TECHNICAL ANNEX

YEMEN

FINANCIAL, ADMINISTRATIVE AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2014/01000 and the General Conditions of the Agreement with the European Commission shall take precedence over the provisions in this document.

1. **CONTACTS**

Operational Unit in charge	DG ECHO B4
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2. **FINANCIAL INFO**

Indicative Allocation:	EUR 33 million
Man-made crises:	EUR 33 million

3. **PROPOSAL ASSESSMENT**

   3.1. Administrative info

   Assessment round 1

   a) Indicative amount: up to EUR 33 million ((Subject to the availability of payment appropriations. The amount awarded may be lower than the overall indicative amount, or spread over time).

   b) Description of the humanitarian aid interventions relating to this assessment round: All interventions as described in section 3.4 of this HIP

   c) Costs will be eligible from 01/01/2014[1]. Actions will start from 01/01/2014.

   d) The expected initial duration for the Action is up to 12 months

   e) Potential partners: All DG ECHO Partners

   f) Information to be provided: Single Form 2014[2]

   g) Indicative date for receipt of the above requested information: 01/12/2013

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[1] 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, whatever occurs latest.

[2] Single Forms 2014 will be submitted to DG ECHO using APPEL

3.2. Operational requirements:

3.2.1. Assessment criteria:

The assessment of proposals will look at:

- The compliance with the proposed strategy (HIP) and the operational requirements described in this section;

- Commonly used principles such as: quality of the needs assessment and of the logical framework, relevance of the intervention and coverage, feasibility, applicant's implementation capacity and knowledge of the country/region.

- In case of actions already being implemented on the ground, where DG ECHO is requested to fund a continuation, a visit of the on-going action may be conducted to determine the feasibility and quality of the Action proposed.

3.2.2. Operational guidelines:

In the design of your operation, please take account of ECHO policies and guidelines where appropriate (see below for key documents and principles).

The EU resilience communication and Action Plan

http://ec.europa.eu/echo/policies/resilience/resilience_en.htm

Food Assistance

http://ec.europa.eu/echo/policies/food_assistance_en.htm

Nutrition

http://ec.europa.eu/echo/files/news/201303_SWDundernutritioninemergencies.pdf

Cash and vouchers

http://ec.europa.eu/echo/policies/sectoral/cash_en.htm

Protection

http://ec.europa.eu/echo/policies/sectoral/protection_en.htm

Children in Conflict

http://ec.europa.eu/echo/files/policies/sectoral/children_2008_Emergency_Crisis_Situations_en.pdf

Emergency medical assistance

http://ec.europa.eu/echo/policies/sectoral/health_en.htm

Civil–military coordination

http://ec.europa.eu/echo/policies/sectoral/civil_military_en.htm

Water and sanitation

http://ec.europa.eu/echo/files/policies/sectoral/WASH_SWD.pdf

Gender

http://ec.europa.eu/echo/files/policies/sectoral/Gender_SWD_2013.pdf

Visibility guidelines toolkit and visual identity

http://ec.europa.eu/echo/partners/humanitarian_aid/visibility_en.htm
http://ec.europa.eu/echo/media/identity_en.ht

A set of overall principles needs to guide every operation supported by ECHO.

The humanitarian principles of humanity, neutrality, impartiality and independence, in line with the European Consensus on Humanitarian Aid, and strict adherence to a **"do no harm"** approach remain paramount.

The safe and secure provision of aid: the ability to safely deliver assistance to all areas must be preserved. ECHO requests its partners to include in the project proposal details on how safety and security of staff (including the staff of implementing partners) and assets is being considered as well as an analysis of threats and plans to mitigate and limit exposure to risks. ECHO or its partners can request the suspension of ongoing actions as a result of serious threats to the safety of staff.

Accountability: partners remain accountable for their operations, in particular:

- The identification of the beneficiaries and of their needs using, for example, baseline surveys, KAP-surveys, Lot Quality Assurance Sampling (LQAS) or beneficiary profiling;

- Management and monitoring of operations, and having adequate systems in place to facilitate this;

- Reporting on activities and outcomes, and the associated capacities to collect and analyse information;

- Identification and analysis of logistic and access constraints and risks, and the steps taken to address them.

Remote management: ECHO does not fund actions using remote management, other than in exceptional circumstances, where access to a crisis zone is limited due to security concerns or bureaucratic obstacles. This mode of operations should therefore only be proposed as a last resort, and in the context of life-saving activities.

Gender-Age Mainstreaming: Ensuring gender-age mainstreaming is of paramount importance to ECHO, since it is an issue of quality programming. Gender and age matter in humanitarian aid because women, girls, boys, men and elderly women and men are affected by crises in different ways. Thus, the assistance needs to be adapted to their specific needs - otherwise it risks being off-target, failing its objectives or even doing harm to beneficiaries. It is also a matter of compliance with the EU humanitarian mandate and the humanitarian principles, in line with international conventions and commitments. All project proposals/reports must demonstrate integration of gender and age in a coherent manner throughout the Single Form, including in the needs assessment and risk analysis, the logical framework, description of activities and the gender-age marker section.

Protection Mainstreaming: Mainstreaming of basic protection principles in traditional assistance programmes is of paramount importance to ECHO. This approach is closely linked to the principle of 'do no harm', and also extends the commitment of safe and equal access to assistance as well as the need for special measures to ensure access for particularly vulnerable

groups. All proposals MUST demonstrate integration of these principles, not only in section 5.3. of the Single Form, but also in its substantive sections, i.e. the logical framework, activity descriptions, etc. Protection mainstreaming should, in particular, be reflected in any actions implemented in a displacement hosting context (be it refugees or IDPs), where considerations on the relationship with host communities are of utmost importance for the protection of the displaced population.

While humanitarian assistance often focuses on community-level interventions, it is important to remember that, in order to fully address many protection issues, it is also necessary to consider the relevance and feasibility of advocacy (structural level) interventions aimed at (a) stopping the violations by perpetrators and/or (b) convincing the duty-bearers to fulfil their responsibilities.

Do no harm: Partners should ensure that the context analysis takes into account threats in addition to vulnerabilities and capacities of affected populations. The analysis should bring out both external threats to the target population as well as the coping strategies adopted to counteract the vulnerabilities. The risk equation model provides a useful tool to conduct this analysis. The model stipulates that *Risks equals Threats multiplied by Vulnerabilities divided by Capacities*, and the way to reduce risks is by reducing the threats and vulnerabilities and increasing the capacities. Depending on the type of threat faced by the population in question, reducing it can be anything from possible/straightforward to impossible/dangerous. In the latter case, one will resort to focusing on vulnerabilities and capacities, but the fact that the analysis has acknowledged the threat will contribute to ensuring that the response subsequently selected does not exacerbate the population's exposure to the risk.

Disaster Risk Reduction (DRR): As part of the commitment of ECHO to mainstream disaster risk reduction in its humanitarian operations, the needs assessment presented in the Single Form should reflect, whenever relevant, the exposure to natural hazards and the related vulnerability of the targeted population and their livelihoods and assets. This analysis should also assess the likely impact of the humanitarian intervention on both immediate and future risks as well as the partner's institutional commitment to and operational capability in managing risk (technical competence in the relevant sectors of intervention. The DRR approach and related measures are relevant in all humanitarian sectors (WASH, nutrition, food assistance and livelihoods, health, protection, etc.), and should be systematically considered in hazard-prone contexts. Risk-informed programming across sectors should protect operations and beneficiaries from hazard occurrence, and include contingency arrangements for additional or expanded activities that might be required. Information from early warning systems should be incorporated into programme decision making and design, even where the humanitarian operation is not the result of a specific hazard.

For targeted DRR interventions, the information in the Single Form should clearly show that:

- all risks have been clearly identified, including their possible interactions;

- the intervention strengthens and promotes the role of the state and non-state actors in disaster reduction and climate change adaptation from national to local levels:

- the measures planned are effective in strengthening the capacity of communities and local authorities to plan and implement local level disaster risk reduction activities in a sustainable way, and have the potential to be replicated in other similar contexts;

- the intervention contributes to improving the mechanisms to coordinate disaster risk reduction programmes and stakeholders at national to local levels.

- demonstrate that the action is designed including the existing good practice in this field;

- the partner has an appropriate monitoring, evaluation and learning mechanism to ensure evidence of the impact of the action and good practice are gathered, and effectively disseminated.

Strengthening coordination: Partners should provide specific information on their active engagement in cluster/sector and inter-cluster/sector coordination: participation in coordination mechanisms at different levels, not only in terms of meetings but also in terms of joint field assessments and engagement in technical groups and joint planning activities. The partners should actively engage with the relevant local authorities and, when feasible and appropriate, stipulate co-ordination in Memoranda of Understanding. When appropriate, partners should endeavour to exchange views on issues of common interest with actors present in the field (e.g. EU, UN, AU missions, etc.). In certain circumstances, coordination and deconfliction with military actors might be necessary. This should be done in a way that does not endanger humanitarian actors or the humanitarian space, and without prejudice to the mandate and responsibilities of the actor concerned.

Integrated approaches: Whenever possible, integrated approaches with multi- or cross-sectoral programming of responses in specific geographical areas are encouraged to maximize impact, synergies and cost-effectiveness. Partners are requested to provide information on how their actions are integrated with other actors present in the same area.

Resilience

ECHO's objective is to respond to the acute humanitarian needs of the most vulnerable and exposed people while increasing their **resilience** in line with EU resilience policy. Where feasible, cost effective, and without compromising humanitarian principles, ECHO support will contribute to longer term strategies to build the capacities of the most vulnerable and address underlying reasons for their vulnerability – to all shocks and stresses.

All ECHO partners are expected to identify opportunities to reduce future risks to vulnerable people and to strengthen livelihoods and capacities. ECHO encourages its partners to develop their contextual risk and vulnerability analysis and to adapt their approach to the type of needs and opportunities identified. This requires partners to strengthen their engagement with government services, development actors and with different sectors. In that regard, ECHO partners should indicate how they will increase ownership and capacity of local actors whenever possible: community mobilisation, CSOs, technical dialogue, coordination and gradual transfer of responsibilities to countries' administration or relevant line ministries.

Good coordination and strategic complementarity between humanitarian and development activities (LRRD approach) are essential to the resilience approach, particularly in relation to i) increasing interest of development partners and governments on nutrition issues; ii) seeking for more sustainable solutions for refugees (access to education, innovative approach toward strengthening self-resilience, etc.); iii) integrating disaster risk reduction into humanitarian interventions.

Community-based approach In all sectors, interventions should adopt, wherever possible, a community-based approach in terms of defining viable options to effectively help increasing resilience and meeting basic needs among the most vulnerable.

This includes the identification of critical needs as prioritised by the communities, and the transfer of appropriate knowledge and resources.

Response Analysis to Support Modality Selection for all Resource Transfers is mandatory. DG ECHO will support the most effective and efficient modality of providing assistance, whether it be cash, vouchers or in-kind assistance.