

HUMANITARIAN IMPLEMENTATION PLAN (HIP)

Enhanced Response Capacity Funding

The activities proposed hereafter are still subject to the adoption of the financing decision ECHO/WWD/BUD/2013/01000

0. Major changes since previous version of the HIP

Following a review of proposals in the broader context of the overall needs in the final quarter of 2013, a total amount of EUR 1 232 132.37 (comprising EUR 232 132 from the Food Aid budget line, and EUR 1 000 000.37 from the Humanitarian Aid budget line) should be reallocated to the worldwide decision contingency reserve.

1. Context

Globally, humanitarian needs continue to increase substantially, driven principally by the consequences of climate change and population growth. For natural disasters, an average of 270 million people is reported as affected each year¹. Projections for climate-related natural disasters alone, thus excluding events such as earthquakes, show this rising to as much as 375 million by 2015².

While estimates vary, there is a consensus that *"substantially more people may be affected by disasters in the very near future, as climate change and environmental mismanagement create a proliferation of droughts, floods and other disasters. And more people will be vulnerable to them because of their poverty or location. Some of these environmental changes will also increase the threat of new conflicts, which will mean more people displaced, and more need for humanitarian aid. New and existing conflicts, added to the growth in climate-related disasters, are likely to create, by 2015, an unprecedented level of need for humanitarian"*³

To address such increases in humanitarian needs, humanitarian budgets must be used as efficiently and effectively as possible to ensure the maximum impact. For example, key gaps or weaknesses in the global international response need to be identified and addressed, and ways of working need to be reviewed and improved.

1 IFRC World Disaster Report 2009

2 The Right to Survive : The humanitarian challenge in the twenty-first century
(http://www.oxfam.org.uk/resources/papers/downloads/right_to_survive_summary.pdf)

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2. Humanitarian Needs

Following an extensive consultation process⁴, the main needs identified in the global humanitarian system are set out as follows.

Resources : Field implementation capacity of partners is hampered by gaps of human and other resources, including a lack of knowledge management and leadership skills. Surge capacity of partners was identified as an area of need, especially technical and logistical knowledge capacity. As it is argued that personalities more than skills make a difference, high staff turnover impedes response capacities. With regard to funding, there is a need for more long-term, predictable, as well as flexible humanitarian funding.

Coordination and the Cluster approach : The Cluster approach is in general seen as a very positive contribution to coordination, though characterized as somewhat UN-centric in its set-up and with scope for improvement. Further strengthening of institutional capacity to ensure effective implementation and functioning of the cluster approach and other coordination mechanisms is required, especially in support of the functioning at field level. Local coordination structures need to be assessed, expanded and /or adapted for improved roll out of cluster coordination and information sharing. There is also a need to further develop and disseminate common standards, guidelines, frameworks, and tools. Connecting and linking sectors and coordination among donors needs further improvement. Frequently, mention is (still) made of the lack of effective partnerships, in particular between UN and non-UN actors, inter-cluster and civil-military coordination and participation of stakeholders and beneficiaries. The UN emphasises the need for cooperation with countries' authorities and regional organisations such as ASEAN and the African Union.

(Rapid) Needs assessment and related methodologies : Needs-based decision making can be further 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 cannot always be allocated in the most equitable and transparent way and there is a need for greater comparability of the severity of needs; improved linkages between the needs assessment findings; and the design of humanitarian programmes. Initiatives for common (and rapid) needs assessment methodologies and tools exist, but are not joined up. Duplication, assessment gaps and competition between various assessment initiatives are a logical result. Many of the existing assessment guidelines are seen as incompatible and too comprehensive to be used at field level. There is a need to systematise, coordinate and structure all ongoing initiatives.

Emergency Preparedness, Disaster Risk Reduction, Early Warning : 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

⁴ Involving partners, donors and other humanitarian stakeholders through questionnaires, roundtables, and follow-up meeting for feedback, and consensus building

Hyogo Framework for Action⁵ 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 also a need for epidemic preparedness and response capacity for disease outbreaks as well as preparedness for nutrition crises at global and regional levels. Outbreaks are often detected too late, making responses more difficult and expensive.

Local Capacity Building : There is broad and consistent reference to the need to develop local capacities to respond to humanitarian crises with a particular emphasis on strengthening capacities for disaster response and risk reduction. This includes local (government) structures, especially in the context of early recovery.

Quality, accountability and respect of humanitarian principles and laws : There is still a need to enhance quality management in the field of humanitarian aid responses, to assure that the highest standards of accountability to beneficiaries and transparency to donors and European citizens are met and to promote the knowledge and respect of humanitarian principles and International Humanitarian Law.

Logistics and other needs : A number of sectoral and cross-cutting gaps were identified, such as gender issues, protection, security capacity and logistics. Logistics support is seen as one of the major problems humanitarian actors face at the onset of an emergency, especially 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.

3. Humanitarian Response

The overall rationale is that the investments through Enhanced Humanitarian Response Capacity funding into the global humanitarian system lead to more rapid and more cost-effective humanitarian responses, allowing a better and broader humanitarian coverage.

Within this overall rationale, DG ECHO⁶ recognises with this HIP the specificities of the food and nutrition sectors for Enhanced Response Capacity building. At the strategic level there has been an important shift from the use of in-kind food to a broader, more effective set of humanitarian food assistance tools. The selection of these tools has to take place on the basis of a clear response analysis. The EU's Humanitarian Food Assistance Policy advocates for the roll-out of the set of tools which is most appropriate and efficient in a given crisis context, with full integration of nutrition considerations. However, this approach is often constrained by the limited experience or skill-sets of humanitarian actors. DG ECHO therefore recognizes the need to invest in strengthening the capacity of the humanitarian system to deliver more varied and appropriate forms of food and nutrition assistance.

⁵ See www.unisdr.org/eng/hfa/hfa.htm

⁶ Directorate General Humanitarian Aid and Civil Protection - ECHO

It is important to note that the Commission needs to target its Enhanced Humanitarian Response Capacity building support to a limited number of areas to facilitate leverage and impact, and in line with the DG ECHO Enhanced Response Capacity (ERC) Guidelines. The objectives pursued under this HIP will be reached through non-governmental organisations and international organisation partners addressing the seven areas of global needs⁷ presented in the ERC Guidelines - Resources (human and technical); Coordination and roll out of the Cluster approach; (Rapid) Needs assessment and related methodologies; Emergency Preparedness, Disaster Risk Reduction, Early Warning; Local Capacity Building; Quality, accountability and respect of humanitarian principles and laws; Logistics and other needs (gender, protection) - with the following two focal areas in particular to be prioritised:

- **Enhanced global humanitarian architecture:** in order improve the delivery of humanitarian aid, further strengthening of the humanitarian response system is needed. For example through encouraging synergies between partners for common approaches such as needs assessment; pooling of resources; and global tools such as rapid response teams, including those provided through non-governmental organisations, to back-up mainstreamed Cluster lead agency functions.
- **Food assistance and nutrition:** to support initiatives which further the implementation of the European Humanitarian Food Assistance Policy and co-ordination in this respect. Furthermore, in line with the ongoing nutrition policy development, it is planned to continue and widen support to nutrition-related initiatives.

To maximize impact, and as set out in the ERC Guidelines, non-governmental organisation and international organisation partners will be strongly encouraged to work together in the implementation of projects, and synergies will be sought through combining responses to the seven identified gap areas and focal areas. For example, facilitate the efficiency of the global response to a crisis through improving linkages between UNDAC⁸ and initial Cluster phase, and the promotion of shared logistics resources and common needs assessment approaches in rapid response/first phase Cluster.

Projects funded under this HIP are expected to bring about concrete outcomes and measurable progress in partners' delivery capacity.

Where appropriate such actions would also be combined with key overall policy directions, such as for example improving global capacity to deliver advocacy and to elaborate new and improved mechanisms and methodologies to be used for response preparedness and risk reduction purposes at different levels.

⁷ As set out in Section 2 above, and in annex II of the Enhanced Response Capacity Guidelines, see http://ec.europa.eu/echo/funding/grants_contracts/capacity_en.htm

⁸ United Nations Disaster Assessment and Coordination (UNDAC)

Given the nature of the actions to be financed under this HIP, and given the principle of 'Inclusiveness' set out in the ERC Guidelines⁹, partners may wish to present joint proposals on behalf of a consortium, or to submit coordinated proposals.

4. Operational and Financial details

The provisions of the financing decision ECHO/WWD/BUD/2013/01000 and the general conditions of the Partnership Agreement with the European Commission shall take precedence over the provisions in this document.

4.1 Contacts¹⁰

Operational Unit in charge : ECHO A/4

Contact persons at HQ :

Matthew Sayer, for Global Humanitarian Architecture
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4.2 Financial info

Indicative Allocation: EUR 19 767 867.63

Enhanced Response Capacity :

Hum. Aid: EUR 14 799 999.63 Food Assistance: EUR 4 967 868

Total:

Hum. Aid: EUR 14 799 999.63 Food Assistance: EUR 4 967 868

4.3 Proposal Assessment

- a) All interventions as described under section 3 of this HIP
- b) Indicative amount to be allocated in this round of proposals: up to EUR 19 767 867.63 (Hum. Aid: EUR 14 799 999.63; Food Assistance: EUR 4 967 868).

⁹ See http://ec.europa.eu/echo/funding/grants_contracts/capacity_en.htm

¹⁰ Letters of intent should be submitted to DG ECHO using APPEL. Instructions on how to submit Letters of intent using APPEL are available at http://www.dgecho-partners-helpdesk.eu/preparing_an_action/financing_decision/intention_letter

- c) Costs will be eligible from 01/01/2013 ¹¹
- d) The expected initial duration for the Action is up to 24 months
- e) Potential partners: All DG ECHO Partners
- f) Information to be provided: Letter of Intent¹² based on the Single Form format, and including at least: area of intervention, sector, duration, beneficiaries, context/needs assessment, proposed response (results, activities), estimated costs, requested contribution, contact details.
- g) Indicative date for receipt of the above requested information: by 31/01/2013¹³
- h) The assessment of proposals is based on the principles set out in annex to the Enhanced Response Capacity Guidelines, with particular attention to measurability (including clear benchmarking and measurable indicators), sustainability, and inclusiveness in order to achieve clear results and global impact.¹⁴

¹¹ The eligibility date of the Action is not linked to the date of receipt of the Single Form. It is either the eligibility date set in the Single form or the eligibility date of the HIP, what ever occurs latest.

¹² Where letters of intent are requested an initial analysis will be done on the basis of the information received, Single Forms and other sources, such as humanitarian programmes and appeals (CAPs or CHAPs). For the retained letters of intent, partners will be requested to submit a Single Form, which will be the subject of a more detailed assessment. Only accepted Single Forms can lead to the signature of an agreement.

¹³ The Commission reserves the right to consider letters of intent transmitted after this date, especially in case certain needs/ priorities are not covered by the letters of intent received.

¹⁴ As set out in section 2 above, and in annex II of the Enhanced Response Capacity Guidelines, see

http://ec.europa.eu/echo/funding/grants_contracts/capacity_en.htm