



## **Information for NGOs on the Nexus Chapeau Approach for Humanitarian Aid and Transitional Development Assistance (TDA) projects**

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### **1. Introduction and background**

In order to strengthen the operationalisation of the Humanitarian-Development-Peace (HDP) Nexus, the Federal Foreign Office S09 and Federal Ministry for Economic Cooperation and Development (BMZ) R222 have developed the **nexus chapeau approach**. This approach was piloted in 2019 and is utilized to define the collective outcomes that a humanitarian aid project and a transitional development assistance project can achieve through coherent and complementary measures. Within this process, the principal focus for projects with parallel funding from both ministries is to **strengthen: (a) collective outcomes, (b) synergies, (c) division of labour, (d) transparency, and (e) coordinated project planning and implementation (including monitoring and evaluation)**. A learning process on the effectiveness of the Nexus-Chapeau approach is currently underway. As part of an ongoing joint BMZ/ Federal Foreign Office study, positive effects and potential for improvement are being identified and recommendations developed. The study will be shared with the implementing partners upon completion.

The nexus chapeau approach is one approach of the Federal Government to operationalize the nexus. There are also, for example, programmatic approaches and further international initiatives. This document only contains the guidelines for NGOs to implement the nexus chapeau approach. It is conceived as a working document, which will be updated regularly according to the lessons learned in the implementation of the nexus chapeau approach.

### **2. Joint working definition of the HDP Nexus**

The common understanding between BMZ and the Federal Foreign Office of the HDP Nexus is based on the OECD-DAC Recommendation on the HDP Nexus from 2019.<sup>1</sup> According to this, the HDP Nexus involves interlinking humanitarian, development and peace actions with the aim of strengthening collaboration, coherence and complementarity. The interplay of the three areas varies according to the context. Implementing the HDP Nexus does not mean that each organisation has to be actively engaged in humanitarian, development and peace actions. Rather, the various actors should work on the dimensions of the nexus relevant to them based on their strengths, expertise, capacities and mandates.

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<sup>1</sup> OECD (2019). DAC Recommendation on the Humanitarian-Development-Peace Nexus. <https://legalinstruments.oecd.org/en/instruments/OECD-LEGAL-5019>, p.6

Through peacebuilding, the Federal Foreign Office and BMZ aim to prevent violent conflict where possible and, where this has been unsuccessful, to show ways to reduce violence and support long-term rule-based mechanisms for peaceful conflict resolution.<sup>2</sup>

With regards to the nexus peace pillar, BMZ's transitional development assistance focuses on strengthening peaceful and inclusive communities (promoting peaceful coexistence, social cohesion or peacebuilding) at the local level in the sense of the bottom-up approach (TDA field of action 4)<sup>3</sup>.

As a crisis instrument of the BMZ, multisectoral projects of structure-building TDA are predestined for operationalizing the HDP nexus and the meaningful integration of the peace pillar. In addition to activities to explicitly strengthen social cohesion at the local level, development-oriented measures in other fields of action address the structural causes of conflict. Food security counteracts the negative interactions of hunger and conflict. Effective disaster risk management systems take into account the link between disasters and conflicts, and reconstruction measures make a direct contribution to the "Building for Peace" agenda. In line with the nexus-chapeau approach, TDA interventions combined with humanitarian assistance can lay the foundation for long-term peaceful development in fragile contexts.

### 3. Criteria for the submission of nexus chapeau projects

The two parts of a chapeau project (humanitarian aid and BMZ transitional development assistance) must be linked in terms of their content and the time frame. Projects without a content-related or regional link do not require the chapeau format. The following **configurations** are possible:

- a) Linking to an ongoing project of the other ministry;
- b) Linking two new projects.

#### Possible content-related links:

- a) Linking projects with a **close geographical and target group context** (same/neighbouring region, same or complementary target groups)
  - b) **and optionally same/complementary sectors** (e.g. water and health).
- The need for nexus projects is generally based on the **initiative and needs-based analysis of NGOs** and only in specific cases on a suggestion from the Federal Foreign Office and BMZ.
  - Nexus project ideas are subject to the usual reviews by the Federal Foreign Office and BMZ, which are initially carried out separately. There is **no entitlement to funding from both ministries**. In addition to the effort to strengthen the dovetailing of humanitarian aid and development cooperation, the respective budget line-specific objectives, principles and funding criteria remain the most crucial factors.
  - **If only one of the ministries decides to provide funding**, there is the **option of amending the application** to plan a self-contained (unlinked) project.

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<sup>2</sup> Federal Government (2019). Operations manual. Interministerial approach to preventing crises, resolving conflict and building peace. <https://www.bundesregierung.de/breg-en/service/information-material-issued-by-the-federal-government/operations-manual-1726518>, p.27.

<sup>3</sup> BMZ (2020). [Strategy on Transitional Development Assistance, p.14](#)

#### **4. Process within the planning/commissioning cycle for NGOs that submit TDA project ideas to BMZ**

- **August-October 2023:** NGOs indicate with submission of their BMZ TDA project outline whether they intend to set up a Nexus-Chapeau project and submit in parallel to the Federal Foreign Office an interlocked outline. Start coordination Federal Foreign Office - BMZ (ongoing). NGOs intending to submit a Nexus project are asked to fill in the Nexus-Chapeau format (Annex 6) in a first draft.
- **January 2024:** Coordination between BMZ and the Federal Foreign Office.
- **Q1/ 2024 (aligned with specific commissioning or grant cycles):** NGOs are invited by Federal Foreign Office and BMZ to submit project proposals and finalize the Chapeau format with change requests. NGOs send the Chapeau format 1:1 and simultaneously to the Federal Foreign Office and BMZ and ask for approval - afterwards finalization of the applications.
- **After submission of project applications including chapeau format:** Federal Foreign Office and BMZ coordinate closely with each other and with the NGO regarding the interlocking of the projects as well as the mapping in the Chapeau format. If changes are necessary, these are communicated to the applicants. Otherwise, funding or commissioning by the Federal Foreign Office and BMZ based on the final chapeau and the submitted applications.

#### **5. Process within the planning/commissioning cycle for NGOs that submit their project ideas to the Federal Foreign Office first**

If requested by the NGO, the Federal Foreign Office notifies BMZ if an NGO approaches the Federal Foreign Office during the course of the year with an outline for a project that is earmarked to begin in that calendar year based on humanitarian needs and would benefit from a BMZ transitional development assistance component within the context of the nexus. BMZ will then examine whether transitional development assistance funding, based on the chapeau approach, is possible in the next 'crisis management, reconstruction, infrastructure (KWI, in German)' selection cycle.

#### **6. Reporting**

In addition to regular reporting, the NGOs also report to both ministries on the progress made towards achieving the collective outcome in the chapeau project (Annex 2). The nexus chapeau report, covering four pages at most, contains a comparison of the current situation with the targeted outcome regarding the common results matrix as well as a number of qualitative questions on project implementation. Identical reports are submitted simultaneously to the Federal Foreign Office and BMZ in the first quarter alongside the respective regular reports. If necessary, the Federal Foreign Office, BMZ and the respective NGO may agree to hold complementary meetings for an even more comprehensive evaluation of the lessons learned.