

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/2016/01000

Amount: EUR 25 000 000

The present Humanitarian Implementation Plan (HIP) was prepared on the basis of financing decision ECHO/WWD/BUD/2016/01000 (Worldwide Decision) and the related General Guidelines for Operational Priorities on Humanitarian Aid (Operational Priorities). The purpose of the HIP and its annex is to serve as a communication tool for ECHO's partners and to assist in the preparation of their proposals. The provisions of the Worldwide Decision and the General Conditions of the Agreement with the European Commission shall take precedence over the provisions in this document.

0. Major Changes since the previous version of the HIP

The HIP has been adjusted to provide additional funding to support specific initiatives following-up on the World Humanitarian Summit (WHS), the Grand Bargain and the EU commitments in this context. Specifically, the additional ERC funds will focus on, but are not limited to, the following policy areas:

Grand Bargain (GB): As signatory and member of the facilitation group of the Grand Bargain, DG ECHO seeks to support initiatives which translate the Grand Bargain commitments into practice and serve as catalysts for change.

In particular, as a co-champion of the needs assessment work stream, DG ECHO seeks to support initiatives which strengthen the capacity of the humanitarian community to produce comprehensive and impartial needs assessments in a transparent, coordinated and timely manner which can serve strategic decision making in terms of response planning and funding. Independent, specialist actors working together with humanitarian implementing agencies and coordination bodies can play an important role in data collection and analysis. Furthermore, in order to support the capacity of the collective to learn and continuously improve, but also to establish trust in the outputs of the needs assessments, ECHO seeks to support initiatives which propose to provide timely, independent reviews and evaluations of needs assessments through a transparent, inclusive process.

Increased transparency can contribute to accountability, but also reduce management costs and reporting if information is published in a timely and harmonized manner by all humanitarian organizations. ECHO seeks to support initiatives which expand the scope of what is published through existing open databases, foster harmonization of data and interoperability of tools and reduce parallel systems.

Localization of Aid: The WHS and Grand Bargain emphasised the role of local and national responders in disaster response and preparedness and committed to increasing the share of funds directly provided to them. In addition to ongoing funding to initiatives in this area, DG ECHO seeks to support the integration of local organizations into global NGO coordination and humanitarian policy debates as well as the strengthening of the

capacity of local responders. Localization of response also includes reaching out to and establishing ways of cooperation with organizations such as diaspora groups which to date haven't systematically engaged with traditional humanitarian actors.

Social safety nets: Existing safety nets are increasingly recognized as efficient and sustainable mechanisms to respond to humanitarian needs, while ensuring the local ownership of the response. To dovetail with ongoing and future EU-funded operations, including those at large-scale such as the *Emergency Social Safety Net*. DG ECHO seeks to support initiatives to understand and use existing national safety nets in humanitarian response as well as to make them (more) shock responsive.

Urban Crisis: During the WHS, DG ECHO made its first policy commitment on urban humanitarian crises by supporting the Global Alliance for Urban Crises and its underpinning principle, the capability to adapt practice to differing contexts. In line with this commitment, DG ECHO seeks to support initiatives which make available urban expertise in disaster response and preparedness.

Emergency health response: As recognised at the WHS, emergency health response capacities are insufficient to address the humanitarian dimension of the increasing frequency and speed of transmission of epidemic disease and the growing health needs in conflict contexts. DG ECHO will support initiatives which strengthen global capacity to rapidly intervene in response to local needs.

Education in Emergencies (EiE): The WHS recognised education as a life-saving and basic need. To complement the EU's commitment to allocate up to 10% of its humanitarian budget for education in emergencies before the end of the current mandate and the EU's support to the new "Education Cannot Wait" fund, global sector governance mechanisms should be supported to improve the global, regional and local coordination, thereby increasing the efficiency and effectiveness of education in emergencies response on the ground.

Collaboration with the private sector in humanitarian contexts: ECHO seeks to support initiatives which bring together and coordinate humanitarian organizations with the local and international private sector as well as aim to ensure that the private sector respects the existing principles, standards and codes of conduct on quality humanitarian assistance.

IHL: As already stated in the initial version of this HIP and as raised in WHS high-level discussions, during side-events as well as by the UN SG report to WHS, the widespread disregard of International Humanitarian Law, Human Rights Law and Refugee law, the shrinking of the protective space as well as in lack of access to vulnerable populations, require strong counter efforts. In this regard, DG ECHO seeks to support initiatives which document, prevent and act upon violations of humanitarian law.

Other commitments and policy areas of the WHS will require further discussions among partners and donors to define the best way forward. As such, they are likely to be addressed by the 2017 HIP of the Enhanced Response Capacity.

1. Context

Humanitarian needs globally continue to increase substantially. In 2014 the extraordinary scale of humanitarian crises and needs led to a record international response of USD 24.5 billion in 2014, compared to USD 17.3 billion in 2012.¹ At the end of 2014 the number of people forcibly displaced had risen to a staggering 59.5 million, more than ever before.² Mid 2015, the United Nations coordinated appeals targeted 78.9 million people and amounted to nearly USD 20 billion. In mid-2015, the world has to deal simultaneously with four Level 3 disasters, the highest UN categorisation of crises: South Sudan, Syria and Iraq and Yemen. In addition, the Nepal earthquake, the Ebola epidemic and other crisis required and continue to require humanitarian aid. The capacity of humanitarian actors to respond to the needs has been stretched to the limit. That this is not just a question of resources, but also tools, coordination and preparedness became evident not only, but in particular through the Ebola crisis. All options to increase humanitarian capacity to deliver efficient and effective aid to people in need have to be explored.

The range of financial contributors to the international humanitarian response has broadened considerably over recent years. Private donors contributed USD 5.8 billion of humanitarian assistance in 2014, representing nearly a quarter of the total international response. The proportion of non-OECD government donors, namely in response to the Syria and Iraq crisis, has been growing substantially.

In addition to the shifting trends in humanitarian funding, the number and variety of actors participating in humanitarian action has also risen exponentially. This could be an opportunity to better meet the needs of vulnerable people, but also represents a challenge in terms of ensuring quality, appropriateness, coordination and coherence of humanitarian action. Local organizations, which are often best placed to respond quickly and in a context sensitive and sustainable manner, are confronted with administrative requirements of international donors and brain drain of skilled staff to international organizations.

At the same time, operating environments have become increasingly complex and challenging.³ Humanitarian space is shrinking in many crisis situations. Humanitarian needs and risks in urban settings are a particular challenge in terms of scale, identification, technical implications, legal constraints and institutional actors.

ECHO has contributed substantially to build capacities and help shape the governance of the international humanitarian system.⁴ These efforts to enhance capacity need to be consolidated and secured, including by engaging a broader range of the above mentioned actors. Building on effective governance and coordination, innovative approaches, both in terms of working methods as well as the use of technology to serve humanitarian action, are required to narrow the growing gap between humanitarian needs and response.

¹ 2015 Global Humanitarian Assistance Report.

² UNHCR, Annual Report 2013, June 2014.

³ 'Humanitarian Aid: Crises, Trends and Challenges' European Parliament 2014 (DGEXPO/B/PolDep/Note/014_126)

⁴ Namely regarding specific support to the 2005 humanitarian reform and 2011 IASC Transformative Agenda, in particular the strengthening of humanitarian leadership and coordination through the cluster system as highlighted in ECHO Mid-Term Evaluation of ERC Funding 2010-2013, September 2014.

The WHS in May 2016 aimed to find practical solutions to improve humanitarian action and to gather wider political support for humanitarian assistance. DG ECHO played an active role in the preparation of and during the Summit, leading to 100 individual commitments, including the Grand Bargain, in the name of the EU. DG ECHO will continue to be actively engaged in the follow-up process to the WHS in order to ensure that the discussions and commitments are translated into practice.

2. Humanitarian Needs

Globally, humanitarian needs are likely to continue to outstrip available resources as a consequence of conflict, climate change, food scarcity, urbanisation and inequalities which erode the capacity to cope and exacerbate vulnerability, fragility and violent conflicts.

While globally humanitarian needs are now better addressed through improvements in parts of the global humanitarian system⁵ - such as the 'Global Clusters', through an inclusive approach that better engages the main humanitarian implementers in key sectors of humanitarian delivery - the range and capacity of operationally effective humanitarian actors remains too limited.

While some innovative approaches in humanitarian aid have been identified and developed by a number of traditional and non-traditional actors, more needs to be done to carefully and ethically test these approaches in practice, to disseminate and generate evidence and, if proven effective, to roll-out and mainstream in the humanitarian community's work. In this context accountability to beneficiaries is an important control mechanism and reference which needs to be strengthened. At the same time, as affected people are the first and most important responders to humanitarian needs, they are an important source of generating innovative approaches.

The need for greater accountability requires a shift in the humanitarian system to improve inter-operability, simplification and appropriate sharing of needs analysis and response information with related actors in a manner that leverages expertise and resources to maximise the efficiency and effectiveness of each response. For example, with the growing humanitarian needs in urban contexts, greater capacity and expertise is required to adapt humanitarian action, including management of risk, in urban environments.⁶

3. Humanitarian Response

The overarching aim of ECHO's Enhanced Response Capacity is to help to address the growing gap between the scale of humanitarian needs and the resources available. ERC funding for 2016-17 will build upon and consolidate successful investments⁷ to date in order to prioritise the promotion of innovative approaches, process and where relevant

⁵ As informed by the ERC Mid-Term Review Evaluation and ECHO's 'Fit for Purpose' Stakeholder Consultation

⁶ World Humanitarian Summit. Initial Scoping Paper 6 WHS Theme 1: Humanitarian Effectiveness.

⁷ 2013/14 ECHO Mid-Term Evaluation of ERC Funding.

products that will enable a more efficient humanitarian response to respond to the evolving nature, and increased scale, of humanitarian needs.

The support to the follow-up of the WHS and the translation of key commitments into practice are the main priorities of the additional resources made available for this HIP.

For the 2015-16 funding, ECHO focuses on:

1) Support to the humanitarian system:

Building on previous efforts, lessons and successes, ECHO will still continue to support **governance** mechanisms⁸ and their concrete application in the context of crisis, following and expanding good practice in this regard.

This includes **global (inter-)sector coordination mechanisms**, namely the global clusters. Support to global clusters is provided under the condition that they are - or provide realistic reassurance to become - inclusive, have a clear strategy and dedicated leadership and seek to link up to existing disaster response mechanism, namely national governments.⁹ Global Cluster core functions¹⁰ should be integrated into core budgets of the Cluster Lead Agency and cluster members and thus are generally not eligible for funding under ERC. ECHO will provide targeted funding for global, dedicated support functions which strengthen country level and regional preparedness and emergency coordination. In light of DG ECHO's commitment to substantially increase the funding to Education in Emergencies, it will seek to support to the global coordination mechanism in this sector.

ECHO will also address remaining gaps in the implementation of the **ongoing reform of the humanitarian system**. ECHO is particularly interested in initiatives which seek to bring together and coordinate humanitarian organizations with other, new actors involved in preparedness and response to natural and man-made disasters.

Localizing humanitarian response has emerged as one of the key topics of the WHS. DG ECHO seeks to expand its existing support provided through the ERC to strengthen the role of local organizations and actors, namely by connecting them to global humanitarian policy discussions and by reinforcing the dialogue with new local actors.

Given the increasing number of complex emergencies and violent conflicts, and the widespread disregard of International Humanitarian Law, Human Rights Law and Refugee law, resulting in the shrinking of the **protective space** as well as in lack of **access** to vulnerable populations, support to organisations active in these areas could equally be supported.

⁸ Past efforts have been concentrated on support to the global clusters and inter-cluster working groups, namely in the terms of surge capacity and support to local coordination.

⁹ For more details on these aspects of good practice for global clusters, refer to the Technical Annex of this HIP.

¹⁰ Such as a dedicated Global Coordinator and Deputy providing overall leadership, regular meetings of the Strategic Advisory Group, annual global cluster seminars/retreats etc.

In order to address the increasingly volatile working environment in (protracted) crisis, ECHO seeks to support initiatives which strengthen **security** arrangements of humanitarian organisations, namely speedier security related information management and sharing, crisis/incident management plans.

2) **Support to innovation:**

Innovation in this context is not necessarily a specific technology, but all approaches that are apt to trigger the identification of problems and foster problem-solving capacity leading to the development and implementing of new ideas for products and services, processes and paradigms which might have been effective in other sectors or areas or are specifically developed for the humanitarian aid context.¹¹ Quality, effectiveness and positive impact on the ground ó in forgotten and protracted crises as well as new emergencies ó remains the ultimate criterion of success of innovation and humanitarian aid delivery in general.

a) Innovative and novel approaches

Regarding innovative approaches building capacity, ECHO is inviting interested parties to submit proposals in particular in, but not limited to, the following areas:

- Given the increasing number of displaced children, novel and sustainable methods and implementation modalities to foster education in emergencies as well as ways to measure effectiveness of education in emergencies;
- Support and operationalization of Sendai commitments;
- Development of minimum standards and good practice for GBV projects in terms of case management;
- Coordination and inter-sector information sharing in protracted displacement situations to reach vulnerable beneficiaries in non-camp settings;
- Multi-sector approaches in urban settings which strengthen the collaboration between humanitarian organisations and other local actors;
- Capacity of regional organisations for disaster risk management as well as response.

b) Humanitarian Innovation Fund

In addition to these priorities for innovative approaches which are more about new ways of working than technical solutions, ECHO seeks to support technical innovation, i.e. the development, testing and sharing of new technologies and products which have the potential to benefit the humanitarian sector. Innovation in this more narrow sense can be broken down in different phases necessary to achieve impact: namely invention,

¹¹ World Humanitarian Summit. Initial Scoping Paper ó WHS Theme 3: Transformation through Innovation.

development and roll out. While these phases require often only relatively small funds, requirements in terms technical expertise for selection and steering are considerable. Furthermore, the risk of failure in the sense of intended results of a specific innovation project not being achieved is high. Consequently, an agile approach to managing the innovation process is vital to react to setbacks and take advantage of emerging opportunities.

Given the special requirements for such support, this component will be implemented through an action grant agreement with Save the Children UK which hosts the Humanitarian Innovation Fund (HIF). The HIF is unique in providing the environment and support for initiatives on the different steps of innovation through a well-established structure and process and a network of technical expertise.

4. Visibility

Partners will be expected to ensure full compliance with visibility requirements in accordance with the applicable contractual arrangement as well as with specific visibility requirements agreed-upon in the Single Form, forming an integral part of individual agreements. In particular, this includes prominent display of the EU humanitarian aid visual identity on EU funded project sites, relief items and equipment and the acknowledgement of the funding role of and the partnership with the EU/ECHO through activities such as media outreach and digital communication. Further explanation of visibility requirements can be consulted on the dedicated visibility site: <http://www.echo-visibility.eu/>.