



COMMISSION DES COMMUNAUTÉS EUROPÉENNES

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**DÉCISION DE LA COMMISSION**

**du**

**relative au financement d'opérations humanitaires sur le budget général des  
Communautés européennes dans le cadre du programme de la DG ECHO pour le  
renforcement des capacités**

(ECHO/THM/BUD/2009/01000)

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### relative au financement d'opérations humanitaires sur le budget général des Communautés européennes dans le cadre du programme de la DG ECHO pour le renforcement des capacités

(ECHO/THM/BUD/2009/01000)

LA COMMISSION DES COMMUNAUTÉS EUROPÉENNES,

vu le traité instituant la Communauté européenne,

vu le règlement (CE) n° 1257/96 du Conseil du 20 juin 1996 concernant l'aide humanitaire<sup>1</sup>, et notamment ses articles 2 et 4 et son article 15, paragraphe 2,

considérant ce qui suit:

- (1) Le renforcement des capacités des partenaires est un facteur d'efficacité et d'opportunité à long terme des opérations d'aide humanitaire.
- (2) Le Consensus européen sur l'aide humanitaire<sup>2</sup> indique que *«pour l'UE, il est fondamental de contribuer au développement de la capacité collective mondiale de réaction aux crises humanitaires»* et engage l'Union à promouvoir *«la réduction des risques de catastrophe et la préparation aux catastrophes dans les pays en développement»* et à *«explorer les moyens de contribuer au renforcement des capacités, en particulier dans l'approche de responsabilité sectorielle («cluster approach») et par des dispositions pour le renforcement des capacités locales»*<sup>3</sup>.
- (3) La Commission soutient la démarche de réforme et de coordination de l'aide humanitaire comme moyen de renforcer la fourniture de l'assistance d'urgence qui *«a amélioré les efforts pour identifier et traiter les lacunes dans la planification sectorielle de la réponse humanitaire sur le terrain [...] et [...] a aidé à promouvoir une direction plus forte et plus prévisible sur les secteurs, une meilleure préparation et capacité d'intervention sur le terrain»*<sup>4</sup>.
- (4) Les principes et bonnes pratiques de l'aide humanitaire préconisent l'octroi de financements pour le renforcement des capacités de réaction, le renforcement des capacités des communautés locales et le soutien et la promotion du rôle central et

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<sup>1</sup> JO L 163 du 2.7.1996, p. 1.

<sup>2</sup> Adopté par le Conseil, le Parlement européen et la Commission le 18 décembre 2007 (JO C25 du 30.1.2008, p. 1).

<sup>3</sup> Document de travail des services de la Commission – Consensus européen sur l'aide humanitaire – Plan d'action, Bruxelles, 29.5.2008. SEC(2008) 1991.

<sup>4</sup> Cluster Approach Evaluation – Final Draft (Stoddard, Harmer, Haver, Salomons and Wheeler), OCHA Evaluation and Studies Section, November 2007 (Published by ODI HPG).

unique des Nations unies pour assurer la direction et la coordination de l'action humanitaire internationale.

- (5) Une évaluation externe du financement thématique (programme de la DG ECHO<sup>5</sup> pour le renforcement des capacités) a conclu *«qu'il s'agit d'un instrument hautement pertinent pour le renforcement des capacités des partenaires de la DG ECHO à réagir aux urgences en temps opportun avec efficacité et de façon prévisible»*<sup>6</sup> et a recommandé à la Commission de poursuivre son financement de l'aide au renforcement des capacités accordée à ses partenaires.
- (6) Une évaluation et une analyse précises et impartiales des besoins constituent une condition nécessaire pour une fixation efficace des priorités et des opérations d'assistance adaptées qui permettent un ciblage correct, évitent tous effets négatifs de l'assistance et garantissent la meilleure utilisation des ressources pour l'aide, et conviendraient donc d'être encore développées.
- (7) La stratégie de la Commission en matière de renforcement des capacités – couverte par l'article 4 du règlement (CE) n° 1257/96 du Conseil – consiste à soutenir le renforcement des capacités des organisations humanitaires internationales et des parties prenantes pour faire face aux crises.
- (8) Une évaluation de la situation humanitaire et de la nécessité d'apporter une certaine prévisibilité amène à la conclusion que les actions d'aide humanitaire devraient être financées par la Communauté pour une période de 24 mois.
- (9) Selon les estimations, un montant de 27 000 000 EUR (20 000 000 EUR sur la ligne 23 02 01, 5 000 000 EUR sur la ligne 23 02 02 et 2 000 000 EUR sur la ligne 23 02 03) du budget général des Communautés européennes est nécessaire pour fournir l'aide au renforcement des capacités aux organisations humanitaires internationales et aux parties prenantes, en tenant compte du budget disponible, des contributions d'autres donateurs et d'autres facteurs. En conséquence, les activités couvertes par la présente décision peuvent être intégralement financées conformément à l'article 253 des modalités d'exécution du règlement financier.
- (10) La présente décision constitue une décision financière au sens de l'article 75 du règlement financier (CE, Euratom) n° 1605/2002<sup>7</sup>, de l'article 90 des règles détaillées pour la mise en œuvre du règlement financier fixées par le règlement (CE, Euratom) n° 2342/2002<sup>8</sup>, et de l'article 15 des règles internes sur la mise en œuvre du budget général des Communautés européennes<sup>9</sup>.
- (11) Pour faire face aux lacunes du dispositif humanitaire mondial, l'aide peut être acheminée par l'intermédiaire d'organisations internationales, notamment d'agences des Nations unies. En conséquence, la Commission européenne peut mettre en œuvre le budget par gestion conjointe.
- (12) Conformément à l'article 17, paragraphe 3, du règlement (CE) n° 1257/96, le Comité de l'aide humanitaire a donné un avis favorable le 11 décembre 2008,

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<sup>5</sup> Direction Générale Aide humanitaire – DG ECHO.

<sup>6</sup> Evaluation of Thematic Funding (and the Grant Facility Approach). 20 May 2008 (DG ECHO). Spaak and Atkinson (Particip).

<sup>7</sup> JO L 248 du 16.9.2002, p.1.

<sup>8</sup> JO L 357 du 31.12.2002, p.1.

<sup>9</sup> Décision de la Commission du 5.3.2008, C/2008/773.

DÉCIDE:

*Article premier*

1. Conformément aux objectifs et principes généraux de l'aide humanitaire, la Commission approuve par la présente un montant total de 27 000 000 EUR en faveur du programme de la DG ECHO pour le renforcement des capacités au titre des lignes 23 02 01 (20 000 000 EUR), 23 02 02 (5 000 000 EUR) et 23 02 03 (2 000 000 EUR) du budget général 2009 des Communautés européennes.

2. Conformément aux articles 2 et 4 du règlement n° 1257/96 du Conseil, les actions humanitaires sont mises en œuvre pour atteindre les objectifs spécifiques suivants:

- accroître l'efficacité et renforcer la capacité des organisations humanitaires internationales et des parties prenantes à évaluer et analyser les besoins humanitaires, à s'y préparer et à y répondre en cas de catastrophes provoquées par l'homme et/ou naturelles et leurs effets immédiats de façon coordonnée et globale.

Un montant de 20 000 000 EUR au titre de la ligne 23 02 01 est octroyé pour cet objectif spécifique.

- renforcer la capacité des organisations humanitaires internationales et des parties prenantes à évaluer et analyser avec précision les besoins humanitaires dans le secteur alimentaire et nutritionnel, en tenant compte aussi des moyens d'existence, au cours des urgences et dans leur prolongement immédiat, et concevoir des réponses appropriées dans cet esprit.

Un montant de 5 000 000 EUR au titre de la ligne 23 02 02 est octroyé pour cet objectif spécifique.

- améliorer la capacité des organisations internationales et des parties prenantes engagées dans l'aide humanitaire et la réduction du risque de catastrophes à prendre des initiatives et à élaborer de nouveaux mécanismes et méthodologies améliorés à utiliser par les partenaires aux fins de la réduction du risque de catastrophes à différents niveaux.

Un montant de 2 000 000 EUR au titre de la ligne budgétaire 23 02 03 est octroyé pour cet objectif spécifique.

*Article 2*

1. La durée de mise en œuvre de la présente décision est de 24 mois au maximum à compter du 1<sup>er</sup> janvier 2009.

2. Les dépenses engagées dans le cadre de la présente décision sont éligibles à compter du 1<sup>er</sup> janvier 2009.

3. Si les actions envisagées dans la présente décision sont suspendues pour cause de force majeure ou en raison de circonstances comparables, la période de suspension n'est pas prise en considération dans le calcul de la durée de mise en œuvre de la présente décision.

*Article 3*

1. La Commission exécute le budget par gestion conjointe avec des organisations internationales.

2. Les actions soutenues par la présente décision sont mises en œuvre par des organisations internationales.

3. Compte tenu des spécificités de l'aide humanitaire, de la nature des activités à entreprendre, des contraintes particulières liées à la situation géographique et du niveau d'urgence, les activités couvertes par la présente décision peuvent être intégralement financées conformément à l'article 253 des modalités d'exécution du règlement financier.

*Article 4*

1. Le montant de 27 000 000 EUR est subordonné à la disponibilité des fonds nécessaires au titre du budget général 2009 des Communautés européennes.

2. La présente décision prend effet le jour de son adoption.

Fait à Bruxelles, le

*Par la Commission*  
*Membre de la Commission*



**Humanitarian Aid Decision**

**23 02 01**

**23 02 02**

**23 02 03**

Title: DG ECHO's Programme for Capacity Building

Location of Action: Global

Amount of Decision: EUR 27,000,000

Decision reference number: ECHO/THM/BUD/2009/01000

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**Supporting document to the Commission Decision on the financing of DG ECHO's Programme for Capacity Building**

**1 - Rationale, needs and target population.**

1.1. - Rationale:

Humanitarian aid serves to save human lives and alleviate suffering. Building capacities of the humanitarian community should – in the longer term – make this effort more efficient, effective and timely. Capacity building could therefore facilitate saving **more** lives at **lower** costs. It is for this reason that EU Member States and the European Commission's partners argue that the '*Commission should finance partner capacity building*,'<sup>1</sup> as confirmed in the European Consensus on Humanitarian Aid: "... *supporting the development of the collective global capacity to respond to humanitarian crises is one of the fundamental tenants of our [EU] approach*"<sup>2</sup> and by the endorsement of the Good Humanitarian Donorship Principle<sup>3</sup> to "*allocate funding to strengthen capacities for response.*"<sup>4</sup> Following a Decision in 2007<sup>5</sup>, DG ECHO has supported a range of international agencies to enhance their capacities within the framework of their leadership role within the cluster approach, one of the key pillars of the humanitarian reform and recently evaluated as having "*improved efforts to identify and address gaps within sectoral planning in humanitarian response in the field. The approach has helped*

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<sup>1</sup> Commission Staff Working Document 'Report on the results of the consultation on a consensus on European Humanitarian Aid Policy' SEC (2007) 781 13 June 2007.

<sup>2</sup> As adopted by the Council, EP and Commission on 18 December (OJ 2008/C/ 25/01 of 30 January 2008).

<sup>3</sup> Initiative currently co-chaired by the Netherlands and the Commission.

<sup>4</sup> GHD principle 18. See also principle 8 on strengthening the capacity of affected countries and local communities and principle 10 to support and promote the central and unique role of the United Nations in providing leadership and co-ordination of international humanitarian action.

<sup>5</sup> ECHO/THM/BUD/2007/01000

*to foster stronger and more predictable leadership over sectors, improved preparedness and surge capacity at field level, and prioritization of response and strategic planning of common humanitarian action has improved.*"<sup>6</sup>

This support was provided in the context of DG ECHO's thematic funding (capacity building) which was externally evaluated in 2008 as *"a highly relevant tool for strengthening the capacities of DG ECHO's partners to respond to emergencies in a timely, effective, and predictable way. It has enabled DG ECHO to play a more strategic role and build stronger relationships with its partners."*<sup>7</sup> Thematic funding has made a difference at global, institutional and operational levels and been particularly useful for the strategic pre-positioning of stockpiles, the development of policies, guidelines, procedures, and methodologies, strengthening the skill-sets and availability of qualified staff, and replicating best practice. However, the evaluation also noted that *project roll-out and impact at country level has been uneven, partly because of reasons of the time required for capacity building to have an impact, the different nature of the projects - some of which involve institutional change, and the specific nature of capacity building efforts in general.*

The current Decision is in line with the policy framework which defines the EC policy towards the UN (COM(2001) 231 and COM(2003) 526) and supports institutional capacity-building for the UN and strengthening the multilateral system. This decision particularly intends to respond to these findings and build further on these efforts and follows recommendations made by the above evaluation to *"continue the previously known 'Thematic Funding' approach as a 'DG ECHO's Programme for Capacity Building'"* with the objective of increasing the effectiveness and reinforcing the capacity of international humanitarian organisations and stakeholders to assess, analyse, prepare and respond to humanitarian needs during man-made and /or natural disasters and their immediate aftermath in a coordinated and inclusive manner. Focus is on strengthening the 'humanitarian system' to tackle a number of identified gaps in responses and capacities will be built in function of this response. The Decision foresees a further focusing of actions to a few key areas of intervention.

It further recognises specific needs in the areas of food assistance and disaster preparedness as two areas of attention: a critical weakness of the humanitarian response to specific crises is that assistance fails to reflect comparative levels of need, even though the allocation of aid according to need lies at the heart of the humanitarian principles. Existing needs assessment methodologies, throughout the humanitarian sector, have long been acknowledged as weak<sup>8</sup> and specific attention will need to be paid to the challenges for needs assessment – including and especially related to food - to deliver appropriate assistance to the people who need it most. Regarding disaster preparedness: Natural hazards are increasing in both frequency and intensity and climate change, together with increased vulnerability, has created an upward trend in disasters. Consequently, strengthening the capacity of humanitarian agencies to respond to emergencies, and where appropriate, reduce people's vulnerability to hazards and strengthen their capacities to cope are needed. Evidence shows that investments in disaster risk reduction pay off, but that further support to build the necessary capacities - including advocacy - for disaster risk reduction as identified by the Hyogo Framework for Action, is needed.

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<sup>6</sup> Cluster Approach Evaluation – Final Draft (Stoddard, Harmer, Haver, Salomons and Wheeler), OCHA Evaluation and Studies Section, November 2007 (Published by ODI HPG).

<sup>7</sup> Evaluation of Thematic Funding (and the Grant Facility Approach). 20 May 2008 (DG ECHO). Spaak and Atkinson (Particip).

<sup>8</sup> Darcy, James and Charles Antoine-Hofmann (2003) *According to Need ? Needs assessment and decision making in the humanitarian sector*. Humanitarian Policy Group, ODI, UK.

The current Decision aims to build upon past results and lessons learnt and to further streamline and focus efforts for responding to preparedness and humanitarian response capacity gaps in a consistent manner. As such, it is an element of the implementation of the Action Plan of the Consensus, which commits the EU to *"Explore how to enhance support to capacity building, including in the cluster approach and provisions for reinforcing local capacity."*<sup>9</sup>

## 1.2. - Identified needs:

A consultation with DG ECHO partners on 25 April 2008<sup>10</sup> reviewed existing gaps in humanitarian response that could be addressed through capacity building initiatives. **Global needs were identified in the areas of logistics and pre-positioning; disaster preparedness; roll out of the cluster approach; local capacities; needs assessments and related methodologies and strengthened response capacity in the areas of health, water and sanitation, shelter, food assistance and protection, including child protection.** Partners agreed that key **cross cutting priorities** should include enhanced sustainability of the actions; a positive impact of actions on other humanitarian organisations, especially NGOs; inclusion of other donors and local partners; building local capacity; as well as specific attention to vulnerable groups (including children) and to gender mainstreaming.

Some of these needs are to an extent being addressed by the cluster approach. This approach was initiated by the Inter Agency Standing Committee (IASC) in December 2005 as a means to strengthen predictability, response capacity, coordination, and accountability by promoting partnerships in key sectors of humanitarian response, and by formalizing the lead role of specific agencies in each of the sectors. After nearly two years of implementation, an evaluation carried out in 2007 found that despite early problems during roll out, there is evidence that the cluster approach has resulted in some systemic improvement in coordinated humanitarian response, and that *"the development and implementation of the approach merits continuation and expansion, especially regarding roll-out at field level."*<sup>11</sup>

Further consultation with several cluster lead agencies<sup>12</sup> showed consistency in needs, as identified for this Decision:

- **Implementation of the cluster approach:** Further strengthening of institutional capacity to ensure effective implementation and functioning of the cluster approach and other coordination mechanisms is required, especially at field level. Local coordination structures need to be assessed, expanded and /or adapted for improved roll out of cluster coordination and information sharing is needed. Improved information for effective decision making, as well as increased surge capacity is needed for promoting enabling factors at country-level. Partnerships with civil society and local actors need to be strengthened. There is a need to further develop and disseminate common standards, guidelines, frameworks, and tools. A second phase of the **evaluation of the cluster approach** and other knowledge provision is necessary to provide recommendations for improving cluster roll-out.

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<sup>9</sup> Commission Staff Working Paper 'European Consensus on Humanitarian Aid – Action Plan' Brussels, 29 May 2008 SEC(2008)1991.

<sup>10</sup> DG ECHO partners that are IASC members and standing invitees as well as VOICE.

<sup>11</sup> OCHA, Cluster Approach Evaluation Report, 21 November 2007

<sup>12</sup> UN-OCHA and UN-ISDR, WFP, WHO, UNICEF, FAO and IFRC.

- **Logistics support:** One of the major problems humanitarian actors face at the onset of an emergency is the **provision of the necessary logistics support** for the movement of relief commodities to and within the area of intervention. Further **pre-positioning** and improved coordination of **stockpiling** is therefore required, as well as systems for adequate and commonly accessible humanitarian stockpiles and training and knowledge-building.
- **Needs assessments and related methodologies:** Needs-based decision making is to be improved, including rapid initial needs assessment methodologies. Humanitarian needs assessments are not easily integrated or comparable and there is a lack of a standard classification of severity of disasters. As a result, humanitarian funding is not always allocated in an equitable and transparent way.
- **Improved quality of food needs assessments:** needs assessment capacities need to be consolidated to understand the impact of new challenges on households' food security and vulnerability<sup>13</sup>, and to identify the most appropriate responses to address them. A number of significant gaps remain where further capacity enhancement is necessary, such as greater comparability of the severity of needs; improved linkages between the needs assessment findings and the design of humanitarian programmes<sup>14</sup> and consideration of the impact of a food price shock on urban populations.
- **Disaster risk reduction and disaster management:** There are still significant capacity needs at all levels in disaster management, **disaster risk reduction, early warning and preparedness, emergency response and integration of disaster risk reduction in the recovery planning**. While there is an agreed commitment to use the Hyogo Framework for Action<sup>15</sup> in developing capacities for disaster risk reduction, field experience shows that the quality of disaster risk reduction interventions and the performance of actors in this field have been most effective where there is an enabling environment. There is thus a need for more knowledge-sharing and advocacy to strengthen and benefit actors involved, with a particular attention for local communities<sup>16</sup>.

### 1.3. - Target population and regions concerned:

Funding under this Decision will benefit UN and other international agencies that have been designated as lead agencies for strengthening the global humanitarian preparedness and response capacity, as well as their main partners and stakeholders, including cluster leads and members, but also civil society and local actors – including community based associations. As capacity building would aim to benefit humanitarian operations globally, they should potentially impact the millions of people affected by humanitarian crises every year.<sup>17</sup> The partner agencies will implement the programmes globally, however with a focus on roll-out in a selected number of countries. These countries will be selected based on identified priorities by DG ECHO and the partners. This will have an impact at country, regional and global levels.

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<sup>13</sup> World Food Programme (2007) *Evaluation of the WFP Strengthening Emergency Needs Assessment Implementation Plan*. A Report Commissioned by the Office of Evaluation. Rome, October 2007 OEDE/2007/009

<sup>14</sup> Darcy, James, Stephen Anderson, Nisar Majid and Mohamed Zejjari (2007) *A review of the links between needs assessment and decision making in response to food crises*. Synthesis Report – Peer Review Draft. SENAC, WFP, Rome, April 2007.

<sup>15</sup> The Hyogo Framework for Action was adopted in 2005 at the World Conference on Disaster Reduction.

<sup>16</sup> In this context, the DIPECHO experience as well as the EC funded regional programmes are instrumental to indicate possible advocacy methodologies and activities.

<sup>17</sup> IFRC annual report 2007 speaks of 250 million affected by disasters.

For some of the programmes, the contribution aims at consolidation of current activities and may focus on specific (regional) parts of the world.

#### 1.4. - Risk assessment and possible constraints:

Capacity building has certain risks of failure as investments do not necessarily provide outputs in the short run and depend heavily on openness to change of organisations and persons. This risk will vary per programme (pre-positioning of stocks will be easier to measure than increased capacity as a result of training of staff) and per context. The Active Learning Network on Accountability and Performance in Humanitarian Assistance (ALNAP) identified key challenges to capacity building, being weak coordination of humanitarian agencies and high staff turnover, which **impedes learning** and argues that *"the humanitarian sector is characterised by a 'culture of defensiveness' adopting defensive tactics to avoid criticism that could potentially lead to learning and improvements."*<sup>18</sup>

The thematic funding evaluation pointed to a number of additional challenges to be addressed in a future capacity building programme: It proposed that DG ECHO should develop, adopt and implement a more systematic capacity building approach to strengthen capacities of partners to deliver specific results and outcomes in humanitarian activity at global, institutional and operational levels. This would require consolidation of the progression of DG ECHO from an input-oriented to an output-oriented and capacity building-oriented humanitarian actor. Specific result areas and appropriate indicators should be identified for verifying if changes in capacity have taken place and whether such changes are likely to be permanent and sustainable, which implies to work in close partnership and dialogue with implementing partners and donors. For this reason, consultations have been held and close monitoring of the programme is envisaged. Also, the approach will be more transparent and demand-driven which will facilitate accountability and evaluation recommendations on improving sustainability as included as a selection criterion of individual programmes. Sustainability can be either obtained through partners' ability to ensure follow-up funding at country level operations for the initiatives supported or through internalising some of the work done in their regular programmes.

Additional funds from other donors will be required to capitalise on the investment and further reinforce efforts and for this purpose dialogue with other active donors will be sought. This type of action requires an institutional buy-in from the partner organizations in order to be sustainable and translated into concrete programming. The Commission, in coordination with other donors, will therefore ensure that there is ownership with its partners before any funding is provided and ensure that efforts are focused, to facilitate the necessary monitoring and impact of efforts.

As the capacity building programmes have several synergies and potential overlaps with geographical actions funded by DG ECHO, an internal 'Capacity Building Steering Group' has been established that provides a forum for discussing DG ECHO actions in the area of capacity building, including also DIPECHO actions, to avoid overlap.

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<sup>18</sup> ALNAP Review of Humanitarian Action in 2004. Capacity Building. ODI, London 2005

## 2 - Objectives and components of the humanitarian intervention proposed:

### 2.1. - Objectives:

Principal objective: To strengthen the global humanitarian preparedness and response capacity.

Specific objectives:

- (a) To increase the effectiveness and reinforce the capacity of international humanitarian organisations and stakeholders to assess, analyse, prepare and respond to humanitarian needs during man-made and /or natural disasters and their immediate aftermath in a coordinated and inclusive manner.
- (b) To reinforce the capacity of international humanitarian organisations and stakeholders to accurately assess and analyse humanitarian needs in the food and nutritional sector, also with regard to livelihoods, during emergencies and their immediate aftermath, and to design appropriate responses accordingly.
- (c) To improve the capacity of international organisations and stakeholders involved in humanitarian aid and disaster risk reduction to deliver advocacy and to elaborate new and improved mechanisms and methodologies to be used by partners for disaster risk reduction purposes at different levels.

### 2.2. - Components:

It is important to note that the Commission needs to target its capacity building support to a limited number of areas to facilitate leverage and impact. The objectives of this Decision will therefore be reached through the development of some of the following components:

- **Expanded and improved cluster roll out** and improved information and analysis for coordination and decision making, strengthening of humanitarian staff capacity and competency, scale up of field level staff presence and training. Joint assessments, planning, information sharing, gap analysis, and mapping and coordination of interventions will be supported. Support to clusters (or similar coordination structures) at country level, including the roll out of tools and development of methodologies. Partnership of coordination efforts will be supported at field level, to include local and international civil society. A further evaluation of the effectiveness of the cluster approach to support humanitarian response capacity will be supported to draw concrete recommendations for further improvements. **Enabling factors for country-level cluster approaches** will be supported, through for instance global guidelines and tools development in a collaborative approach to ensure comprehensive, cohesive, coherent, and timely humanitarian response. Specific focus will be given to the areas of health, water/sanitation, shelter, logistics and protection.
- **Strengthened response capacity, improved planning and preparedness, including pre-positioning of stocks, development of operational tools, integrated logistics systems and increased surge capacity:** The work of humanitarian actors in building up and running strategic humanitarian response hubs with pre-positioned relief items will be enhanced / strengthened to ensure an efficient, effective and appropriate global humanitarian response, among others in the context of the Humanitarian Response Depots and possibly Regional Logistics Units. Inter-agency logistics capacity assessment and tools will be further developed and an operations guide will be finalized. **Logistics preparedness** will be further

enhanced through building capacity to deploy appropriate personnel to coordinate and execute cluster operations. This will include the coordination of logistics information management with partners, networking and awareness raising, and the development and improvement of tools to support field operations. Logistics training will promote technical knowledge, emergency response and management skills.

- **Consistent and common approaches to rapid, multi-sectoral assessment and classification of emergencies are facilitated** to support effective, evidence-based humanitarian decision-making: This will include consensus building in the humanitarian community on a framework and information process for multi-sectoral assessment and analysis and a revised core set of indicators. A common humanitarian classification system will be further developed. This will include products to support the implementation of the common classification system, including an information management system. Other needs assessment and methodologies development need to be supported as well as the linking of these methodologies so they benefit the overall humanitarian community. Joint needs assessments need to be promoted to translate ongoing methodological initiatives into concrete improvements in operational terms and response analysis improved for programming support to ensure timely and more predictable funding.
- **Promoting food security response options analyses:** An effort will be made to harmonise agencies', donors' and, when possible, governments' approach, considering the number and diversity of aid measures in the field of food security information and early warning systems, at the different geographical levels. Linkages between the production of information and the development of effective response strategies will be improved and sound assessment of the needs of food-insecure populations promoted. In relevant countries, specific attention will be devoted to reaching a good level of communication and coordination in particular between WFP and FAO, this UN agency being involved in food security information systems support beyond humanitarian needs. This component will further focus on providing accountability and transparency, enhanced methods and guidance, improved assessment capacities, enhanced partnerships and strengthened linkages between assessments results and response analysis. Support to methodological developments, trainings, development of response options guidance and increasing staff competences in food security and response analysis is envisaged, also in the context of the work of the related clusters (nutrition, agriculture, etc.).
- **Capacity for disaster risk reduction, early warning, comprehensive preparedness planning and response is enhanced:** The capacity of partners and local partners is strengthened to reduce impact of disasters on vulnerable communities. This will be done through disaster management and preparedness. Efficient responses to the effects of disasters and public health emergencies, including strengthened capacity for disaster management will be supported. Specific support for humanitarian information management, assessments, needs-based priority allocation of investments, coordination and response capacity. Disaster management technical assistance is provided at regional and country level that leads to appropriate services to the most vulnerable throughout the disaster cycle and coordination, information and knowledge management and analysis are strengthened in order to enable innovation, effectiveness and ability to adjust to external trends. Appropriate surge capacity is maintained.
- **Advocacy for disaster risk reduction:** To support the goals of the International Strategy for Disaster Reduction to build disaster resilient communities by promoting increased awareness of the importance of disaster reduction. Tailored advocacy products and

methodologies will be adapted to targeted "public", notably advocacy tools that can improve local communities' state of disaster preparedness. Further improve knowledge and understanding of disaster risk reduction issues among partners and stakeholders and improve advocacy skills of partners; coherent organisation of the "advocacy action" at international level as well as a better coordination and co-operation. Contribution to the creation of a more conducive environment leading to an increased commitment of the international donor community and governments to enhance awareness on the importance of DRR to increase the funding for DRR.

- **Communication and visibility:** In accordance with Commission guidelines, the agencies shall endeavour to bring the support and financing given by the European Commission to the attention of the beneficiaries, the general public and the media during the operation, provided this does not harm the safety of their staff. Each partner shall submit a specific communication plan on the capacity building programme, also incorporating how the broader humanitarian community is benefiting from the programme.

### **3 - Duration expected for Actions in the proposed Decision:**

It is argued that for capacity building, a longer perspective is necessary to make an impact and provide some predictability of funding, as was done in the last Decision (ECHO/THM/BUD/2007/01000).

The duration for the implementation of this Decision shall be 24 months. Humanitarian Actions funded by this Decision must be implemented within this period.

Expenditure under this Decision shall be eligible from 1 January 2009.

This date is in line with the start of partners' budgetary years and also allows potential partners to continue operations initiated during the previous thematic funding Decision and ending on 31 December 2008.

Start Date: 1 January 2009

If the implementation of the Actions envisaged in this Decision is suspended due to *force majeure* or any comparable circumstance, the period of suspension will not be taken into account for the calculation of the duration of the humanitarian aid Actions.

Depending on the evolution of the situation in the field, the Commission reserves the right to terminate the agreements signed with the implementing humanitarian organisations where the suspension of activities is for a period of more than one third of the total planned duration of the Action. In this respect, the procedure established in the general conditions of the specific agreement will be applied.

#### 4 - Previous Decisions of the Commission within the context of the current Decision

List of previous DG ECHO Decisions on thematic funding (capacity building programme)					
Decision Number	Decision Type	2006	2007	2008	
		EUR	EUR	EUR	
ECHO/THM/BUD/2006/01000 (UNHCR)	Non-emergency	4,000,000			
ECHO/THM/BUD/2006/04000 (UNICEF)	Non-emergency	1,800,000			
ECHO/THM/BUD/2006/03000 (UNICEF)	Non-emergency	4,200,000			
ECHO/THM/BUD/2006/02000 (UNOCHA)	Non-emergency	3,000,000			
ECHO/THM/BUD/2006/05000 (WFP)	Non-emergency	3,500,000			
ECHO/THM/BUD/2006/06000 (ICRC)	Non-emergency	3,000,000			
ECHO/THM/BUD/2007/01000 (WFP, WHO, OCHA, IFRC, UNHCR, UNICEF)	Non-emergency		23,000,000		
ECHO/FA/BUD/2007/02000 (Capacity Building to UNICEF, FAO and WFP)*	Non-emergency		4,500,000		
ECHO/FA/BUD/2008/02000 (Capacity Building to FAO and WFP)**	Non-emergency			3,000,000	
	<b>Subtotal</b>	19,500,000	27,500,000	3,000,000	
	<b>Grand Total</b>			<b>50,000,000</b>	

Dated : 08 October 2008

Source : HOPE

\* Part of Decision allocated to capacity building (total Decision: €85,222,101)

\*\* Part of Decision allocated to capacity building (total Decision: €57,251,000)

A recent external evaluation of the thematic funding approach was done related to previous programmes and concluded that on the **accountability** (efficiency, effectiveness, sustainability and impact), six out of seven visited field projects proved to be efficient and effective and to some degree (though more difficult to measure) sustainable and having had an impact. Moreover, *thematic funding has helped partners to become more professional and accountable*. However, *project roll-out and impact at country level has been uneven*, mostly for reasons of *time required for capacity building to have an impact, the different nature of the projects - some of which involve institutional change, and the specific nature of capacity building efforts in general*.

#### 5 - Overview of donors' contributions:

The External Evaluation of Thematic Funding commissioned by DG ECHO in 2008 assessed other donors' support in the context of capacity building.

The evaluation concluded that the reviewed donors did not have a separate capacity building programme such as DG ECHO Thematic Funding (Capacity Building Programme). Generally it was not possible to determine which percentage of funds went to 'capacity building' as it was often incorporated into operational spending and there is no clear definition as to what constitutes capacity building. For many donors 'un-earmarked' funding also includes capacity building.

The contractual partners should ensure that there is no overlap in funding of activities by different donors and notably between DG ECHO funding at country and thematic level.

DG ECHO will, in the context of its upcoming capacity building policy work and in light of the European Consensus on Humanitarian Aid, integrate donor discussions to add synergy, coherence and coordination with the other donors, particularly those of EU Member States.

With a view to sustainability and to ensure multi-donorship, the Commission will strive to adhere to a maximum of 80% funding of the programmes financed under this Decision.

## **6 - Amount of Decision and distribution by specific objectives:**

6.1. - Total amount of the Decision: EUR 27,000,000

<b>6.2. Budget breakdown by specific objectives</b>				
<b>Principal objective:</b> To strengthen the global humanitarian preparedness and response capacity.				
<b>Specific Objectives</b>	<b>Allocated amount by specific objective (EUR)</b>	<b>Geographical area of operation</b>	<b>Components</b>	<b>Potential Partners</b>
<p>Specific objective 1:</p> <p>To increase the effectiveness and reinforce the capacity of international humanitarian organisations and stakeholders to assess, analyse, prepare and respond to humanitarian needs during man-made and /or natural disasters and their immediate aftermath in a coordinated and inclusive manner.</p>	20,000,000	Global	<ul style="list-style-type: none"> <li>• <b>Expanded and improved cluster roll out</b> improved information and analysis for coordination and decision making, strengthening of humanitarian staff capacity and competency, scale up of field level staff presence; training, joint assessments, planning, information sharing, joint gap analysis, and mapping and coordination of interventions. Support to clusters at country level including the roll out of tools and development of methodologies. Support Partnership of coordination efforts will be supported at field level. An evaluation of the effectiveness of the cluster approach to support humanitarian response capacity will be supported to draw concrete recommendations for further improvements. Global guidelines and tools development. Joint evaluation missions and partner surveys in roll countries will be carried out.</li> <li>• <b>Strengthened response capacity: improved planning and preparedness, including pre-positioning of stocks, development of operational tools, integrated logistics systems and increased surge capacity:</b> pre-positioning of stocks Inter-agency logistics capacity assessment and tools development; operations guide to be finalized. Information management tools; supply tracking system; building capacity to deploy appropriate personnel to coordinate and execute cluster operations. Coordination of logistics information management, networking and awareness raising, and the development and improvement of tools to support field operations. Logistics training</li> <li>• <b>Consistent and common approaches to rapid, multi-sectoral assessment and classification of emergencies are facilitated:</b> framework development for multi-sectoral assessment and analysis. Development of a common humanitarian classification system; stakeholder consultations, and review of lessons learned. Development of products to support the implementation of the common classification system, including an information management system, draft guidance, a strategy for integration into humanitarian decision-support systems, and a public information and communication strategy. Joint and rapid initial needs assessments development and promotion.</li> <li>• Capacity for disaster risk reduction, early warning, comprehensive preparedness planning, emergency response and post-crisis recovery is enhanced: Surge capacity established and maintained, staff development, advocacy and training. Preparedness and mitigation for efficient specific support to humanitarian information management, assessment, needs-based priority allocation of investments, coordination and response capacity. Quality disaster management technical assistance is, information and knowledge management and analysis are strengthened Competency-based disaster management staff development and placement systems are developed relief and recovery programmes.</li> </ul>	WFP, WHO, UN OCHA, IFRC, UNICEF.

<p>Specific objective 2: To reinforce the capacity of international humanitarian organisations and stakeholders to accurately assess and analyse humanitarian needs in the food and nutritional sector, also with regard to livelihoods, during emergencies and their immediate aftermath, and to design appropriate responses accordingly.</p>	5,000,000	Global	<p><b>Technical development:</b> Experts' studies and experts' consultations are conducted on specific technical issues. Guidance is developed on response options response analysis. Response analysis includes disaster risk reduction and focus on causes as well as outcomes of emergencies. A review of response options analysis is conducted. User guides and training manuals are developed. Analytical workshops are held.</p> <p><b>Training:</b> Training events are held for technical experts, food security analysts, and practitioners at regional and national level. Trainings of trainers are organized.</p> <p><b>Technical support:</b> technical support is provided to regional and national organizations.</p> <p><b>Communication:</b> awareness-raising and communications activities are undertaken with donors, response planners, and other decision makers. External communication strategies are established. Internal communication is ensured. Online forum are developed.</p> <p><b>Lessons learning:</b> lessons learnt are compiled and published. Lessons learnt workshops are organized. Results and recommendations are disseminated. Partners' agencies peer-reviews are organized.</p> <p><b>Institutionalization:</b> institutionalization strategies are elaborated. Specific consultation and coordination mechanisms are put in place. Awareness-raising activities are organized. Bottlenecks and opportunities for mainstreaming are identified.</p> <p><b>Partnership:</b> partnerships are formalized. Agencies participate in joint activities. Partnership forum are established. Approaches are harmonized.</p>	WFP, FAO, UNICEF, IFRC.
<p>Specific objective 3: To improve the capacity of international organisations and stakeholders involved in humanitarian aid and disaster risk reduction to deliver advocacy and to elaborate new and improved mechanisms and methodologies to be used by partners for disaster risk reduction purposes at different levels.</p>	2,000,000	Global	<p><b>Development of tailored advocacy products and methodologies</b> Define and elaborate methodologies and tools to be used by partners in their advocacy work with beneficiary countries at national and local level (local authorities and communities);</p> <p><b>Advocate to convincing partners and stakeholders to work at community level</b> Priority should be given to UNISDR partners who can bring local communities' DRR concerns on the agenda of relevant stakeholders.</p> <p><b>Define a suitable methodology for collection and dissemination of good advocacy practices.</b> Particular attention will be attached to good practices that could enable partners implement lessons learnt within a country or region.</p> <p><b>Promote the creation and/or reinforcement of national DRR platforms</b> Advocacy actions should target government and other stakeholders to prioritise community based DRR/DP interventions and their integration into development cooperation</p> <p><b>Provide communities with specific skill and know-how for a bottom up advocacy approach.</b></p>	UNOCHA, UNISDR.
TOTAL:	27,000,000			

## **7 – Evaluation:**

Under article 18 of Council Regulation (EC) No.1257/96 of 20 June 1996 concerning humanitarian aid the Commission is required to "regularly assess humanitarian aid Actions financed by the Community in order to establish whether they have achieved their objectives and to produce guidelines for improving the effectiveness of subsequent Actions." These evaluations are structured and organised in overarching and cross cutting issues forming part of DG ECHO's Annual Strategy such as child-related issues, the security of relief workers, respect for human rights, etc. Each year, an indicative Evaluation Programme is established after a consultative process. This programme is flexible and can be adapted to include evaluations not foreseen in the initial programme, in response to particular events or changing circumstances. The thematic funding approach has recently been evaluated and the report is available at: [http://ec.europa.eu/echo/evaluation/index\\_en.htm](http://ec.europa.eu/echo/evaluation/index_en.htm).

## **8 – Management Issues:**

Humanitarian aid Actions funded by the Commission are implemented by NGOs, Specialised Agencies of the Member States, and the Red Cross organisations on the basis of Framework Partnership Agreements (FPA) and by United Nations agencies based on the EC/UN Financial and Administrative Framework Agreement (FAFA) in conformity with Article 163 of the Implementing Rules of the Financial Regulation. These Framework agreements define the criteria for attributing grant agreements and financing agreements in accordance with Article 90 of the Implementing Rules and may be found at [http://ec.europa.eu/echo/partners/index\\_en.htm](http://ec.europa.eu/echo/partners/index_en.htm)

For International Organisations identified as potential partners for implementing the Decision, actions will be managed under joint management.

Individual grants are awarded on the basis of the criteria enumerated in Article 7.2 of the Humanitarian Aid Regulation, such as the technical and financial capacity, readiness and experience, and results of previous interventions.