Oscillation (ENSO) climatic patterns, the Pacific monsoon system, and the occurrence of tropical storms, storm surges and hurricanes. These generate droughts, floods, landslides, water shortages, crop destruction, and bushfires. Due to economic, social, cultural and environmental factors, Nicaragua is highly vulnerable to multiple hazards, such as those linked to hydrometeorological events, that account for significant human and economic losses and damages. The World Bank estimates accumulated losses reaching some USD 301.75 of purchase power, equivalent to an average annual loss per unit of GDP of 1.72%.³⁰ As a result of disasters, between 1970 and 2020, over 14 600 lives have been lost, and almost 40 000 people have lost their homes³¹. As a result of the recent hurricanes in 2020, 'the economic decrease from the last years suggests that the country does not have the same economic strength from three years ago to face the impacts of extreme natural events'³².

Natural hazards come along with human-made ones. Deforestation and ecosystem degradation are the main drivers of GHG emissions and vulnerability to climate change. It is estimated that the country has lost at least 30% of forest coverage in the last 10 years, with subsequent effects on river basins, wetlands, water provision and loss of biodiversity. Nicaragua has 68 types of ecosystems and vegetation formations, equivalent to 60% of the overall ecosystems of the Central American region³³. Nevertheless, almost 50% of the national territory is in the category 'over used land' category. In the last seven years, almost half of the national territory has been degraded in terms of soil quality, ecosystems and biodiversity. This degradation is mainly focused in the country's north-central region, specifically on the pine forest areas, affecting the biosphere reserve zone of Bosawas and Indio Maiz in the Southeast.

Government policies have favoured institutional models supporting activities with direct adverse effects on environmental sustainability, e.g. mining, mono-cropping, extensive cattle raising and other. The mentioned policies set the priority framework for both government authorities and relevant economic actors in the country³⁴.

The climatic phenomena of 'El Niño' and 'La Niña' affect the national territory, impacting the temperature variation and the rainfall level. In general, 11.47% of the national territory suffers from frequent floods due to extreme climatic events. The increase of the country's average temperature in 2021 was around 1.5 °C above the average recorded temperature. The greatest difference in thermic range between minimum and maximum temperatures from over 1.5 °C on the same day in many sectors of the country has been recorded, too. The projected behaviour of the maximum temperature for 2021-2040, based on the CasEMS5 model, for the national territory, indicates an increase up to 4 °C over the historical standard. The IPCC argues that the probability of extreme weather events has increased by 1/5 over time. Specifically, on the Caribbean Coast, hurricanes will occur on average every 4 years, whereas in the early 1990s it was every 20 years.

Since 2007, indigenous and afro-descendant territories from the Nicaraguan Caribbean coast have suffered the impact of 10 tropical cyclones, 5 of them hurricanes of category between 3 to 5 (Iota (2020), Eta (2020), Otto (2016), Ida (2009) and Felix (2007)). These hurricanes have affected 19 out of the 23 (83%) indigenous and afro descendants entitled territories from the Nicaraguan Caribbean coast. On the other hand, Pacific, Northern and Central indigenous peoples have been struck by drought and floods related to 'El Niño' and 'La Niña', respectively. The climate vulnerability situation jeopardizes livelihoods and food security for these populations.

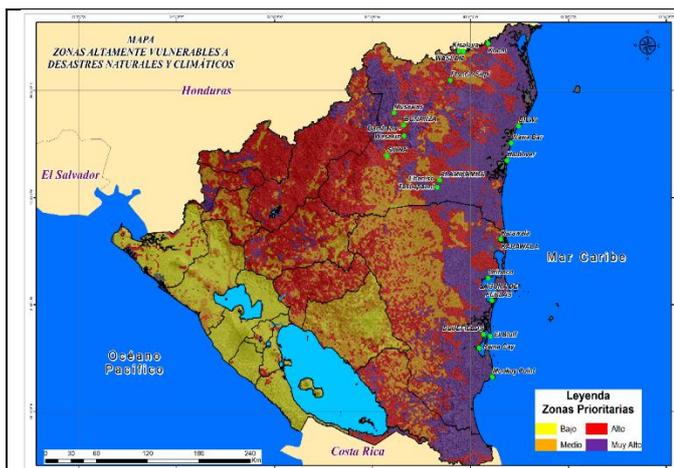
³⁰ Nicaragua's NDC update. 2020.

³¹ Retrieved from: <https://public.endat.be>.

³² Nicaragua. Impacto de los Huracanes Iota y Eta. Evaluación Inicial Rápida. FAO, 2020.

³³ MARENA. [V Informe Nacional de Biodiversidad de Nicaragua](#). 1a ed. Managua, Nicaragua. 2014. Ministry of Environment and Natural Resources (MARENA).

³⁴ Centro Humboldt. *Situación Ambiental Nicaragua* 2019.



The multi-hazard analysis developed during the diagnosis phase of NIC-ALERT concluded that 62% out of the total national territory shows high or very high-risk levels, meaning that these zones are highly vulnerable to the impacts from climate variability and natural risks. NIC-ALERT diagnosis was based on modelling of environmental, biophysical, and social variables, resulting in the prioritisation of South and North Caribbean Coast and Río San Juan regions.

Experience shows that the response to disasters in Nicaragua has been improvised and disorganised, due to a lack of adequate preparedness and weak EWS. Despite the recent efforts to foster citizen participation in emergency preparedness and prevention actions, a large proportion of the Nicaraguan population does not engage in these exercises for different reasons. It is estimated that approximately 44% of the population is not organised to face an emergency, and 56% do not participate in national preparedness exercises to protect life in multi-hazard situations. Similarly, about 55% of the population does not know of possible sources of safe water in case of emergency, and 59% of households do not have a plan for food provision in special situations. About 55% of households do not have emergency plans or do not put them into practice, not even considering particular actions for the care of the family members in most vulnerable situations. A high percentage of the population (82%) is not prepared for a warning alert, and up to 20% of households report not following evacuation instructions when issued. There is not an equal distribution of responsibilities between men and women regarding emergency preparedness tasks; 48% of the population says that they do not know the evacuation routes in their community³⁵.

The combination of high exposure to hazards and underlying socioeconomic factors such as poverty, isolation, lack of government investment, or weak access to knowledge and low-risk management capacity are the root causes of people's vulnerability. In addition, the impact of extreme climate events adds to the complex structural, historical and recurrent conditions that reproduce poverty and marginalization of indigenous and afro-descendant communities. In the latest Nationally Determined Contribution (NDC) submission to the UN Framework Convention on Climate change (UNFCCC) in 2020, the Nicaraguan government recognises the need for modernisation of hydrometeorological services to provide accurate forecasts and early warnings, which includes the update of observation, assimilation and forecasting systems, access to sensors and technologies, as well as the training of skilled human resources.

NIC-ALERT's participative diagnosis process was developed during the first three months of 2022. It involved over 350 people (60% women) of 35 organisations in three cities (Managua, Bluefields and Bilwi) and 15 rural communities belonging to 9 municipalities in 10 indigenous and afro descendent territories of the two Caribbean autonomous regions. One of the study's main conclusions shows that **vulnerability to hazards/disasters and climate change impacts is the specific problem** for the prioritized communities. The problem emerges from the combination of high exposure to risk factors and the weak preparation, response capacity, prevention and early warning mechanisms, increased by high levels of exclusion and discrimination of women and youth, who are key stakeholders in environmental and risk management.

Regarding the limited community preparedness for disasters, three leading causes have been identified: first, the weakness of community governance mechanisms, including formal structures for risk management, as well as traditional legitimate authorities. Overall, there is a lack of capacities, planning tools, censuses, registration protocols and governance instances shortages. Second, both shelters and other crucial infrastructures are poorly managed and have no conditions to guarantee safety and protection for the affected people by disasters, especially women, girls, older people, people with disabilities or Lesbian, Gay, Bisexual, Trans, Queer, Intersexual and Asexual (LGBTQAI+) persons. Third, the high incidence of epidemic illnesses and infections, such as dengue, malaria, and gastrointestinal or respiratory infections, owing to the lack of access to drinking water and sanitation or its poor management, the weakened hygiene

³⁵ SINAPRED (2020). Social and behaviour change to comprehensive risk prevention National Strategy. Executive Summary.

and nutrition, and vector sprawl due to temperature and rainfall variability, represents a significant threat to the population's health.

Concerning the risk prevention systems, the local EWS are rudimentary and inefficient, mainly based on improvised evacuation mechanisms and poor information. There are shortcomings in communication, climatic and hazards monitoring, digital tools to generate alerts and forecasts, and interconnection with early warning regional and international systems. The loss of ancient practices and knowledge, such as understanding the 'signs of nature' (like animals' behaviours, wind movements, etc.) in preparation for a potential disaster/emergency, affects the most isolated populations' survival possibilities.

Finally, the gender analysis specifically elaborated to inform NIC-ALERT design shows that the situation for women and youth is particularly concerned. Both groups are key stakeholders in risk management and climate change adaptation, but 'adulthood' and patriarchal culture adding to exclusion and structural poverty deny their real participation. The denial further degrades their living conditions while forcing them to leave the community, particularly for youth given sharply reduced opportunities. Individualism and division negatively affect social networks indispensable for intra-community protection, leadership and participation in endogenous development processes. This situation leads to a vicious cycle of poverty and violence, affecting especially women, people with disabilities and children. The risks of sexual violence against women, girls and boys in local communities are very high, where cases of rape and violence are reported.

Another conclusion from the diagnosis carried out in preparation of NIC-ALERT is the high risk of conflict in the prioritised regions, with their challenging security context, e.g. drug and human trafficking, passage through indigenous territories, extraction of natural resources, interethnic and intracommunity conflicts, loss of cultural traditions and social division, corruption and weakening of the traditional leaderships. In this regard, the action has developed a strategy for mitigation and resolution of conflict risk and peace building that would be part of the intervention strategy.

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

- Indigenous and Afro-descendant communities of the Caribbean, represented by their legitimate authorities and community structures, are right holders and basic stakeholders for the design and implementation of the action according to an endogenous development model.
- Indigenous and Afro-descendant territorial and communal governments as legitimate governance structures.
- National, regional and municipal authorities, namely the National Disaster Risk Management Agency (SINAPRED), National Institute for Territorial Studies (INETER), Ministry of Health (MINSAL), Ministry of Family, Youth and Children (MIFAM), Ministry of Education (MINED) and others as part of public institutions.
- Regional, Municipal and Local Committees for disaster prevention (COREPRED, COMUPRED, COLOPRED and COCOPRED) as the main risk management coordination mechanisms.
- International and national CSOs, NGOs and the private sector as possible organisations to support the implementation of specific activities and interventions.
- Women and youth organisations, people with disabilities organisations, and those working in the prioritised geographic areas.
- National and international academic and research centres as necessary partners for the implementation.
- International organisations: MSs, bilateral cooperation agencies (the United States Agency for International Development – USAID, the Swiss Agency for Development and Cooperation - SDC), and United Nations (UN) agencies, as part of the international community and delegated entities for the implementation, particularly UNICEF and LuxDev.
- The European Union - the action complements its humanitarian and DP initiatives in the targeted areas. To note that two DP actions are ongoing with a focus on communities of Bilwi, Waspam and Prinzapolka, aiming to strengthen the preparedness and response capacities of communities and local structures of SINAPRED that are being implemented by the Spanish Red Cross/Nicaraguan Red Cross and UNICEF allowing to complement information for the baseline of this proposed action. Additionally, synergies will be sought with a DP action implemented by Food and Agriculture Organisation (FAO) and the German Red Cross funded by the European Union to set up early action mechanisms for floods, drought and volcanic eruptions at National Level.

3 DESCRIPTION OF THE ACTION

3.1 Objectives and Expected Outputs

The **Overall Objective (OO)** of this action is to **contribute to the reduction of disasters risk and impacts associated with climate change and other natural hazards in Nicaragua**. In line with the Sendai Framework's priorities for action and the UN 2030 Agenda for Sustainable Development with its SDGs, NIC-ALERT is designed as a comprehensive intervention with a multi-hazard approach, addressing the underlying drivers of disaster risk: hazard exposure, vulnerability, exclusion inclusive disaster prevention, preparedness and response capacities.

The action's **Specific Objective (SO)/Expected Outcome** is to **increase community resilience to face climate-related impacts in some of the most vulnerable indigenous and afro-descendent communities of the Caribbean regions in Nicaragua, with a focus on women and youth**. The implementation strategy is based on strengthening the nexus between humanitarian immediate/short-term response and mid/long-term development cooperation, building on lessons learnt, synergies and complementarity.

This SO will be achieved through the following Outputs:

Output 1.1 (OP1.1): Enhanced local community-based preparedness and response capacity to disaster risk with focus on children, people with disabilities and other groups in vulnerable situations, based on their needs, rights and capacities and on women and youth as key actors.

To achieve OP1.1 a comprehensive approach for key disaster risk management actions - strengthening local preparedness and response capacities and governance - will be adopted. It will involve reinforcing the communities' adaptive and coping capacities and mechanisms, mainly the local and municipal DRR committees and traditional structures including women's leadership and engagement of people with disabilities and enhance protection measures for children and the elderly. Traditional environmental knowledge and climatic risk management practices will be reinforced, in coordination with local authorities, CSOs/NGOs, and legitimate governance structures from Indigenous and Afro-descendant communities, bearing in mind the right to Free, Prior and Informed Consent (FPIC) for these communities.

In the context of the Intercultural Bilingual Education System (SEAR), the action will support efforts to ensure that each school in the targeted indigenous communities has a school safety plan, teacher training and school safety committee. Provision of safe shelters, emergency management training for the community brigades, and access to drinking water and basic sanitation will complement the European Commission's efforts in terms of humanitarian preparedness and response, including the design, adaptation and implementation of NbS for DRR and climate change adaptation³⁶.

Output 1.2 (OP1.2): Strengthened community-based early warning systems in the face of disaster risk and climate change impacts.

OP1.2 includes the first three of the four major pillars that make up a multi-hazard EWS:

- (i) Promotion of disaster risk knowledge;
- (ii) detection, monitoring, analysis and forecasting of hazards and possible consequences; and
- (iii) warning dissemination and communication (the fourth one, namely preparedness and response capabilities, is dealt with under OP1.1)³⁷.

It also contributes directly to the regional and global efforts in this area - promoted by the EU and the MS, through the support of organisations or programmes such as the World Meteorological Organization (WMO), CEPREDENAC or Euroclima+.

³⁶ UNDRR. [Nature-based solutions for disaster risk reduction](#). Geneva, 2021. This publication offers practical, how-to-do information on setting up and implementing NbS especially for disaster risk reduction (DRR), but also for climate change adaptation (CCA). It is designed to help implement the Sendai Framework for DRR 2015-2030.

³⁷ World Meteorological Organization (WMO). [Multi-hazard Early Warning Systems: A Checklist](#), 2018.

The first area of this OP1.2 - promotion of disaster risk knowledge - will deal with the collection/generation of information on risks/vulnerabilities, capacities, degree of exposure, hazard characteristics, and possible man-made and geomorphological impacts on vulnerable ecosystems to strengthen risk assessment. The result of this OP1.2 will foster the risk/impact understanding through community vulnerability assessments and community-based loss and damage assessments³⁸, including data records and dissemination.

Under the second area, provision of technological instruments and digitalization of services will be essential, combined with the traditional indigenous and Afro-descendant environmental knowledge, experiences and cultural practices recovery, which may complement and improve scientific knowledge. Real-time access to reliable data, spatial information and other products and services, including the EU's Earth observation programme (Copernicus) and Geographic Information Systems (GIS) will be fostered. The generation and/or improvement of impact-based forecasts, warnings and climate impact projections will also be addressed.

The dissemination and communication of warnings are crucial for preparedness and also part of prevention. The expected outcome will promote them through actions aiming to improve the community-based telecommunications systems.

Output 1.3 (OP1.3): Empowered indigenous and afro-descendant women and youth in disaster risk management and adaptation to the impacts of climate change.

Under the premise of 'leave no one behind', this OP1.3 contributes directly to the action's SO and the Nicaragua MIP 2021-2027, as well as the mandate of the GAP, aimed at promoting gender equality and women's empowerment, with a focus on indigenous and afro-descendant women and youth (from 18 to 30 years, including those with disabilities) from communities of the Atlantic Autonomous Regions of Nicaragua.

This component will be implemented through a grants fund to support CSOs, called NICA-NET, aiming to enforce solidarity networks and collective initiatives for DRR and climate change adaptation measures. This OP1.3 will work along three main strategic lines:

- i) Strengthening the capacities of women and young people in the face of disaster risk and the impact of climate change - through environmental awareness-raising, climate-relevant education and training, and promoting positive leadership and strengthening of their organisations and work networks;
- ii) Preventing and protecting women and children against gender-based violence, with the participation of women's organisations, organisations of persons with disabilities strengthening of prevention, protection and attention community-based mechanisms, and access to justice; and,
- iii) Promoting collective and endogenous initiatives of women and young people for resilience in the face of disaster risk and climate change impacts, including green and circular economy, accessibility, clean energy, digitalization or others.

Applying a transformative approach by deconstructing gender roles, stereotypes, and hegemonic masculinity patterns, raising awareness around disability discrimination and promoting human and children's rights, peace, and equity will be crucial in every action.

NIC-ALERT will have operations in the two Autonomous Regions of the North and South Caribbean coasts, in at least 22 communities of 9 indigenous and Afro-descendant territories selected on the basis of a series of criteria. The action's development in the concentration areas of the European cooperation in Nicaragua will allow synergy and generation of complementarities.

³⁸ Communities can use these tools together to assess and record the economic and non-economic losses and damages they have experienced.

3.2 Indicative Activities

Start-up phase activities

- Implementing a baseline study, including inputs from the ongoing DP actions funded by the EU and SDC and implemented by the Spanish Red Cross/Nicaraguan Red Cross, UNICEF and FAO/German Red Cross. Construction and validation of indicators, including gender, ethnicity, disability and sex-disaggregated indicators. Collection of base data and means of verification. Definition of action distribution of actions related to the type of intervention community;
- Free, Prior and Informed Consent (FPIC) of prioritised communities. Support to preparing the consultation implementation plan and the consultation development according to local indigenous and afro-descendant practices and interests. Specific attention should be given to the dimension of traditional knowledge and how it is harnessed and shared;
- Design of the NIC-ALERT-NET grant fund implementation protocols. Risk analysis;
- Development of physical and digital safety and biosecurity protocols. Prevention and contingency plans in the face of extreme natural events;
- Carrying out a gender, inclusion and protection mainstreaming plan for each component;
- Designing a gender-sensitive and inclusive monitoring system, including revising the indicators' matrix, including the Human Rights, disabled people, and climate change approaches. Ex-ante evaluation to confirm action's design quality;
- Conflict-sensitive analysis update and design of a periodic review mechanism to ensure conflict sensitivity of ongoing actions and harness opportunities for conflict prevention and peacebuilding as appropriate;
- Design of communication and visibility strategy.

Activities related to Output 1.1 (OP1.1): **Enhanced local community-based preparedness and response capacity to disaster risk with focus on children, people with disabilities and other groups in vulnerable situations, based on their needs, rights and capacities and on women and youth as key actors.**

1.1.1 Strengthening of community governance structures for inclusive climate and risk management.

Capacities development, equipment, and education of community structures for disaster risk management and climate governance (COCOPRED- COLOPRED-COMUPRED-COREPRED), legitimate systems for indigenous and afro-descendant governance, emergency community brigades, educational community for risk disaster management, forest rangers, and special attention will be given to women's participation and leadership, equity, gender, conflict resolution, dialogue and peacebuilding.

1.1.2 Planning and preparation for disaster and climate risk management.

Risk management plans, response and evacuation protocols, community censuses and demographic, environmental and productive inventories, and public signs. Particular focus on incorporating protection measures for children, elderly, women, people with disabilities and special needs. Review/elaboration of School safety plans, school safety committees and school clubs, including teachers' training, materials, equipment and evacuation drills. Self-protection measures and self-care mechanisms for children and adolescents prepare for any risk situation. Matters on disabilities (accessibility), gender, generational barriers, cultural identity (incorporating native traditional knowledge) and climate change will be mainstreamed.

1.1.3 Improvement of shelters' conditions and their management.

Mapping of shelters and refuge centres. Diagnosis on capacity and preparation. Strengthening shelter's commissions, promoting participation and leadership for youth and women. Management protocols, specific protection measures for children and women, and assistance to people with special needs (people with disabilities, elderly, childhood, LGBTQIA+ and others). Prevention of Sexual Exploitation and Abuse (PSEA). Rescuing and promoting traditional sheltering practices. Preparation and refurbishment of fully accessible shelters and community refuge centres (schools, churches, communal houses, etc.). Provision of emergency supplies, including tents to supplement spaces and separate population groups (women and their children, people with disabilities), cleaning kits, family hygiene kits, assistive devices and dignity kits for girls and women.

1.1.4 Implementation of small-scale crucial resilient infrastructure works and its sustainable management.

Designing, building, locating and maintaining gender-sensitive water and sanitation community systems, including specifications to mitigate risks with a nature-based approach and strengthening the CAPs (Drinking Water Committees in Spanish) for maintenance and management of systems. Promoting women's and youth's empowerment in water management and their consultation on gender-responsive WASH. Evaluation of vulnerabilities and capacities of water and sanitation practices and systems. Promoting positive behaviours in the prevention of prevailing diseases in the zone, related to water, hygiene, community epidemiological oversees and vector control related to infection and water-related diseases and climate change, including COVID-19 protection measures. Prevention of addictions. Post Eta and Iota construction works and basic equipment (health centres, community centres, schools, etc.). Safety and privacy conditions, handholds and ramps for people with disabilities. Proper waste management. Provision of basic equipment (suture kits, delivery kits, pediatric care kits).

Activities related to Output 1.2 (OP1.2): Strengthened community-based early warning systems in the face of disaster risk and climate change impacts.

1.2.1 Hazards and risks local knowledge generation.

Installation and management of community-based hydrometeorological and telemetric stations connected to the national and regional observations networks. Use online and digital hydrometeorological information and data (Copernicus, Open-source weather maps, among others). Climate monitoring related to livelihoods: forecasts, climate perspectives and decennial and monthly tendency analysis. Real-time monitoring. Facilitate knowledge management from SINAPRED and Regional Governments (North and South Caribbean Coast Regional Governments). Promote the information flow mechanism to reach the community level. Preserving and strengthening traditional knowledge, values, and culture are important tools to be incorporated into DRR strategies, especially nature-based measures for climate change adaptation and DRR.

1.2.2 Strengthening of local alert/warning dissemination.

Capacity building and training on climate and risk monitoring systems for youth and women. Support to information and consultation initiatives based on digital platforms, focusing on youth as main users and responsible for data entry. Development of a mobile application (app) to allow easy access to data and information on weather/hazards/risks as a pilot action. Dissemination of agrometeorological brochures for small farmers and enhancement of local tools for community alerting. Support the design and adoption of alternative communication systems for emergencies (such as integrated communication systems, local communication stations, radio, satellite phones on specific locations, etc.), considering indigenous languages and traditional communication processes. Strengthening of radial and messaging systems.

1.2.3 Improvement of community-based loss and damage assessments³⁹.

Adaptation and adoption of participatory loss and damage assessment methodologies designed to be inclusive, participatory and empowering to allow the participation of women, youth and marginalised community members in processes to assess and understand hazard impacts. By working together to map resources, infrastructures, livelihoods, hazards, changes in seasons, impacts and changing trends, community members can build a clearer picture of the historical changes that have taken place and the scale of the impact. Generation of community-based data and databases Training in loss and damage participatory assessment and needs analysis with the support of maps, templates for data collection, non-economic loss and damage (NELD) and analysis of information. Platform for data automation and Damage Evaluation and Need Analysis (DENA) with a child, gender and disability approach, based in SINAPRED y COREPRED. Protocol for dissemination of DENA evaluation reports.

³⁹ Communities can use this information for a number of purposes, including understanding climate change trends and taking action to avoid or reduce future disasters and losses; giving clear information to local and national authorities to help them understand and map the trends and impacts of climate disasters, and to plan to avoid future disasters; engaging with government to request relief, support or compensation based on the assessment; and compiling evidence of climate-induced loss and damage so that national government can demand support from the international community. Action Aid (2020). [Handbook for loss and damage assessment](#); VAN DER GEEST & SCHINDLER (2017). [Handbook for assessing loss and damage in vulnerable communities](#); Bonn: UNU-EHS.

Activities related to Output 1.3 (OP1.3): **Empowered indigenous and afro-descendant women and youth in disaster risk management and adaptation to the impacts of climate change.**

1.3.1 Establishment (Implementation) of the NIC-ALERT-NET grants fund to which CSOs can apply through a selection process to support women and youth's solidarity networks and collective initiatives for DRR and climate change adaptation measures.

- Launch and attribution of grants for Lot 1: Strengthening women's and youth's capacities and leadership in the face of disaster risk and the impact of climate change - through environmental awareness-raising, climate-relevant education and training, and promoting positive leadership and strengthening of their organisations and work networks. Inclusion of actions aiming at conflict prevention, resolution and peacebuilding;
- Launch and attribution of grants for Lot 2: Preventing and protecting women and children against gender-based violence, with the participation of women's organisations, strengthening of prevention, protection and attention to community-based mechanisms, and access to formal justice;
- Launch and attribution of grants for Lot 3: Promoting collective and endogenous initiatives of women and young people for resilience in the face of disaster risk and the climate change impacts, including green and circular economy, clean energy, digitalization, or others.

3.3 Mainstreaming

Environmental protection & Climate change

Disasters worsened by present, and future climate change impacts obstruct sustainable development and environmental and social resilience. DRR is closely related to climate action and environmental protection. This approach is incorporated through the preventive interventions, following the EU principles. The action aims to support people and communities to be better prepared for climate change impacts, reduce their vulnerability, and strengthen their adaptive/coping (resilience and recovery) capacity as essential elements to reduce the adverse impacts of hazards and disasters and avoid the loss of lives and livelihoods. The EIA (Environment Impact Assessment) screening classified the action as Category C (no need for further assessment). The Climate Risk Assessment (CRA) screening concluded that this action is low risk (no need for further assessment).

Gender equality and empowerment of women and girls

As per OECD Gender DAC codes identified in section 1.1, this intervention is labelled as G1. This implies that gender equality is a significant objective. A specific gender analysis was elaborated during the participative diagnosis phase and informed the action's design. Gender is mainstreamed in all components and activities, and, additionally, the action presents a dedicated Output 1.3 to promote women's and girls' empowerment. Gender and disaggregated indicators have been included, in line with SDG 5 targets and GAP III objectives. The action addresses visible expressions of gender inequality such as gender-based violence, income or participation gaps as well as structural and systemic gender patterns, and specific social behaviours that are the underlying causes of inequality and undermine any efforts to build resilience.

Human rights

Applying a human rights-based approach and 'leaving no one behind' principle, the action targets specific groups, e.g., children, people with disabilities, ethnic and sexual minorities, indigenous people and those suffering from political or gender violence. The action will be implemented in Nicaragua's most vulnerable geographical areas to tackle inequalities and benefit underrepresented groups: youth, women, and indigenous and afro-descendant populations. The action includes protection, promotion and fulfilment of human rights by building the capacities of the duty-bearers (state actors) at local level and rights-holders to claim their rights, in particular, indigenous and afro-descendent peoples. The action ensures meaningful and inclusive participation accessible to all rights-holders, including governance structures and will be particularly mindful of the right to FPIC for Indigenous Peoples. Overall, the action will apply the working principles of the human rights based approach (HRBA): applying all human rights for all, meaningful and inclusive participation and access to decision-making, non-discrimination and equality, accountability and rule of law for all, and transparency and access to information supported by disaggregated data.

Disability

As per OECD Disability DAC codes identified, this action is labelled as D1. This implies that disability is a significant objective since the action contributes to promote, protect and ensure the rights and inclusion of all persons with disabilities, and promote respect for their inherent dignity in line with Art. 1 of the Convention on the Rights of Persons with Disabilities. In particular, the action ensures empowerment and accessibility, protection and respect for persons with disabilities to the climatic and risk management governance, information and communication, disaster risk preparedness, and prevention activities.

Democracy

In a context where basic democratic structures are fragile, the action aims to strengthen legitimate community governance structures and leaderships in keeping with international conventions and national legislation for indigenous and afro descendent autonomy and self-determination. The action will support the foundations of democracy through inclusive participation, dialogue, and consensus-building to contribute to conflict prevention, resolution, and peacebuilding.

Conflict sensitivity, peace and resilience

Conflict sensitivity and resilience considerations are an integral part of the objective of the action. In a context of high exposure to hazards and an environment prone to conflict, a deep multidimensional analysis of the conflict risks and drivers in the targeted areas facilitates conflict-sensitive programming as well as the generation of strategic risk identification and mitigation measures in the action framework, guaranteeing the principle of 'do no harm' In addition to initial conflict analysis, the action incorporates its ongoing monitoring and updating to generate a conflict-sensitive response and promote peacebuilding activities.

Disaster risk reduction

The action's main objective is the DRR in Nicaragua, through prevention/mitigation, preparedness, capacity development, women's and youth's empowerment for climate and risk management, so DRR is mainstreamed per se. The action is completely aligned with the Sendai Framework and aims to strengthen community resilience in the face of disaster risk.

Other considerations if relevant

The action considers indigenous and afro-descendant youth and children groups of particular interest. Nicaragua's 'adult' culture has reduced the youth's potential for development in an eminently young country, where the population under 30 represents 75% of the total. This situation worsens in the case of indigenous and afro-descendant youth, to whom the general structural gaps of poverty and exclusion join the context of authoritarianism and repression, the lack of training and job opportunities, the exclusion in governance and decision-making spaces, the deepening of apathy and hopelessness in the future, leading to addictions, migration, and poverty. The action supports innovative youth initiatives related to the environment, climate change, and risk management by developing capacities to enhance and promote children and youth's transformative potential.

3.4 Risks and Lessons Learnt

| Category | Risks | Likelihood (H/M/L) | Impact (H/M/L) | Mitigating measures |
|-----------------------------|--|---------------------------|-----------------------|---|
| to the external environment | Risk 1: The action might be restrained due to restrictive government measures and repressive legislation, | 1: High | 1: Medium | Risk 1: Diversification of international NGOs and Nicaraguan CSOs as potential partners for this action. Work with organisations duly registered and with a low political profile. Using foreign bank accounts and records to channel resources. Flexibility in contract procedures. |

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| | <p>domestic and international CSOs.</p> <p>Risk 2: Due to the invasions of indigenous communities and territories, people live in insecurity and are often forced to move from their communities. This might difficult the project's implementation.</p> <p>Risk 3: Due to the politicization and corrupt practices some of the project's activities might inadvertently undermine the principle of equity and justice to access the benefits of the action, hindering its achievement and impact or unintentionally creating tensions and divisions.</p> <p>Risk 4: Due to political instability and social polarization created by the country's political situation, inter-ethnic and inter-communal conflicts might occur, disturbing the action's implementation.</p> <p>Risk 5: Since the action will develop within a context prone to natural disasters, unexpected extreme</p> | <p>2: Medium</p> <p>3: Medium</p> <p>4: Low</p> <p>5: Low</p> | <p>2: High</p> <p>3: Medium</p> <p>4: Medium</p> <p>5: High⁴⁰</p> | <p>Risk 2: Flexibility integrated into activity planning, considering possible temporary suspensions or changes in the execution on the ground, identifying alternative plans and locations. Using safety protocols and alert systems in the communities.</p> <p>Risk 3: Continuous and transparent dialogue on a communal level, local stakeholders and with the different official governance levels. Support and communication with the community and its leadership, ensure FPIC. Set up criteria for execution, targeting and choice of beneficiaries according to the basic principles of the defence and protection of human rights, justice, fairness and gender equality. Ongoing updates of conflict analysis to ensure conflict sensitivity and 'do no harm' principle.</p> <p>Risk 4: The Action incorporates conflict analysis and prevention and peacebuilding measures. Communication, transparency and accountability will be reinforced, as intervention principles. The criteria for the selection process of beneficiaries will be agreed upon and precise, ensuring the project will benefit IAPs, with the purpose of closing gaps among the groups in most vulnerable situations. The action will incorporate mechanisms for periodical conflict analysis on a community level.</p> <p>Risk 5: The Action will generate prevention and contingency plans for extreme natural events. The regular planning will consider the occurrence of natural periodical events, such as river floods and tropical storms. Preparation and</p> |
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⁴⁰ Depending on the severity of the disaster.

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| | <p>events could affect the development of the activities.</p> <p>Risk 6: The evolution of COVID-19 pandemic or the emergence of new epidemic illnesses might affect the activities' fulfilment.</p> <p>Risk 7: Due to the existence of traditional parallel authorities, imposed by the government, undermines the community governance and the capacity of traditional indigenous and afro-descendant authorities to organise and act on behalf of the community, creating conflicts for the project's management.</p> <p>Risk 8: Due to diplomatic tensions between UE, its MSs or UN agencies, and the Nicaraguan government, conflict could emerge, affecting the budgetary commitment or implementation of the project.</p> <p>Risk 9: Regional, municipal or national election processes during the implementation period could</p> | <p>6: Low</p> <p>7: Medium</p> <p>8: Low</p> <p>9: Low</p> | <p>6: Low</p> <p>7: Medium</p> <p>8: High</p> <p>9: Medium</p> | <p>prevention of natural disaster risks are part of the activities. In case of a catastrophe, the actions may be re-programmed or modified.</p> <p>Risk 6: The action will develop bio-security protocols. The activities will consider preparation and prevention measures against epidemical illness threats and COVID-19. There will be coordination with national sanitary authorities. There will be flexibility in activities planning to overcome possible delays on deadlines.</p> <p>Risk 7: The communities for intervention will be selected to guarantee coordination with legitimate traditional authorities, maintaining dialogue with both (legit and imposed) if necessary. Permanent communication with a communal base and dialogue with authorities will be encouraged. Collective decisions should be supported by the Community Assemblies, where accountability will be developed. FPIC protocols should be applied in partnership with indigenous peoples and afro-descendant communities while ensuring gender inclusion.</p> <p>Risk 8: Diversifying the implementing partners through an EU MS and a UN Agency, the risk of impact on the implementation is mitigated, so if the risk materialises, one partner will assume the other's responsibilities.</p> <p>Risk 9: The action will consider electoral processes in its planning, avoiding the programming of activities at that time. It is possible the deadlines must be lengthened or considered with more flexibility.</p> |
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| | increase levels of tension and conflict, negatively affecting the implementation. | | | |
| to planning, processes and systems | <p>Risk 1: Due to difficulties in access, communication and provision of services in the intervention zone, the costs of the activities might increase, or it could be challenging to find suppliers of goods and services.</p> <p>Risk 2: Due to political tension and the need for government approval, the coherence of the action might be affected, forcing the execution of additional and unplanned activities.</p> <p>Risk 3: Since the protocols and mechanisms for the free, prior and informed consent (FPIC) to Afro-descendant and Indigenous People are not adequately defined or don't exist, resistance and opposition against the project might emerge.</p> | <p>1: High</p> <p>2: Low</p> <p>3: Low</p> | <p>1: Low</p> <p>2: Medium</p> <p>3: High</p> | <p>Risk 1: The budget will include the possible increase in costs and enough time to supply goods and services. Local providers will be considered if they meet the administrative requirements. Conflict-sensitive approaches to the procurement of goods and services should be considered.</p> <p>Risk 2: The action's community-based approach minimises the chances of national and regional government interference in the activities. On a territorial, municipal and communal level, the work will be coordinated, and transparent and high levels of communication and coordination will be maintained.</p> <p>Risk 3: The FPIC is placed as an introductory activity in each community, and to guarantee its realization, it will be a requirement to start the implementation in the communities. If the FPIC's protocol does not exist or is not appropriate, the action will facilitate the protocol or improve the existing one in a participatory manner.</p> |
| to people and the organisation | <p>Risk 1: 'Adult' and patriarchal culture resistance against the effective participation of women and youth in decision instances might arise.</p> | <p>1: Low</p> | <p>1: Medium</p> | <p>Risk 1: The action includes activities for women's and youth's empowerment, as well others aiming to transform structural patterns of inequality. Possible resistances will be approached using key areas of interest, such as educational and economic activities.</p> |

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|----------------------------------|--|--|--|--|
| | <p>Risk 2: Due to the worsening of households' economic and food security situation and the repressive political context of repression, there is an increased risk of emigration, both youth and adults.</p> <p>Risk 3. Due to the lack of educational opportunities and the traditional absence of cooperation initiatives in the zone, providing qualified local personnel may be difficult.</p> <p>Risk 4: The Caribbean regions are a path for drug transit, with high levels of consumption and related problems, such as organised crime and human trafficking.</p> | <p>2: Medium</p> <p>3: Medium</p> <p>4: Medium</p> | <p>2: Medium</p> <p>3: Low</p> <p>4: Low</p> | <p>Risk 2: The Action incorporates measures to dynamise the local economy and investment, so women and youth are deep-rooted in the community and the impact of the general crisis is mitigated.</p> <p>Risk 3: The action will hire local staff with experience in cooperation with CSOs working in the region, bearing in mind conflict-sensitive criteria for recruitment, equal opportunities and inclusion. It will also develop an initial and continuous training plan for staff.</p> <p>Risk 4: The action incorporates youth-focused activities, for attention and prevention of drug consumption. As part of the actions of risk management with a multi-hazard approach, it will work on strengthening community protection and prevention networks for childhood and youth.</p> |
| to communication and information | <p>Risk 1: Due to the complex governance structure in the intervention regions, where 5 different levels exist, there might be some weaknesses or distortions in communication about the action.</p> <p>Risk 2: Due to the international classification of Nicaragua's government as among the most authoritarian, the EU's reputation</p> | <p>1: High</p> <p>2: Medium</p> | <p>1: Medium</p> <p>2: Medium</p> | <p>Risk 1: The action will inform and maintain channels of communication with various levels of government, primarily from the bottom up. It is considered to submit the project at the regional level once the consent of the central authorities is obtained.</p> <p>Risk 2: The action will develop a visibility and communication strategy with a low profile and consider language diversity when appropriate. Media, speeches and any events in concert with national authorities or in areas where the government's party flag is displayed will be avoided.</p> |

| | | | | |
|--|--|---|--|--|
| | <p>could be affected negatively in the context of cooperation on this action.</p> <p>Risk 3: Since the intervention is developed in native language and culture regions, there might be some risks of cultural mismatch and wrong perceptions of the project’s objectives and actions.</p> <p>Risk 4: Due to the context of repression, the sensitive information generated during the intervention or the participation of local leadership could jeopardize the safety of the people that cooperates with the action</p> <p>Risk 5: Lack of awareness among development cooperation actors of traditional practices of social and productive resilience and adaptation to climate change.</p> | <p>3: Medium</p> <p>4: Medium</p> <p>5: Low</p> | <p>3: High</p> <p>4: Medium</p> <p>5: Medium</p> | <p>Risk 3: All action materials and messages will be culturally adapted. Local languages will be used and local personnel and indigenous and afro-descendant communal promoters will be hired, all familiar with the culture and the different ways of local communication.</p> <p>Risk 4: The action will have a physical and digital security protocol. Sensitive information will be treated confidentially and details about our facilitators or local collaborators will not be shared. Fees and per diem will be delivered in cash or through any other safe means.</p> <p>Risk 5: the action will develop processes of rescuing and revitalising traditional and nature-based practices of resilience and adaptation to climate change in agricultural production and natural disaster management.</p> |
|--|--|---|--|--|

Lessons Learned:

Working in indigenous and afro-descendant territories, specifically in the autonomous regions of the Caribbean Coast of Nicaragua, is complex given the difficult terrain. Therefore, the participative diagnosis process of NIC-ALERT focused on lessons-learnt and best practices. Some of the following inputs were collected from donors and CSOs⁴¹ and have informed the action’s design:

- The importance of maintaining an ongoing communication, coordination and transparency flow between the project and stakeholders involved, at all levels (communal, municipal, territorial, regional and national), building a relation of trust, participation and appropriation.

⁴¹ ECHO, UNICEF, UNFPA, AECID, LuxDev, GVC, SNV, World Vision, CRS, ASB, CRN, UNOPS, Save the Children, etc.

- The need for strengthening the processes of diagnosis, analysis and knowledge management, needs, threats and risks, stakeholder mapping, demographic information and other variables in a comprehensive, continuous and permanent way to ensure that the action is well informed be conducted with foresight;
- Need for a holistic and multi-dimensional approach that addresses the different human development variables and the multi-hazard approach;
- Cultural adaptation, notably to safeguard and apply traditional knowledge and practices such as using bio⁴² and cultural or cosmo indicators⁴³ in EWS to respect the indigenous and afro-descendant people's cosmovision;
- The combination of traditional knowledge and techniques as a base for the efficiency and sustainability of the intervention is especially relevant for EWS;
- The role of local staff, promoters, and native facilitators using local languages for EWS and messages dissemination and inclusive communication strategies, including the needs of persons with disabilities, is critical for community involvement, cultural matching, trust-building and enhancement of the action's communication and relevance;
- The strengthening of women's capacities, engagement and potential, usually set aside from the decision processes, as critical agents in risk management and climate change adaptation on a local level;
- The measures for inclusion, protection, and participation of groups in most vulnerable situations, such as children and youth, elderly, persons with disabilities, pregnant or women postpartum and LGBTQIA+ people, as valuable collaborators;
- Support and strengthen existing structures, leaderships, and organisations, including educational actions and capacity building;
- The multi-actor approach, with CSOs, the private sector, religious and academic institutions, and the public sector, allows the project to build alliances and synergies;
- To boost community-based work, observation, and communication networks, as part of the EWS.

3.5 The Intervention Logic

The logic of intervention is based on the basic principle that disaster risks arise from the combination of three factors: exposure to hazards, vulnerability level and the lack of State and citizen prevention, preparedness and response capacities. The degree to which individuals, families and communities are affected depends on the magnitude of the events (hazards), but also on the degree of exposure to them, the material living conditions of the families, their capacity to protect themselves, respond and recover from their effects, and above all, on the ways of dealing and linking with nature. Therefore, if the environment's political, economic and climate conditions do not worsen, the action will **strengthen the community's resilience to risk** while increasing adaptability to the climatic and anthropic impacts and reducing the underlying vulnerability factors in highly vulnerable rural communities in Nicaragua.

NIC-ALERT's specific objective is to **increase community resilience to risk in the face of climate-related impacts** in some of the most vulnerable indigenous and afro-descendant communities of the Caribbean regions in Nicaragua. This objective responds to the basic principles of the international and EU policy framework, which comprises multilateral goals such as the 2030 Agenda for Sustainable Development, the Paris Agreement on Climate Change and the Sendai Framework for Disaster Risk Reduction, among others.

UNDRR defines resilience (2017) as 'the ability of a system, community or society exposed to hazards to resist, absorb, accommodate to, transform 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 through risk management'⁴⁴. On the other hand, EU's resilience approach (2017) expands the concept 'to address state, societal and community resilience. It will emphasise addressing protracted crises, the risks of violent conflict, and other structural pressures including environmental degradation, climate change, migration and forced displacement'. The resilience concept that NIC-ALERT uses is based on the UNDRR and EU's definitions, considering community-based, capacity development and multi-hazard approaches as a conceptual base.

⁴² Bio or biological indicators refer to organisms, species or community whose characteristics can show or indicate the presence of specific environmental conditions.

⁴³ Cultural or cosmo-indicators refer to the indigenous cosmovision – or traditional worldviews – that often places the protection of the earth as part of indigenous people core beliefs.

⁴⁴ United Nations Office for Disaster Risk Reduction (UNDRR). [Report of the open-ended intergovernmental expert working group on indicators and terminology relating to disaster risk reduction](#). Adopted by the United Nations General Assembly on February 2nd, 2017.

Concerning the first Output, and under assumption of continued political and economic stability (despite the current authoritarian context), no worsening of food security conditions and migration flows, no increase in social or political conflicts or repressive measures against indigenous and afro-descendant people and CSOs in the intervention area it is expected that the action will be able to develop activities related to the strengthening of community governance structures for climatic and risk management, planning and preparation for risk and climate management, improvement of shelters' conditions and its management and implementation of small-scale crucial resilient infrastructure works and its sustainable management, all of this with special attention to the development of mainstreamed approach to women's, youth's, elderly's, children and people with disabilities rights, which will **enhance local community-based preparedness and response capacity to disaster risk with focus on children's, people with disabilities and other groups' needs and capacities, especially of those in most vulnerable situations.**

Concerning Output 2, if political relations between donors and government keep stable, physical security conditions and the risk of violent conflict do not worsen. Also, suppose extreme climatic events that could generate humanitarian or environmental catastrophes do not occur. In that case, the action will be able to develop activities related to hazards and risks, the generation of local knowledge, strengthening of local EWS and alert dissemination (fully accessible to everyone), and improvement of damage and loss assessment mechanisms which will **strengthen local prevention systems in the face of disaster risk and climate change impacts.**

The third Output will be attained, if enough CSOs with the capacity to operate in the Caribbean regions are maintained, and there is no increase in patriarchal resistance to women's and youth's participation in decision-making. The action will be able to implement a grants fund to promote indigenous and afro-descendant women's and youth's solidarity network initiatives, around risk and climatic management, gender-based violence, green and circular economy, sustainable energy, digitalization and others that will boost its **empowerment**, promoting not only its human rights safeguard but also the development of their capacities and potential in terms of increasing community resilience to disasters.

The intervention complements initiatives developed by the European Commission in Nicaragua - related to humanitarian aid, strengthening the HDP NEXUS with cooperation through continuity and sustainability, including a peacebuilding approach through activities that promote dialogue and the peaceful resolution of conflicts

3.6 Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)

| Results | Results chain (@): Main expected results (maximum 10) | Indicators (@): (at least one indicator per expected result) | Baselines (values and years) | Targets (values and years) | Sources of data | Assumptions |
|---------------|---|--|--|--|--|-----------------------|
| Impact | To contribute to the reduction of the risk of climate-related disasters and natural hazards and their impact in Nicaragua | 1 Direct economic loss attributed to disasters in relation to global GDP (SDG Indicator 11.5.2 + Sendai C1) 2 Number of people affected by disasters with a focus on protecting the poor and people in vulnerable situations (per 100.000 inhabitants) (SDG 13 + Sendai B1) ** Number of deaths, missing persons and directly affected persons attributed to disasters per 100,000 population, | 1: 0.93% (2019) 2: 1.839 (2019) | 1: 10% decrease (2027) 2: 368 decrease (2027) | 1: Index SDG for Latin America and Caribbean Region (2019) UNESCO ⁴⁵ 2: Index SDG for Latin America and Caribbean Region 2019 UNESCO | <i>Not applicable</i> |

⁴⁵ [Índice-ODS-2019-para-América-Latina-y-el-Caribe-2.pdf \(uniandes.edu.co\)](https://www.uniandes.edu.co/indicadores/indicador-11-5-2)

| | | | | | | |
|-------------------|---|--|--|---|---|---|
| | | disaggregated by sex, age, ethnicity and disability (SDG Indicator 13.1.1) | | | | |
| Outcome 1 | Increased community resilience to risk in the face of climate-related impacts in some of the most vulnerable indigenous and afro-descendent communities of the Caribbean regions in Nicaragua, with focus on women and youth | <p>1.1- Number of local governance structures (risk management or climate committees) in conditions to operate emergency protocols and responses in the face of disasters. (proxy according to IBD method.)</p> <p>1.2-Number of community small-scale infrastructure and facilities built or rehabilitated with EU support. (MIP) (proxy according to IBD method.)⁴⁶</p> <p>1.3-Number of women and girls reached by the programme aimed at strengthening individual resilience and safety in the face of disasters (GAP) disaggregated by disability and ethnic groups.</p> | <p>1.1: 0 (2022)</p> <p>1.2: 0 (2022)</p> <p>1.3: 0 (2022)</p> | <p>1.1: 22 (2027)</p> <p>1.2: 9 (2027)</p> <p>1.3: 4.000 (2027)</p> | <p>1: NIC-ALERT Progress reports for the EU-funded intervention</p> <p>2: NIC-ALERT Database of beneficiaries/participants</p> <p>3: NIC-ALERT Pre- and post-training test reports, systematization, evaluation reports and Progress reports for the EU-funded intervention</p> | <p>Political and diplomatic tensions between the EU, its Member States and the Nicaraguan government. do not increase.</p> <p>No worsening of domestic economy, food security conditions and migration flows.</p> <p>No increase in social or political conflicts or repressive measures against indigenous and Afro-descendant people and CSO in the intervention area</p> |
| Output 1.1 | Enhanced local community-based preparedness and response capacity for natural and man-made hazards with focus on women, children, people with disabilities and other groups in most vulnerable situations, on the basis of their needs, rights and capacities. | <p>1.1.1 [Number of communities with climate change and/or disaster risk reduction strategies under implementation with EU support] (GERF 2.5)</p> <p>1.1.2-*Proportion of women in managerial positions in risk, climatic or WASH groups supported by EU, disaggregated by age and disabilities (MIP)</p> <p>1.1.3[Number of state institutions and non-state actors supported by the EU on security, border management, countering violent extremism, conflict prevention, protection of civilian population and human rights] (GERF 2.23)</p> | <p>1.1.1: 0 (2022)</p> <p>1.1.2: 0 % (2022)</p> <p>1.1.3: 0 (2022)</p> | <p>1.1.1: 22 (2027)</p> <p>1.1.2: 50 % (2027)</p> <p>1.1.3: 30 (2027)</p> | <p>1.1.1: NIC-ALERT Progress reports for the EU-funded and Database of beneficiaries/participants</p> <p>1.1.2: NIC-ALERT monitoring reports and Progress reports for the EU-funded</p> <p>1.1.3: NIC-ALERT Progress reports for the EU-funded</p> | <p>There are no extreme climatic events that generate humanitarian or environmental catastrophes.</p> <p>Physical security conditions and the risk of violent conflict do not worsen.</p> <p>No worsening of health or sanitary conditions.</p> |
| Output 1.2 | Strengthened community-based risk management systems in the face of | 1.2.1-*Number of early warning and DRR task force members trained at local and regional levels, disaggregated by sex, disability and age (MIP) | <p>1.2.1: 0 (2022)</p> <p>1.2.2: 0 (2022)</p> <p>1.2.3: 0 (2022)</p> | 1.2.1: 220 (50% women) (2027) | 1.2.1/1.2.2/1.2.3 NIC-ALERT Progress reports for the EU-funded and monitoring reports, | Communication and coordination levels with |

⁴⁶ Both 1.1 and 1.2 indicators are proxy and they will form part of a ‘resilience index’ that will be built as part of base line and monitoring system design in start-up activities

| | | | | | | |
|-------------------|--|---|---|--|---|--|
| | disaster risk and climate change impacts. | 1.2.2-*Percentage of natural hazards monitored with EU support and informing decision-making during the programming period (MIP) 1.2.3-*Number of communication channels established with EU support for communication of warnings (MIP) | | 1.2.2: 100% (2027) 1.2.3: 5 (2027) (corresponding to the five levels of governance) | systematization, and evaluation reports | state institutions are maintained. Education, training and connectivity conditions in the intervention area do not worsen. |
| Output 1.3 | Empowered indigenous and afro-descendant women and youth in disaster risk management and adaptation to the impacts of climate change. | 1.3.1-Extent to which women and girls exercise choice and control over opportunities and resources in disaster risk reduction, recovery and reconstruction contexts, disaggregated by age, disabilities and ethnic group (GAP) 1.3.2-Extent to which women and youth civil society organisations and activists are able to influence strategies on climate mitigation, adaptation, disaster risk reduction and sustainable management of natural resources and biodiversity (GAP) 1.3.3-Number of people benefitting from the programme to counter sexual and gender-based violence disaggregated by sex, age, disabilities and ethnic group (NDICI) 1.3.4- Number of grassroots civil society organisations benefitting from (or reached by) EU support (GERF 2.28) | 1.3.1: DRR women empowerment index: 1/5 (2022) 1.3.2: DRR and climate SCO strength index: 1/5 (2022) 1.3.3: 0 (2022) 1.3.4: 0 (2022) | 1.3.1: DRR women empowerment index: 4/5 (2027) 1.3.2: DRR and climate SCO strength index: 3/5 (2020) 1.3.3: 2.500 (90% women) (2027) 1.3.4: 20 (2027) | 1.3.1: NIC-ALERT Gender analysis and gender final evaluation 1.3.2 NIC-ALERT Gender analysis and gender final evaluation 1.3.3 NIC- ALERT monitoring and final reports, systematization, and evaluation reports 1.3.4 NIC- ALERT monitoring and final reports, systematization, and evaluation reports | Enough CSOs with the capacity to operate in the Caribbean regions are maintained. No increase in patriarchal resistance to women's and youth's participation in decision making |

4 IMPLEMENTATION ARRANGEMENTS

4.1 Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with the partner country.

4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

4.3 Implementation Modalities

The Commission will ensure that the EU's appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures⁴⁷.

4.3.1 Indirect Management with a pillar assessed entity

Components of this action will be implemented in indirect management with LuxDev, which will be selected by the Commission's services using the following criteria: a MS Cooperation Agency, with experience in DRR, climate change adaptation and community-based capacity building programmes sector in Nicaragua, with in-country presence and installed capacity, extensive knowledge and coordination experience with international and national CSO, with previous experience in EU funds management, grants implementation and value-added for gender mainstreaming, GAP implementation and environment and climate change mainstreaming. The implementation by this entity entails:

- Implementing activities through CSOs, with or without legal identity, for Output 1.3
- Procuring external expertise for coordination and administrative and Financial Management for Output 1.3.
- Procuring external expertise for gender analysis and technical assistance for mainstreaming gender and youth equity and women's empowerment for all the Outputs.
- Procuring external expertise and technical assistance for mainstreaming environment and climate change for all the outputs.
- Implementing a communication and visibility strategy.
- Procuring external audit services for the programme.
- LuxDev will ensure the availability of its technical advisors' team based at the headquarters in Luxembourg to backstop cross-cutting actions on gender equality and climate change.
- Community agents will be hired to facilitate stakeholder engagement and access to the indigenous and Afro-descendant communities.

Components of this action will be implemented in indirect management with UNICEF, which will be selected by the Commission's services using the following criteria: a UN agency with experience in DRR and humanitarian sectors in Nicaragua, installed capacity in the country, field presence in the North Caribbean coastal region, extensive knowledge and long-standing coordination with international and national CSO, solid relationship and communication with Nicaragua's government institutions and authorities, with previous experience in working with EU's funds' management and value-added for human, indigenous and afro-

⁴⁷ www.sanctionsmap.eu. Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

descendent rights, youth, gender mainstreaming and GAP implementation. The implementation by this entity entails:

- Implementing activities for Outputs 1.1 and 1.2;
- Procuring external experts and technical assistance for monitoring all the Outputs;
- Procuring external experts for technical assistance for mainstreaming human rights, especially focused on children, disabled people and indigenous and afro descendent peoples for all the Outputs;
- Implementing a communication and visibility strategy;
- Procuring external audit services for the programme.

If the envisaged entity needs to be replaced, the Commission’s services may select a replacement entity using the same criteria. If the entity is replaced, the decision to replace it needs to be justified.

4.4 Indicative Budget

| Indicative Budget components⁴⁸ | EU contribution (amount in EUR) | UNICEF contribution (amount in EUR) | Total (amount in EUR) |
|--|--|--|--------------------------------------|
| Output 1.1 Enhanced local community-based preparedness and response capacity to disaster risk with focus on children, people with disabilities and other groups in most vulnerable situations, based on their needs, rights and capacities and on women and youth as key actors. | 5,300,000 | 435,000 | 5,735,000 |
| Indirect management with UNICEF | | | |
| Output 1.2 Strengthened community-based early warning systems in the face of disaster risk and climate change impacts. | 2,700,000 | 265,000 | 2,965,000 |
| Indirect management with UNICEF | | | |
| Output 1.3 Empowered indigenous and afro-descendant women and youth in disaster risk management and adaptation to the impacts of climate change. | 4,000,000 | | 4,000,000 |
| Indirect management with Luxdev | | | |
| Totals | 12,000,000 | 700,000 | 12,700,000 |

4.5 Organisational Set-up and Responsibilities

A Programme Steering Committee (PSC) and a Programme Technical Committee (PTC) will be established. The PSC will be in charge of strategic decisions, and it will approve the global and annual operational plans, the communication and visibility strategy, the base line, the annual interim reports and the final reports.

The PSC will be comprised of representatives from LuxDev, UNICEF and the EU Delegation and will ensure global coherence and overall effectiveness in achieving the expected results. The PTC will be in charge of coordination of activities, monitoring, and preparing the required documents for the PSC. When appropriate,

⁴⁸ N.B: The final text on audit/verification depends on the outcome of ongoing discussions on pooling of funding in (one or a limited number of) Decision(s) and the subsequent financial management, i.e. for the conclusion of audit contracts and payments.

the EU Delegation to Nicaragua and its implementing partners may consider non-project partners such as the UNDRR, UNFPA, WMO, and other regional organisations for technical guidance and dialogue.

Prior to the implementation of the action, a Memorandum of Understanding (MoU) is intended to be signed between the EU Delegation to Nicaragua, LuxDev and UNICEF to define roles and responsibilities in the joint implementation of the programme.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

4.6 Pre-conditions

Among the necessary preconditions for the development of the action is the need for the approval of the Nicaraguan government, which will be managed by the delegated entities, as well as the acceptance by the indigenous and Afro-descendant governments, through free, prior and informed consent.

5 PERFORMANCE MEASUREMENT

5.1 Monitoring and Reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (Outputs and direct Outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) and the partner's strategy, policy or reform action plan list (for budget support).

The Commission may undertake additional project monitoring visits through its own staff and independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

The technical and financial monitoring of the implementation of this action should be an ongoing process and is an integral part of the Implementing Partner's responsibilities. To this end, the executing agency must establish an internal, technical and financial monitoring system standing for the action and draw up regular progress reports (at least once per year) and final reports.

Each report at least will give an accurate account of the implementation of the action, the difficulties encountered, the changes implemented, the results obtained (outcomes and outputs), indicators against corresponding targets, using the logical framework matrix as a reference.

The report will be presented in such a way as to allow the monitoring of the means envisaged and employed and the financial execution. The final report, narrative and financial, will cover the entire period of implementation of the action.

Both monitoring and evaluation should take into account how the programme is being implemented from a rights-based approach with a gender equality perspective, in particular considering its five principles:

- 1) applying all human rights for all;
- 2) meaningful and inclusive participation and access to decision-making;
- 3) non-discrimination and equal access;
- 4) accountability and rule of law for all; and
- 5) transparency and access to information supported by disaggregated data.

Roles and responsibilities for data collection, analysis and monitoring:

During the first year of implementation, LuxDev and UNICEF will implement the specific gender analysis and the baseline study, which will in turn inform the design of the monitoring system. The setting up of the monitoring system will be ensured through the following steps in the start-up phase:

- Review, extension, and adaptation of the matrix of indicators, ensuring sex, disabilities, ethnicity and age disaggregated data are included and design and implementation of the monitoring system;
- Implementing other studies related to sustainability, applying a rights-based approach.
Conducting the baseline and end-line study to complete information for indicators of outcomes.

In the implementation phase, LuxDev and UNICEF will guarantee technical and management support for enhancing institutional performance, monitoring system management, analysis of monitoring data, and production of periodic monitoring reports.

From the action's start, a baseline of qualitative indicators on gender equality and climate change will be defined. During its implementation, data will be collected by preparing and applying beneficiaries' satisfaction surveys (questionnaires). Close coordination with the EU Delegation to Nicaragua and UNICEF will be established to align these efforts with the programme monitoring system.

5.2 Evaluation

Having regard to the nature of the action, a mid-term and final evaluation(s) will be carried out for this action or its components via independent consultants contracted by the implementing partners. The mid-term evaluation will be carried out for learning purposes, particularly concerning improving or adjusting the initial intervention model and formulating the exit strategy. The final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account the fact that this action is closely related with the promotion of environmental and social sustainable economic growth. The team will include gender, indigenous communities and human rights experts, including with expertise on disability rights. The Commission will participate in the steering of the evaluations and validate the final reports. Expertise on human rights and gender equality will be ensured in the evaluation teams.

The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project. The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

5.3 Audit and Verifications

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audit or verification assignments for one or several contracts or agreements.

In case the EU requires an external audit, it will be carried out with funds from another decision.

6 STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will continue to pool, programme and deploy strategic communication and public diplomacy resources focused on impact on our cooperation, visibility of the EU and promotion of universal values.

It will remain a contractual obligation for all entities implementing EU-funded external actions to inform the relevant audiences of the Union's support for their work by displaying the EU emblem and a short funding

statement as appropriate on all communication materials related to the actions concerned. However, action documents for specific sector programmes are in principle no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

Specific communication events and activities related to the project will be agreed upon and undertaken in coordination with the implementing partners through regular dialogue. Considering the sensitive context, there will be no joint visibility efforts with government partners, instead the EU and implementing partners will implement context specific conflict sensitive initiatives to achieve linkages with the overall strategic communications plan.

Appendix 1 REPORTING IN OPSYS

An Intervention (also generally called project/programme) is the operational entity associated to a coherent set of activities and results structured in a logical framework aiming at delivering development change or progress. Interventions are the most effective (hence optimal) entities for the operational follow-up by the Commission of its external development operations. As such, Interventions constitute the base unit for managing operational implementations, assessing performance, monitoring, evaluation, internal and external communication, reporting and aggregation.

Primary Interventions are those contracts or groups of contracts bearing reportable results and respecting the following business rule: ‘a given contract can only contribute to one primary intervention and not more than one’. An individual contract that does not produce direct reportable results and cannot be logically grouped with other result reportable contracts is considered a ‘support entities’. The addition of all primary interventions and support entities is equivalent to the full development portfolio of the Institution.

The present Action identifies as:

| | | |
|-------------------------------------|-------------------|---|
| Action level | | |
| <input checked="" type="checkbox"/> | Single action | Present action: all contracts in the present action |
| Contract level | | |
| <input type="checkbox"/> | Single Contract 1 | |
| <input type="checkbox"/> | Single Contract 2 | |