

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
TITLE OF THE EVALUATION/FC	Comprehensive evaluation of the European Union's Humanitarian Aid actions, 2011-2016		
LEAD DG RESPONSIBLE UNIT	DG ECHO/A3, D1	DATE OF THIS ROADMAP	13/02/2017
TYPE OF EVALUATION	Interim, mixed evaluation	PLANNED START DATE	01/2017 (Contract)
		PLANNED COMPLETION DATE	12/2017 (Final Report)
		PLANNING CALENDAR	http://ec.europa.eu/smart-regulation/evaluation/index_en.htm
This indicative roadmap is provided for information purposes only and is subject to change.			

A. Purpose
(A.1) Purpose
<p>The evaluation should provide a comprehensive assessment of the European Union's Humanitarian Aid actions, based on</p> <ul style="list-style-type: none"> • Art. 214 of the Treaty on the Functioning of the EU (TFEU); • The funding instrument of Council Regulation (EC) No 1257/96 of 20 June 1996 (the Humanitarian Aid Regulation – HAR); and • The policy framework of the European Consensus on Humanitarian Aid and specific humanitarian sector policies, <p>with a view to improving future application, based on an analysis of what works and what does not work and lessons learned in the context of Humanitarian Aid.</p>
(A.2) Justification
<ul style="list-style-type: none"> • Article 20 of the HAR and Art. 30(4) of the Financial Regulation.

B. Content and subject of the evaluation
(B.1) Subject area
<p>The European Union, together with its Member States, is the world's leading humanitarian aid donor. For instance, in 2015, approximately 134 million people who were affected by natural or man-made disasters or protracted crises received help. Humanitarian Aid was provided to the most vulnerable people across more than 80 countries.</p> <p>Humanitarian Aid comprises the aid and action designed to save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations. What marks it out from other forms of aid and foreign assistance is that it should be guided by the principles of:</p> <ul style="list-style-type: none"> • Humanity: saving human lives and alleviating suffering wherever it is found; • Impartiality: acting solely on the basis of need, without discrimination between or within affected populations; • Neutrality: acting without favouring any side in an armed conflict or other dispute where such action is carried out; • Independence: the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented. <p>Over the last 25 years, humanitarian crises have increased in number, complexity and severity, now affecting 250 million people. The year 2016 saw a continuing surge in humanitarian crises. Around the world, armed conflicts and</p>

attacks on civilians increased at an alarming rate. Natural disasters, mainly due to climate change and population growth, are also occurring with increasing frequency and intensity. The number of people suffering in conflicts, from displacement, or lacking the most basic life necessities — such as food, water, medical care and shelter — continued to be on the rise. The data on protracted crises – in which a significant proportion of the population is acutely vulnerable to death, disease and disruption of livelihoods over a prolonged period of time – also show worrying trends across the globe. With over 65 million forcibly displaced people in the world, protracted displacement has become a major humanitarian, development, political and economic challenge, which directly affects the European Union and its neighbourhood. Needs are increasingly outweighing resources and the delivery of humanitarian aid and civil protection is becoming more complex.

(B.2) Original objectives of the intervention

The Lisbon Treaty contains a specific legal base for humanitarian aid (Article 214 TFEU) making it a distinct part of the EU's external action, independent from the Common Foreign and Security Policy and development cooperation. Humanitarian Aid is a parallel competence between the Member States and the Union, and the Union's measures and those of the Member States shall complement and reinforce each other. Article 214 allows the Commission to take any useful initiative to promote coordination between the actions of the Union and those of the Member States in order to enhance the efficiency and the complementarity of Union and national humanitarian aid measures.

Article 21 of the TEU lays down the general provisions of the EU's external action. Amongst them feature: respect for the principles of the UN Charter and international law, respect for human dignity, and solidarity.

The EU Humanitarian Aid forms part of the framework of the Union's external action, but it is not part of the EU's co-operation with third countries, the latter being governed by Articles 208-213 TFEU. Its sole aim is to prevent or relieve human suffering, on the basis of the fundamental humanitarian principles of humanity, neutrality, impartiality and independence, and it is thus not to be guided by, or subject to, political considerations. Finally, article 214 also states that the Union shall ensure that its humanitarian aid operations are coordinated and consistent with those of international organisations and bodies, in particular those forming part of the United Nations system.

Specifically, the principal objectives of the EU framework on humanitarian aid are:

- (a) to save and preserve life during emergencies and their immediate aftermath of man-made and natural disasters that have entailed major loss of life, physical, psychological or social suffering or material damage;
- (b) to provide the necessary assistance and relief to people affected by longer-lasting crises arising, in particular, from outbreaks of fighting or wars, producing the same effects as those described in subparagraph (a), especially where their own governments prove unable to help or there is a vacuum of power,
- (c) to help finance the transport of aid and efforts to ensure that it is accessible to those for whom it is intended, by all logistical means available, and by protecting humanitarian goods and personnel, but excluding operations with defence implications;
- (d) to carry out short-term rehabilitation and reconstruction work, especially on infrastructure and equipment, in close association with local structures, with a view to facilitating the arrival of relief, preventing the impact of the crisis from worsening and starting to help those affected regain a minimum level of self-sufficiency, taking long-term development objectives into account where possible;
- (e) to cope with the consequences of population movements (refugees, displaced people and returnees) caused by natural and man-made disasters and carry out schemes to assist repatriation to the country of origin and resettlement there when the conditions laid down in current international agreements are in place;
- (f) to ensure preparedness for risks of natural disasters or comparable exceptional circumstances and use a suitable rapid early-warning and intervention system;
- (g) to support civil operations to protect the victims of fighting or comparable emergencies, in accordance with current international agreements.

The European Commission's strategic vision for reshaping humanitarian action is laid out in the Communication "Towards the World Humanitarian Summit – A global partnership for principled and effective humanitarian action". The EU's position ahead of the WHS was set out in the Council Conclusions of 12 May 2016.

(B.3) How the objectives were to be achieved

See also the attached Intervention Logic. The Commission's budget for Humanitarian Aid amounts to approximately 1.200M€ per year. The operations are financed under the EU budget headings specifically devoted to Humanitarian Aid: the EU budget Heading 4 (Global Europe) Title 23 for humanitarian aid and Title 40 (Emergency Aid Reserve), as well as the allocation to the African, Caribbean, and Pacific group of states (ACP) for humanitarian and emergency assistance under the European Development Fund. Since the entry into force in 2013 of the new EU Financial Regulation (FR), the Commission is also able to receive External Assigned Revenue (ExAR) under Article 21(2)(b) FR.

The EU, through its Directorate-General for Humanitarian Aid and Civil Protection (DG ECHO), funds humanitarian aid actions that are implemented by humanitarian partners on the basis of framework agreements. These actions comprise assistance, relief and protection operations on a non-discriminatory basis to help people in third countries, particularly the most vulnerable among them, and as a priority those in developing countries, victims of natural disasters, man-made crises, such as wars and outbreaks of fighting, or exceptional situations or circumstances comparable to natural or man-made disasters. The actions should extend the time needed to meet the humanitarian requirements resulting from these different situations. Furthermore, the Commission also supports disaster preparedness and risk reduction actions in regions prone to natural disasters, so as to help local communities to react rapidly and efficiently when disasters occur, allowing many lives to be saved. It is important for the Commission to have a wide range of partners, as this allows it to cover a growing list of needs in different parts of the world, often in increasingly complex situations. Funding is distributed among the Commission's partners, for instance, in 2014 46% was used to fund NGOs, 34% UN agencies, 13% international organisations (4% was spent on support and technical assistance and 3% on civil protection activities).

A complementary component is humanitarian advocacy, by which DG ECHO strives to influence other actors on topics such as humanitarian access enabling safe, unimpeded and timely delivery of assistance to all people in need, respect of International Humanitarian Law, adherence to the Humanitarian Principles and Good Humanitarian Donorship, and uptake of project results in the area of Disaster Risk Reduction.

The Commission has a worldwide network of field offices that ensure adequate monitoring of projects funded, provide up-to-date analyses of existing and forecasted needs in a given country or region, contribute to the development of intervention strategies and policy development, provide technical support to EU funded operations, and facilitate donor coordination at field level.

The European Consensus on Humanitarian Aid (the Consensus) provides a reference for EU humanitarian aid, and outlines the common objectives, fundamental humanitarian principles (of humanity, impartiality, neutrality and independence) and good practices that the European Union as a whole pursues in this domain. The aim is to ensure an effective, high-quality, needs-driven and principled EU response to humanitarian crises. It covers the whole spectrum of humanitarian action: from preparedness and disaster risk reduction, to immediate emergency response and life-saving aid for vulnerable people in protracted crises, through to situations of transition to recovery and longer-term development. Furthermore, with reference to its overall aim, the Consensus has triggered the development of a number of humanitarian sectoral policies.

Various mechanisms are in place to ensure coordination of the funds allocated by the Commission and those of other humanitarian actors in response to crises:

- With EU Member States by regular meetings in the Council Working Group on Humanitarian Aid and Food Aid (COHAFA), chaired by the rotating EU Presidency. This includes coordinating on overall strategies and on responses to specific crisis situations;
- With the European Parliament (DEVE Committee) by regular exchanges of views;
- Commission experts in the field keep actively abreast of funds being considered or made available by other organisations;
- The Emergency Response Coordination Centre (ERCC) supports a coordinated and quicker response to disasters both inside and outside Europe using resources from the countries participating in the European Union Civil Protection Mechanism (UCPM). The ERCC is a coordination hub facilitating a coherent European response during emergencies, as e.g. for the response to the Ebola crisis;
- Regular discussions on the overall state of funding compared to UN Consolidated Appeals requirements take place with OCHA, the UN agency for humanitarian aid coordination, under the auspices of Good Humanitarian Donorship.

C. Scope of the evaluation/FC

(C.1) Topics covered

The evaluation should provide a comprehensive assessment of the EU humanitarian aid actions over the period of 2011-2016, examining how well the EU has exercised its role as a donor and the results achieved in different contexts. This includes the EU's policy and implementation frameworks put in place for Humanitarian Aid, as well as the delivery of this aid to the end-beneficiaries. Furthermore, the evaluation should provide evidence supporting the implementation of commitments in the context of the WHS and the Grand Bargain, with a clear focus on the EU Added Value of the activity.

However, it will not cover the legislation on the Union Civil Protection Mechanism (UCPM) nor the EU Aid Volunteers initiative, even though synergies, complementarity and coherence between the three instruments will be explored. An evaluation of the UCPM is launched in parallel with the current humanitarian aid evaluation, and an

<p>evaluation of the EU Aid Volunteers initiative will be launched early-2017.</p> <p>This evaluation does not form part of the ongoing mid-term evaluations of the Union's External Financing Instruments¹. The evaluation may, however, look at the external coherence with some of these instruments..</p> <p>The results of the recent audit (referenced under section E below) should feed into the exercise as appropriate.</p>
<p>(C.2) Issues to be examined</p> <p>The evaluation will assess the relevance (including needs assessments and coordination with other donors and partners), effectiveness, efficiency (including cost-effectiveness and efficiency of partners, and an estimate of the potential for regulatory simplification and burden reduction), coherence/connectedness (including the contribution of humanitarian aid actions to resilience-building and Linking Relief, Rehabilitation and Development – LRRD; and cooperation with Civil Protection) and EU added value.</p>
<p>(C.3) Other tasks</p> <p>The external study that will be commissioned by the Commission should also include an analysis and synthesis of the results of the related stakeholder consultation to be launched by the Commission.</p>

D. Evidence base
<p>(D.1) Evidence from monitoring</p> <ul style="list-style-type: none"> • Contractual project reports provided by the Commission's implementing partners; • Records from monitoring by the Commission's field staff.
<p>(D.2) Previous evaluations and other reports</p> <p>The evaluation will take account of the results of all existing Commission humanitarian aid evaluations (geographic and thematic, appr. 30) carried out during the period.</p> <p>The Court of Auditors' Special report no 15/2016: Did the Commission effectively manage the Humanitarian aid provided to populations affected by conflicts in the African Great Lakes Region?</p>
<p>(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)</p> <p>N/A</p>
<p>(D.4) Consultation</p> <p>An open public consultation will be carried out, focusing on the main principles and methods applied by ECHO as a donor as well as on the results achieved.</p> <p>Furthermore, targeted consultations should be carried out for the main stakeholders and beneficiaries (end-beneficiaries and their local communities, authorities of beneficiary countries, the world humanitarian community, EU Member States, development actors, relevant private sector actors, other departments of the Commission, etc.).</p> <p>The results of the stakeholder consultation that was carried out in 2013 in the context of a "Fit-for-purpose" exercise on the Commission's humanitarian aid actions will be taken into account for the evaluation.</p>
<p>(D.5) Further evidence to be gathered</p> <p>TBD</p>

E. Other relevant information/ remarks
N/A

Annex: Intervention logic

¹ Development Cooperation Instrument, the European Instrument for Democracy and Human Rights, the European Neighbourhood Instrument, the Instrument contributing to Stability and Peace, the Instrument for Pre-Accession Assistance, the Partnership Instrument for cooperation with third countries, the Instrument for Nuclear Safety Cooperation, the Instrument for Greenland, and the European Development Fund.

