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ANNEX

**Union-funded humanitarian aid operational priorities for 2021 under Regulation (EC)
No 1257/96**

1. INTRODUCTION

On the basis of the objectives set out in Articles 1, 2 and 4 of Regulation (EC) No 1257/96, the following actions constitute the humanitarian aid operational priorities of the Union for year 2021 and are to be financed accordingly:

- for grants (implemented under direct management) (point 2),
- for procurement (implemented under direct management) (point 3),
- for actions implemented under indirect management (point 4),
- for other actions or expenditure (point 6).

Legal basis

Articles 15(2) and (3) of Regulation (EC) No 1257/96.

Budget lines

budget line 14 03 01

budget line 14 03 02

Objectives pursued

Humanitarian aid under this Decision covers humanitarian and food assistance as well as relief and protection operations in accordance with Article 1 of Regulation (EC) No 1257/96.

The Union's humanitarian intervention may also cover those countries of a given region, identified in Appendix 2 based on known vulnerabilities, for which no indicative initial allocation can be provided. The Union's humanitarian intervention may also cover Overseas Countries and Territories pursuant to Decision 2013/755/EU.

Appendix 1 to this Annex reflects the allocations by actions listed in Article 1(1) of the Decision to which this Annex is attached.

Appendix 2 to this Annex gives an indication of the planned allocations by countries/regions.

Outlook for 2021

The global humanitarian context in 2021 will, in all likelihood, remain challenging, with similar trends to those experienced in 2020 with the intensity and range of crises surpassing the levels encountered in previous years, and with continuing widespread disregard for International Humanitarian Law (IHL), thus resulting in an increase in the overall total of people affected and in need of international assistance. This increase in humanitarian needs is related to protracted or recurrent humanitarian crises, such as long-term conflict or droughts, and those resulting from sudden new emergencies. The COVID-19 global pandemic has further exacerbated the situation, sharply increasing the number of persons in need. In line with the Good Humanitarian Donorship principles¹, it is important that the response to sudden new emergencies, such as earthquakes or conflicts, does not detract from addressing existing or recurrent humanitarian crises.

Constantly increasing global needs are the result of a combination of factors, notably the increasing number of persons affected by human-induced crises, the increasing impact of natural disasters, notably as a result of climate change, the impact of COVID-19 on the most vulnerable populations, and a tightening of the humanitarian space that makes the delivery of aid and access to beneficiaries more difficult and more dangerous. In this context and for each crisis, a specific country/region evaluation of needs is conducted by the European Commission in order to provide a first-hand account of crisis pockets and to give an insight into the nature and the severity of needs. This is combined with the Index For Risk Management (INFORM),

¹ <https://www.ghdinitiative.org/ghd/gns/principles-good-practice-of-ghd/principles-good-practice-ghd.html>

based on three sets of indicators (hazard and exposure, vulnerability and lack of coping capacity), a Crisis Assessment, and the Forgotten Crisis Assessment (FCA). These evaluations and tools provide the framework to determine the areas of greatest needs based on which funds are allocated.

Human-induced humanitarian crises, resulting from wars, conflicts or outbreaks of violence (also called complex crises) account for a large proportion of, and are, the main source of humanitarian needs in the world. In human-induced crises, such as in Syria, Iraq, Yemen, Libya, Myanmar/Bangladesh (Rohingya crisis), Ukraine, South Sudan, Central Sahel, Somalia, Great Lakes, Nigeria and the Central African Republic, the Union's humanitarian interventions address life-saving needs, and protect millions of vulnerable people, including forcibly displaced people or trapped populations, and host communities. In many contexts, access and security problems make the delivery of aid particularly difficult or dangerous. The needs resulting from such crises may be further exacerbated by natural disasters, such as drought or floods, as is the case in Haiti, Bangladesh, Mali, Niger, Southern Africa, Horn of Africa, Pakistan, Afghanistan, Chad or Nigeria. Natural disasters and extreme weather conditions may restrict some interventions and may also require rapid reorientation of other activities to meet new priority needs of the affected populations.

The human and economic losses caused by natural disasters are devastating. These natural disasters, be they sudden or slow onset, that entail major loss of life, physical and psychological or social suffering or material damage, are constantly increasing, and with them so is the number of victims. In this respect, vulnerable populations affected by natural disasters and climate change as well as epidemics rely on humanitarian assistance, including food assistance, nutrition and protection. Recurrent acute humanitarian needs have been identified in various situations, such as Myanmar, the Sahel and the Horn of Africa. Response to recurrent disasters caused by specific meteorological patterns, such as monsoon and hurricane/typhoon/cyclone seasons, may also be awarded Union funding.

Across different scenarios mentioned, Union humanitarian funding will continue to prioritise a basic needs approach; an integrated multi-sectoral or cross-sectoral approach to programming that aims to meet/contribute to the basic needs of affected populations. Ensuring protection of affected persons as well as access to quality education in emergencies will also continue to be a priority of Union humanitarian funding.

Where possible, efforts should be made from the outset to work with development and other instruments in the humanitarian-development-peace nexus, building the resilience of the most vulnerable populations, and preparing the conditions for longer-term sustainable engagement by national and international development and stabilisation/peacebuilding instruments and programmes.

Expected results

The intrinsic features of humanitarian aid are such (including volatile operating environment, unpredictability and high level of uncertainty) that it is in effect impossible to determine ex ante specific results. Suffice it to say that EU-funding of humanitarian aid operations should seek to save lives and cover the basic needs of final beneficiaries as well as increase their preparedness and resilience, while laying the ground – where possible and appropriate – for a smooth transition towards development aid and equivalent forms of longer-term structural assistance, including a full switch to the provision of basic services by the State concerned.

Likewise, it is not realistic or simply feasible to identify ex ante reliable quantitative results, for instance in the form of number of people receiving assistance. Any such figures would be highly contextual and crisis specific and therefore liable to evolve haphazardly so as being devoid of any useful purpose from an ex ante perspective. They would also be bound to be affected by any unexpected adverse developments in the field (e.g. unexpected severe weather events, shifting displacements patterns, and the like).

Account should also be taken of the practical necessity, when required by changing circumstances in the field which might affect existing humanitarian needs or generate new needs, to reorient or otherwise adjust Union-funded humanitarian aid operations. Union financial assistance may also have to be awarded to new actions to address exacerbated or increased humanitarian needs.

2. GRANTS

The estimated global budgetary envelope reserved for grants amounts to EUR 969 430 565.

2.1. Providing humanitarian aid to vulnerable people affected by disasters and crises

Type of applicants targeted by the direct award

Non-governmental organisations (NGOs) satisfying the eligibility and suitability criteria provided for in Article 7 of Regulation (EC) No 1257/96 including but not limited to those NGOs to which the Commission, as represented by its Directorate-General for European Civil Protection and Humanitarian Aid Operations (DG ECHO), has awarded a certificate.

Member States' specialised agencies referred to in Article 9 of Regulation (EC) No 1257/96.

Description of the activities to be funded by grants awarded without a call for proposals on the basis of Article 195 of the Financial Regulation and specific grants directly awarded.

Provide humanitarian aid to vulnerable people affected by natural disasters, human-induced crises or exceptional situations or circumstances comparable to natural or human-induced disasters, which have entailed or are likely to continue entailing major loss of life, physical and psychological or social suffering or material damage.

Implementation

Grants shall be awarded and managed under direct management by DG ECHO.

Pursuant to Article 193(2)(b) of the Financial Regulation, costs incurred by a grant beneficiary before the date of submission of the application shall be eligible for Union financing as early intervention by the Union is of major importance to enable humanitarian organisations to address and meet in an effective manner humanitarian needs in the field as early as possible upon their occurrence or when there is good cause to believe that such needs will arise in the near future.

Pursuant to Article 204 of the Financial Regulation, for the implementation of actions, grant beneficiaries may provide financial support of more than EUR 60 000 to third parties if the objectives of the action would otherwise be impossible or excessively difficult to achieve. Such situations can occur inter alia in cases where only a limited number of non-profit non-governmental organisations have the capacity, skills or expertise to contribute to the implementation of the action or are established in the country of operation or in the region(s) where the action takes place.

Ensuring broad geographical/worldwide coverage while minimising costs and avoiding duplications concerning in particular presence in country, prompted many humanitarian organisations to network, e.g. through families or confederations. In such a context, the situations referred to above would imply that the beneficiary would provide financial support to other members of the network.

2.2. Providing first initial response

Type of applicants targeted by the direct award

NGOs satisfying the eligibility and suitability criteria provided for in Article 7 of Regulation (EC) No 1257/96 including but not limited to those NGOs to which the Commission, as represented by DG ECHO, has awarded a certificate.

Member States specialised agencies referred to in Article 9 of Regulation (EC) No 1257/96.

Description of the activities to be funded by grants awarded without a call for proposals on the basis of Article 195 of the Financial Regulation and specific grants directly awarded.

Provide first initial response to cover the immediate needs of the most vulnerable in the days after a large scale emergency or a sudden onset humanitarian crisis as well as humanitarian assistance for response and disaster preparedness to populations affected by disasters where a small scale response is adequate and to populations affected by epidemic outbreaks.

Large sudden onset disasters have an enormous impact on the lives and livelihoods of vulnerable populations. In many countries, the effects of a disaster especially when combined with high levels of vulnerability and insufficient local capacities to address them, i.e. prepare, mitigate or prevent, may have a devastating impact. How quickly needs are addressed within the first few days is critical. The Acute Large Emergency Response Tool (ALERT) allows to give a rapid response to sudden-onset large scale natural and technological disasters to cover the immediate needs of those most vulnerable in the hours and days after an emergency or a new humanitarian crisis.

DG ECHO recognises the importance of minimising the environmental footprint of humanitarian action, even in short-term emergency contexts, and will therefore continue to promote the integration of environmental considerations in emergency humanitarian interventions, based on the ‘do no harm’ principle – a principle that takes into consideration the negative effects of aid.

Emergency humanitarian needs aggravated by the recurrence of disasters, even those of small-scale or those requiring a limited and isolated intervention, are also addressed by the funding

under this Decision that also covers epidemic outbreaks. In such cases, a flexible humanitarian intervention should be sought in order to meet the most urgent humanitarian needs and enhance at the local level the preparedness of the most vulnerable populations, in particular local communities, affected by these disasters where there are significant unmet needs.

Implementation

Grants shall be awarded and managed under direct management by DG ECHO.

Pursuant to Article 193(2)(b) of the Financial Regulation, costs incurred by a grant beneficiary before the date of submission of the application shall be eligible for Union financing as early intervention by the Union is of major importance to enable urgent humanitarian organisations to address and meet in an effective manner humanitarian needs in the field as early as possible upon their occurrence or when there is good cause to believe that such needs will arise in the near future.

Pursuant to Article 204 of the Financial Regulation, for the implementation of actions, grant beneficiaries may provide financial support of more than EUR 60 000 to third parties if the objectives of the action would otherwise be impossible or excessively difficult to achieve. Such situations can occur inter alia in cases where only a limited number of non-profit non-governmental organisations have the capacity, skills or expertise to contribute to the implementation of the action or are established in the country of operation or in the region(s) where the action takes place.

Ensuring broad geographical/worldwide coverage while minimising costs and avoiding duplications concerning in particular presence in country, prompted many humanitarian organisations to network, e.g. through families or confederations. In such a context, the situations referred to above would imply that the beneficiary would provide financial support to on other members of the network.

2.3. Disaster risk reduction and preparedness

Type of applicants targeted by the direct award

NGOs satisfying the eligibility and suitability criteria provided for in Article 7 of Regulation (EC) No 1257/96 including but not limited to those NGOs to which the Commission, as represented by DG ECHO, has awarded a certificate.

Member States specialised agencies referred to in Article 9 of Regulation (EC) No 1257/96.

Description of the activities to be funded by grants awarded without a call for proposals on the basis of Article 195 of the Financial Regulation and specific grants directly awarded.

Support strategies and complement existing strategies that enable local communities and institutions to better prepare for, mitigate and respond adequately to disasters by enhancing their capacities to anticipate, cope and respond, thereby increasing early response, resilience to shocks and reducing vulnerability.

Local communities are particularly vulnerable to disasters, shocks and stresses. These cause significant losses both in social and economic terms as people's lives are not only at risk, but they often lose their livelihood and land and might even be displaced. When the coping capacities of the countries concerned are insufficient considering the impact of disasters on the population, aggravated even further by climate change, there is a need for international support for preparedness systems strengthening. Disaster preparedness allocations aim at reducing the impact of disasters and crises on populations, allowing early warning and early action to better assist those affected.

Implementation

Grants shall be awarded and managed under direct management by DG ECHO.

Pursuant to Article 193(2)(b) of the Financial Regulation, costs incurred by a grant beneficiary before the date of submission of the application shall be eligible for Union financing as early intervention by the Union is of major importance to enable humanitarian organisations to address and meet in an effective manner urgent humanitarian needs in the field as early as possible upon their occurrence or when there is good cause to believe that such needs will arise in the near future.

Pursuant to Article 204 of the Financial Regulation, for the implementation of actions, grant beneficiaries may provide financial support of more than EUR 60 000 to third parties if the objectives of the action would otherwise be impossible or excessively difficult to achieve. Such situations can occur inter alia in cases where only a limited number of non-profit non-governmental organisations have the capacity, skills or expertise to contribute to the implementation of the action or are established in the country of operation or in the region(s) where the action takes place.

Ensuring broad geographical/worldwide coverage while minimising costs and avoiding duplications concerning in particular presence in country, prompted many humanitarian organisations to network, e.g. through families or confederations. In such a context, the situations referred to above would imply that the beneficiary would provide financial support to other members of the network.

2.4. Policy support toolbox

Type of applicants targeted by the direct award

NGOs satisfying the eligibility and suitability criteria provided for in Article 7 of Regulation (EC) No 1257/96 including but not limited to those NGOs to which the Commission, as represented by DG ECHO, has awarded a certificate.

Member States specialised agencies referred to in Article 9 of Regulation (EC) No 1257/96.

Description of the activities to be funded by grants awarded without a call for proposals on the basis of Article 195 of the Financial Regulation and specific grants directly awarded

With global humanitarian needs continuing to increase, the capacity of humanitarian actors to respond has been stretched to the limit. All options to increase humanitarian capacity to deliver efficient and effective aid to people in need and enhance existing policy framework have to be explored.

In line with the tenants of the European Consensus on Humanitarian Aid² that "*(...) supporting the development of the collective global capacity to respond to humanitarian crises is one of the fundamental tenants of our [EU] approach*", the Commission strengthens the coherence, quality and effectiveness of humanitarian aid through e.g. the development of innovative approaches, policies, methodologies and tools, and the support to capacity building, coordination and preparedness.

Implementation

Grants shall be awarded and managed under direct management by DG ECHO.

Pursuant to Article 204 of the Financial Regulation, for the implementation of actions, grant beneficiaries may provide financial support of more than EUR 60 000 to third parties if the objectives of the action would otherwise be impossible or excessively difficult to achieve. Such situations can occur inter alia in cases where only a limited number of non-profit non-governmental organisations have the capacity, skills or expertise to contribute to the implementation of the action or are established in the country of operation or in the region(s) where the action takes place.

Ensuring broad geographical/worldwide coverage while minimising costs and avoiding duplications concerning in particular presence in country, prompted many humanitarian organisations to network, e.g. through families or confederations. In such a context, the situations referred to above would imply that the beneficiary would provide financial support to other members of the network.

² OJ C 25, 30.1.2008, p 1.

2.5. Policy support – Reinforcing networking between humanitarian non-governmental organisations

Type of applicants targeted by the direct award

Pursuant to Article 4, sixth indent, of Regulation (EC) No 1257/96, measures to strengthen the Union's coordination with non-governmental organisations and organisations representing them may be financially supported.

VOICE (Voluntary Organisations in Cooperation in Emergencies) is a European network representing 85 non-profit humanitarian organisations that: are non-profit legal persons; have their main headquarters in an EU Member State; and have a certain number of DG ECHO certified partners as active members of the network and as members of the network's steering board or committee of the network.

VOICE is a unique organisation in combining a broad network of European NGOs which work in a significant range of humanitarian areas pertinent to DG ECHO's activities. These advantages specific to VOICE have been demonstrated through VOICE's track record when working with DG ECHO, and through various competitive procedures in selecting partners with such a profile.

Description of the activities to be funded by grants awarded without a call for proposals on the basis of Article 195 of the Financial Regulation and specific grants directly awarded

The broad application of DG ECHO policy products requires drawing upon best practice in humanitarian assistance delivery. Reinforcing networking between DG ECHO certified partners is an important part of this. Furthermore, this exchange is important for pursuing issues related to the humanitarian principles, as well as for broader policy dissemination with a view of improving operational implementation. The aim is to enhance cooperation and coordination between European humanitarian NGOs, to reinforce networking, and to strengthen the collective influence of NGOs in order to improve efficiency and effectiveness of humanitarian assistance projects.

The award of a direct grant to VOICE is justified by the fact that the grant beneficiary is in a position of de facto monopoly referred to in article 195(c) of the Financial Regulation.

Implementation

An operating grant of an amount up to EUR 200 000 shall be awarded and managed under direct management by DG ECHO.

3. PROCUREMENT

The overall budgetary allocation reserved for procurement contracts in 2021 amounts to EUR 3 150 000.

3.1. Humanitarian air transportation

General description of the contracts envisaged

Improve the conditions for delivering humanitarian aid by supporting transportation to ensure that aid is accessible to beneficiaries, including by means of medical evacuation of humanitarian staff where the unavailability of such transportation could adversely affect the timely and effective provision of assistance to beneficiaries.

Access constraints (security and logistical) are often an obstacle to reaching beneficiaries. These can be partially overcome by supporting humanitarian transport, notably through ECHO-Flight in parts of Africa, or through other humanitarian transport providers. Humanitarian transportation should also be made available to humanitarian staff, in particular in the form of medical evacuation, where the unavailability of such transportation could deter that staff to provide humanitarian assistance to beneficiaries, notably in the event of highly infectious epidemics. Making such services available would also contribute to the protection of humanitarian personnel as referred to in Article 2(c) of Regulation (EC) No 1257/96.

Humanitarian air transportation may be provided either by means of a service contract or within the framework of a humanitarian aid action by one of the entities covered by a framework agreement with the Commission (see section 4.4 below). Should such humanitarian aid action(s) be conducted, the use of service contracts will be reviewed and adjusted accordingly with the corresponding appropriations being reassigned as appropriate.

Implementation

The public contracts related to humanitarian air transport services shall be awarded and managed under direct management by DG ECHO.

3.2. Providing first initial response

General description of the contracts envisaged

DG ECHO may decide to use appropriations available under the Epidemics component of the Emergency Toolbox to procure medical evacuation operations to be carried out by appropriate service providers.

Implementation

The medical evacuation contract(s) shall be awarded and managed under direct management by DG ECHO.

3.3. Policy support toolbox

General description of the contracts envisaged

1. Increase the coherence, quality and effectiveness of humanitarian aid by the provision of expertise to assist policy development in support to humanitarian assistance.
2. Support the organisation of dedicated thematic or geographic exchanges with a range of humanitarian stakeholders to promote good practices and innovative approaches in response to specific crises or on key humanitarian policy topics.

Implementation

The public contracts shall be awarded and managed under direct management by DG ECHO.

3.4. Public awareness and information

General description of the contracts envisaged

Increase awareness, understanding of and support for humanitarian issues and the EU as the global leader in humanitarian aid, especially in Europe and in third countries where the Union is funding major humanitarian operations through public awareness actions and information campaigns. Communication actions in 2021 will also contribute, where appropriate, to the corporate communication of the Commission and the implementation of the Recovery plan for Europe, in particular by providing stories and other content for the main communication campaigns.

Implementation

The public contracts shall be awarded and managed under direct management by DG ECHO.

4. ACTIONS IMPLEMENTED IN INDIRECT MANAGEMENT

4.1. Providing humanitarian aid to vulnerable people affected by disasters and crises

Implementing entities

International Organisations, such as United Nations' Organisations, the International Committee of the Red Cross and the International Federation of Red Cross and Red Crescent Societies, as well as Member States' specialised agencies may have specific expertise, singular capacities, privileges and access, notably related to their mandate, for effectively delivering of humanitarian aid. The use of such entities under indirect management is therefore necessary for implementing Union-funded humanitarian aid operations addressing

the full spectrum of humanitarian needs, which cannot all be addressed solely through direct management with NGOs (and procurement).

Entities which were subject to an *ex ante* assessment in accordance with Article 154 of the Financial Regulation, including those that are signatories of a financial framework partnership agreement concluded for humanitarian aid (International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies) or signatories of the financial and administrative framework agreement concluded between the Commission and United Nations entities.

The entities to be entrusted with implementing Union-funded humanitarian aid actions will be selected based on the merits of the proposals for humanitarian aid actions submitted to the Commission in response to any invitation to submit proposals emanating from DG ECHO (including when the said invitation takes the form of Humanitarian Implementation Plans).

Description

Provide humanitarian aid to vulnerable people affected by natural disasters, human-induced crises or exceptional situations or circumstances comparable to natural or human-induced disasters, which have entailed or are likely to continue entailing major loss of life, physical and psychological or social suffering or material damage.

4.2. Providing first initial response

Implementing entities

Entities which were subject to an *ex ante* assessment in accordance with Article 154 of the Financial Regulation, including those that are signatories of a framework partnership agreement concluded in the field of humanitarian aid (International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies) or the Financial and Administrative Framework Agreement concluded between the Commission and United Nations entities.

The entities to be entrusted with the implementation of Union-funded humanitarian aid actions shall be selected based on the merits of the proposals for humanitarian aid actions submitted to the Commission in response to any invitation to submit proposals emanating from DG ECHO (including when the said invitation takes the form of Humanitarian Implementation Plans).

Description

Provide humanitarian aid to vulnerable people affected by natural disasters, human-induced crises or exceptional situations or circumstances comparable to natural or human-induced disasters, which have entailed or are likely to continue entailing major loss of life, physical and psychological or social suffering or material damage.

Large sudden onset disasters have an enormous impact on the lives and livelihoods of vulnerable populations. In many countries, the effects of a disaster especially when combined with high levels of vulnerability and insufficient local capacities to address them, i.e. prepare, mitigate or prevent, may have a devastating impact. How quickly needs are addressed within

the first few days is critical. The Acute Large Emergency Response Tool (ALERT) allows to give a rapid response to sudden-onset large scale natural and technological disasters to cover the immediate needs of those most vulnerable in the hours and days after an emergency or a new humanitarian crisis.

Emergency humanitarian needs aggravated by the recurrence of disasters, even those of small-scale or those requiring a limited and isolated intervention, are also addressed by this Decision. This also covers epidemic outbreaks. In such cases, a flexible humanitarian intervention should be sought in order to meet the most urgent humanitarian needs and enhance at the local level the preparedness of the most vulnerable populations, in particular local communities, affected by these disasters where there are significant unmet needs.

4.3. Disaster risk reduction and preparedness

Implementing entities

Entities which were subject to an ex ante assessment in accordance with Article 154 of the Financial Regulation, including those that are signatories of a framework partnership agreement concluded in the field of humanitarian aid (International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies) or the Financial and Administrative Framework Agreement concluded between the Commission and United Nations entities.

The entities to be entrusted with the implementation of Union-funded humanitarian aid actions shall be selected based on the merits of the proposals for humanitarian aid actions submitted to the Commission in response to any invitation to submit proposals emanating from DG ECHO (including when the said invitation takes the form of Humanitarian Implementation Plans).

Description

Support strategies and complement existing strategies that enable local communities and institutions to better prepare for, mitigate and respond adequately to disasters by enhancing their capacities to anticipate, cope and respond, thereby increasing early response, resilience to shocks and reducing vulnerability.

Local communities are particularly vulnerable to disasters, shocks and stresses. These cause significant losses both in social and economic terms as people's lives are not only at risk, but they often lose their livelihood and land and might even be displaced. When the coping capacities of the countries concerned are insufficient considering the impact of disasters on the population, aggravated even further by climate change, there is a need for international support for preparedness systems strengthening. Disaster preparedness allocations aim at reducing the impact of disasters and crises on populations, allowing early warning and early action to better assist those affected.

4.4. Policy support toolbox

Implementing entities

Organisations of the United Nations and Red Cross families as well as Member States' specialised agencies may have specific expertise, singular capacities, privileges and access, notably related to their mandate, for effective delivering of humanitarian aid. The use of entities under indirect management is therefore necessary for the implementation of Union-funded humanitarian aid operations addressing the full spectrum of humanitarian needs, which cannot all be addressed through direct management with NGOs (and procurement) only.

Entities which were subject to an ex ante assessment in accordance with Article 154 of the Financial Regulation, including those that are signatories of a framework partnership agreement concluded in the field of humanitarian aid (International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies) or the Financial and Administrative Framework Agreement concluded between the Commission and United Nations entities.

The entities to be entrusted with the implementation of Union-funded humanitarian aid actions shall be selected based on the merits of the proposals for humanitarian aid actions submitted to the Commission in response to any invitation to submit proposals emanating from DG ECHO (including when the said invitation takes the form of Humanitarian Implementation Plans).

Description

With global humanitarian needs continuing to increase, the capacity of humanitarian actors to respond has been stretched to the limit. All options to increase humanitarian capacity to deliver efficient and effective aid to people in need and enhance existing policy frameworks have to be explored.

In line with the tenets of the European Consensus on Humanitarian Aid that "(...) *supporting the development of the collective global capacity to respond to humanitarian crises is one of the fundamental tenants of our [EU] approach*", the Commission strengthens the coherence, quality and effectiveness of humanitarian aid through e.g. the development of innovative approaches, policies, methodologies and tools, and the support to capacity building, coordination and preparedness.

4.5. Humanitarian air transportation

Implementing entities

Organisations of the United Nations and Red Cross families as well as Member States' specialised agencies may have specific expertise, unique capacities, privileges and access, notably related to their mandate, for effective delivery of humanitarian aid. The use of entities under indirect management may therefore be necessary for the implementation of Union-funded humanitarian aid operations addressing the full spectrum of humanitarian needs.

Entities which were subject to an ex-ante assessment in accordance with Article 154 of the Financial Regulation, including those that are signatories of a framework partnership agreement concluded in the field of humanitarian aid (International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies) or the Financial and Administrative Framework Agreement concluded between the Commission and United Nations entities.

The entities to be entrusted with the implementation of Union-funded humanitarian aid actions consisting of or including the provision of humanitarian aid transportation shall be selected based on the extent to which they are able to satisfy the following requirements:

1. possessing extensive knowledge, experience and capacity in the management of humanitarian air transportation;
2. have direct access to many air operators on short notice and bases already set up in the regions or countries where need exists for humanitarian air transportation from which they can operate;
3. meeting very high standard in terms of aviation safety and quality enabling the services to be provided in challenging humanitarian flight contexts. As a minimum, the action will have to include a safety and quality management system in line with the relevant requirements set out by the International Civil Aviation Organization (ICAO) in relation to this type of air transportation.

Humanitarian air transportation may be provided either by means of a service contract (see section 3.1. above) or within the framework of a humanitarian aid action by one of the entities covered by a framework agreement with the Commission. Any potential award of humanitarian funding to support such humanitarian aid actions will take account of any possible services contract(s) on the provision of humanitarian air transport services so as to ensure consistency and coherence in the delivery of humanitarian assistance related services and sound financial management.

Description

Enabling the delivery of humanitarian aid by making available to the humanitarian community transport services to ensure that aid is accessible to beneficiaries. Such an enabling environment should also include the possibility of ensuring medical evacuation of humanitarian staff where the unavailability of such transport services could adversely affect the timely and effective provision of assistance to beneficiaries.

Access constraints (security and logistical) are often an obstacle to reaching beneficiaries. These can be partially overcome by supporting humanitarian transport where the provision of such services forms part of a humanitarian aid operation implemented by an international organisation.

Humanitarian transportation should also be made available to humanitarian staff, in particular in the form of medical evacuation, where the unavailability of such transport services could deter that staff to provide humanitarian assistance to beneficiaries in the event notably of highly infectious epidemics. Making such services available would also

contribute to the protection of humanitarian personnel as referred to in Article 2(c) of Regulation (EC) No 1257/96.

5. IMPLEMENTATION MODALITIES WITH RESPECT TO EU RESTRICTIVE MEASURES

The Commission ensures that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with European Union restrictive measures³. The Commission must always seek solutions that do not breach European Union restrictive measures. Accordingly, the Commission is required to channel humanitarian aid via actions and persons that are not restricted under the European Union restrictive measures.

However, in keeping with the relevant principles of international humanitarian law and with the principles of impartiality, neutrality and non-discrimination referred to in Article 214(2) TFEU, the Union must allow and facilitate rapid and unimpeded access to humanitarian relief by persons in need.

Therefore, where no other options are available, the provision of humanitarian aid should not be prevented by European Union restrictive measures.

6. OTHER ACTIONS OR EXPENDITURE

6.1. Emergency response support - provision of services by the European Centre for Disease Prevention and Control (ECDC)

Amount

EUR 100 000

Description

To provide epidemiological expertise to DG ECHO (including on the spot) in support of emergency response related activities in the event of epidemic outbreaks (Ebola virus disease, COVID-19 crisis and equivalent diseases).

Services will be provided by the ECDC to DG ECHO based on one or several service-level agreements.

³ www.sanctionsmap.eu. Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website, it is the OJ version that prevails.

6.2. Policy Support – provisions of services by the Joint Research Centre

Amount

EUR 350 000

Description

Increase the coherence, quality and effectiveness of humanitarian aid, by the provision of scientific expertise to assist policy development in support to humanitarian aid actions.

As part of its contribution, the Joint Research Centre (JRC) is to provide support services in relation to the following items:

1. INFORM quantitative and analytical products, and scientific advice

Those products are aimed to support evidence-based decision-making on humanitarian crises and disasters, at different stages of the disaster management cycle, especially prevention, preparedness and response.

In this context, the JRC further develops and promotes the INFORM Risk Index and INFORM Severity Index (formerly named “Global Crisis Severity Index” (GCSI)), while working on the development of new products with its partners.

The JRC also updates on a regular basis the INFORM indexes data (with partner support), and further develops the related methodologies.

DG ECHO also benefits from their support and scientific advice in the further development of its own needs assessment and funding allocation methodologies.

Services will be provided by the JRC to DG ECHO based on one or several service-level agreements/grant(s).

6.3. Policy Support - Membership fees

Amount

Estimated amount: 23 000 EUR

Description

To provide for the annual membership fees of Calp (the Cash Learning Partnership) and INEE (Inter-agency Network for Education in Emergencies).

Appendix 1
Allocations by actions in Euro

	14 03 01 Humanitarian Aid
Providing humanitarian aid to vulnerable people affected by natural disasters, man-made crises or exceptional situations or circumstances comparable to natural or man-made disasters, which have entailed or are likely to continue entailing major loss of life, physical and psychological or social suffering or material damage.	EUR 1 757 344 650
Providing first initial response to cover the immediate needs of the most vulnerable in the days after a large scale emergency or a sudden onset humanitarian crisis as well as humanitarian assistance for response and disaster preparedness to populations affected by disasters where a small scale response is adequate and to populations affected by epidemic outbreaks; Supporting strategies and complementing existing strategies that enable local communities and institutions to better prepare for, mitigate and respond adequately to natural disasters by enhancing their capacities to cope and respond, thereby increasing resilience and reducing vulnerability.	EUR 150 000 000
Increasing awareness, understanding of and support for humanitarian issues, especially in Europe and in third countries where the Union is funding major humanitarian operations through public awareness and information campaigns.	EUR 1 650 000
Improving the conditions for delivering humanitarian aid by supporting transport services to ensure that aid is accessible to beneficiaries, including by means of medical evacuation of humanitarian staff where the unavailability of such transport services could adversely affect the timely and effective provision of assistance to beneficiaries.	EUR 14 800 000
Increasing the coherence, quality and effectiveness of humanitarian aid through e.g. the development of innovative approaches, methodologies and tools, and the support to capacity building, coordination and preparedness.	EUR 7 138 995
	14 03 02 Disaster Preparedness
Supporting strategies and complementing existing strategies that enable local communities and institutions to better prepare for, mitigate and respond adequately to natural by enhancing their capacities to cope and respond, thereby increasing early response, resilience to shocks and reducing vulnerability.	EUR 71 000 000
Enhancing policy frameworks and partnerships in the field of Disaster Preparedness and Early Action, through the implementation of new and innovative approaches in regions/countries.	EUR 4 000 000

Appendix 2
Indicative allocations by regions/countries 2021 (in euros)

Budget overview:

Humanitarian aid budget allocated to actions -140301	1 792 680 446,43 EUR
Disaster preparedness budget - 140302	75 000 000,00 EUR
Operational Reserve	138 253 199,00 EUR
Total Budget	2 005 933 645,43 EUR

REGIONS/COUNTRIES	140301 Humanitarian aid	Countries with proposed humanitarian aid interventions at the outset	Countries without initial allocation	140302 Disaster prevention, disaster risk reduction and preparedness	Countries with proposed allocation for Disaster prevention, disaster risk reduction and preparedness	TOTAL
WEST AND CENTRAL AFRICA						
West Africa	EUR 100 532 000	Burkina Faso, Mali, Mauritania and Niger	Benin, Cabo Verde, Ivory Coast, the Gambia, Ghana, Guinea, Guinea Bissau, Liberia, Senegal, Sierra Leone and Togo	EUR 6 000 000	Burkina Faso, Mali, Mauritania and Niger	EUR 106 532 000
Central Africa	EUR 125 500 000	Chad, Cameroon, Central African Republic and Nigeria	Gabon, Equatorial Guinea, Sao Tomé and Principe	EUR 5 000 000	Chad, Cameroon and Nigeria	EUR 130 500 000
TOTAL WEST AND CENTRAL AFRICA	EUR 226 032 000			EUR 11 000 000		EUR 237 032 000
NORTH AFRICA						
North Africa	EUR 20 000 000	Algeria, Libya and Egypt	Morocco, Tunisia			EUR 20 000 000
TOTAL NORTH AFRICA	EUR 20 000 000			EUR 0		EUR 20 000 000
UPPER NILE BASIN, HORN of AFRICA, GREAT LAKES, SOUTHERN AFRICA, INDIAN OCEAN						
Upper Nile Basin	EUR 155 500 000	Sudan, South Sudan and Uganda		EUR 5 000 000	Uganda	EUR 160 500 000
Horn of Africa	EUR 146 200 000	Djibouti, Ethiopia, Kenya, Somalia	Eritrea	EUR 2 500 000	Ethiopia	EUR 148 700 000
Democratic Republic of Congo and Great Lakes region	EUR 68 500 000	Democratic Republic of Congo, Rwanda, Burundi, Tanzania	Angola, Republic of Congo, Zambia	EUR 4 000 000		EUR 72 500 000
Southern Africa and Indian Ocean	EUR 36 500 000	Lesotho, Madagascar, Malawi, Mozambique, and Zimbabwe	Botswana, Comoros Islands, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa and Zimbabwe	EUR 8 000 000	Botswana, Comoros Islands, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa and Zimbabwe	EUR 44 500 000
TOTAL UPPER NILE BASIN, HORN of AFRICA, GREAT LAKES, SOUTHERN AFRICA, INDIAN OCEAN	EUR 406 700 000			EUR 19 500 000		EUR 426 200 000
MIDDLE EAST						
Palestine*	EUR 32 080 000	Palestine		EUR 1 700 000	Palestine	EUR 33 780 000
Iraq crisis	EUR 28 500 000	Iraq			Iraq	EUR 28 500 000
Syria regional crisis	EUR 202 500 000	Syria, Lebanon and Jordan				EUR 202 500 000
Yemen	EUR 132 500 000	Yemen		EUR 1 500 000	Yemen	EUR 134 000 000
TOTAL MIDDLE EAST	EUR 395 580 000			EUR 3 200 000		EUR 398 780 000
TURKEY						
Turkey	EUR 199 643 796	Turkey				EUR 199 643 796
TOTAL TURKEY	EUR 199 643 796			EUR 0		EUR 199 643 796

* This designation shall not be construed as recognition of a State of Palestine and is without prejudice to the individual positions of the Member States on this issue.

REGIONS/COUNTRIES	140301 Humanitarian aid	Countries with proposed humanitarian aid interventions at the outset	Countries without initial allocation	140302 Disaster prevention, disaster risk reduction and preparedness	Countries with proposed allocation for Disaster prevention, disaster risk reduction and preparedness	TOTAL
UKRAINE, WESTERN BALKANS AND CAUCASUS						
Ukraine & Eastern Neighbourhood	EUR 45 600 000	Ukraine, Balkans, Bosnia and Herzegovina	Caucasus	EUR 1 300 000		EUR 46 900 000
TOTAL UKRAINE, WESTERN BALKANS AND CAUCASUS	EUR 45 600 000			EUR 1 300 000		EUR 46 900 000
SOUTH ASIA & PACIFIC						
South-West and Central Asia	EUR 147 535 655	Afghanistan / Iran, Pakistan	Tajikistan, Uzbekistan, Kazakhstan, Turkmenistan, Kyrgyzstan	EUR 3 000 000		EUR 150 535 655
South, East, South-East Asia and the Pacific	EUR 50 500 000	Bangladesh, Myanmar, Philippines	South Asia (India, Nepal, Bhutan, Sri Lanka and Maldives), East and South- East Asia (ASEAN Member States, Timor Leste, China, Mongolia and DPRK), Pacific region including OCT.	EUR 16 500 000	Bangladesh, Philippines, Nepal, Myanmar, Regional South-East Asia	EUR 67 000 000
TOTAL SOUTH ASIA & PACIFIC	EUR 198 035 655			EUR 19 500 000		EUR 217 535 655
CENTRAL & SOUTH AMERICA, CARIBBEAN						
Central & South America, Caribbean	EUR 127 500 000	El Salvador, Guatemala, Honduras, Nicaragua, Colombia, Venezuela	Caribbean countries – in particular Haiti and including OCT; Other Central American countries (Panama Costa Rica, Belize), Mexico; South American countries	EUR 16 500 000	Haiti, Regional Caribbean including OCT, Central America (El Salvador, Guatemala, Honduras, Nicaragua) including Regional Central America; South America (including among others - Bolivia, Ecuador, Paraguay, Peru) as well as Regional South America and Colombia	EUR 144 000 000
TOTAL CENTRAL & SOUTH AMERICA, CARIBBEAN	EUR 127 500 000			EUR 16 500 000		EUR 144 000 000
WORLDWIDE						
Response to sudden onset emergencies	EUR 150 000 000	ALERT, Disaster Relief Emergency Fund (DREF) and Forecast-based Action (FbA), Epidemics and Small Scale Response				EUR 150 000 000
ECHO FLIGHT	EUR 14 800 000					EUR 14 800 000
TOTAL WORLDWIDE ACTIONS	EUR 164 800 000			EUR 0		EUR 164 800 000
COMPLEMENTARY OPERATIONS						
Policy Support toolbox	EUR 7 138 995			EUR 4 000 000		EUR 11 138 995
Public awareness, Information and Communication	EUR 1 650 000					EUR 1 650 000
TOTAL COMPLEMENTARY OPERATIONS	EUR 8 788 995			EUR 4 000 000		EUR 12 788 995
OPERATIONAL RESERVE (OR)						
OPERATIONAL RESERVE (OR)	EUR 138 253 199					EUR 138 253 199
TOTAL	EUR 1 930 933 645			EUR 75 000 000		EUR 2 005 933 645