

## TECHNICAL ANNEX

### EMERGENCY TOOLBOX

#### FINANCIAL, ADMINISTRATIVE AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2022/01000 and the General Conditions of the Agreement with the European Commission shall take precedence over the provisions in this document.

The activities proposed hereafter are subject to any terms and conditions that may be included in the related Humanitarian Implementation Plan (HIP).

#### 1. CONTACTS

Operational Unit in charge                      DG ECHO<sup>1</sup> A/1  
Contact persons at HQ                              **Desk Officer for the Emergency Toolbox**  
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#### 2. FINANCIAL INFO

Indicative Allocation<sup>2</sup>: EUR 42 000 000

Breakdown per Actions as per Worldwide Decision (in euro):

##### Action (b) Initial emergency response/small-scale/epidemics

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• Epidemics Tool	EUR 4 100 000
• Small-scale Tool	EUR 2 900 000
• Acute Large Emergency Response Tool	EUR 21 500 000
• DREF	EUR 8 000 000
• Emergency response reserve	EUR 0
• EHRC	EUR 5 500 000

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Total:	EUR 42 000 000
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<sup>1</sup> Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO)

<sup>2</sup> The Commission reserves the right not to award all or part of the funds made or to be made available under the HIP to which this Annex relates, or to allocate part of the funding to interventions with a regional or multi-country approach.

### 3. PROPOSAL ASSESSMENT

a) Co-financing:

Under the EU Financial Regulation, grants must involve co-financing; as a result, the resources necessary to carry out the action must not be provided entirely by the grant. An action may only be financed in full by the grant where this is essential for it to be carried out. In such a case, justification must be provided in the Single Form (section 10.4).

b) Financial support to third parties (implementing partners)

Pursuant to Art. 204 FR, for the implementation of actions under this HIP, partners may provide financial support to third parties, e.g. implementing partners. This financial support can only exceed EUR 60 000 if the objectives of the action would otherwise be impossible or excessively difficult to achieve. Such situations can occur 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 partner would rely on other members of the network. In such cases, justification must be provided in the Single Form.

c) Alternative arrangements

In case of country or crisis-specific issues or unforeseeable circumstances, which arise during the implementation of the action, the Commission (DG ECHO) may issue specific ad-hoc instructions which partners must follow. Partners may also introduce via the Single Form duly justified requests for alternative arrangements to be agreed by the Commission (DG ECHO) in accordance with Annex 5 to the Grant Agreement.

d) Field office costs

Costs for use of the field office during the action are eligible and may be declared as unit cost according to usual cost accounting practices, if they fulfil the general eligibility conditions for such unit costs and the amount per unit is calculated:

- i. using the actual costs for the field office recorded in the beneficiary's accounts, attributed at the rate of office use and excluding any cost which are ineligible or already included in other budget categories; the actual costs may be adjusted on the basis of budgeted or estimated elements, if they are

relevant for calculating the costs, reasonable and correspond to objective and verifiable information

and

- ii. according to usual cost accounting practices which are applied in a consistent manner, based on objective criteria, regardless of the source of funding.

- e) Actions embedded in multiannual strategies

Funding under this HIP may be used to finance actions implemented in the framework of multiannual strategies, as and when provided for in the HIP.

- f) Regional and multi-country actions

Regional/multi-country actions can be supported under this HIP (and where relevant in conjunction with other HIPs<sup>3</sup>), where they are proven more suitable/effective than country-based interventions to respond to identified needs, taking into account the operating context, the strategy and the priorities set out in the HIP (or respective HIPs), the operational guidelines provided in section 3.2.2. of this Annex, as well as the applicant organisation's capacities. The proposals should specify the breakdown between the different country allocations.

#### **4. ADMINISTRATIVE INFO**

For the Epidemics Tool, Small-scale Tool and ALERT, subsequent allocation rounds may take place as and when needs arise. The Commission reserves the right not to grant all the funds available.

##### **Epidemics Tool**

##### **Allocation round 1 (as of 28 November 2022)**

- a) Indicative amount: up to EUR 4 100 000
- b) Description of the humanitarian aid interventions relating to this allocation round: all interventions as described in the HIP.
- c) Costs will be eligible from the triggering event in 2022<sup>4</sup>. Actions may start from 01/01/2022.
- d) The expected initial duration for the Action may be up to 12 months.

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<sup>3</sup> For multi country actions falling under more than one HIP, partners are requested to submit only one proposal in APPEL. The single form should refer to the HIP that covers the majority of targeted countries.

<sup>4</sup> 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. In case of amendments to existing agreements, the eligible date will however be the eligible date set in the initial agreement.

- e) Potential partners: All DG ECHO Partners.
- f) Information to be provided: Single Form.<sup>5</sup>
- g) Proposals may be submitted throughout the year in response to specific epidemic outbreaks.

### **Small-scale Tool**

#### **Allocation round 1 (as of 28 November 2022)**

- a) Indicative amount: up to EUR 2 900 000. Up to EUR 500 000 per agreement.
- b) Description of the humanitarian aid interventions relating to this allocation round: all interventions considering needs and respecting criteria described in the HIP.
- c) Costs will be eligible from the triggering event in 2022<sup>6</sup>. Actions may start from 01/01/2022.
- d) The expected initial duration for the Action may be up to 12 months.
- e) Potential partners: All DG ECHO Partners.
- f) Information to be provided: Single Form<sup>7</sup>.
- g) Proposals may be submitted throughout the year in response to specific events.

### **Acute and Large Emergency Response Tool - ALERT**

#### **Allocation round 1 (as of 28 November 2022)**

- a) Indicative amount: up to EUR 21 500 000.
- b) Description of the humanitarian aid interventions relating to this allocation round: all interventions considering needs and respecting criteria described in the HIP.
- c) Costs will be eligible from the triggering event in 2022<sup>8</sup>. Actions may start from 01/01/2022.
- d) The expected initial duration for the Action is up to 6 months.
- e) Potential partners: All DG ECHO Partners. Partners must have the capacity to respond immediately in the affected area. Partners must have the capacity in terms of structure, personnel and financial means, to respond effectively and immediately to the emergency on the scale required.

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<sup>5</sup> Single Forms will be submitted to DG ECHO using APPEL.

<sup>6</sup> 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.

<sup>7</sup> Single Forms will be submitted to DG ECHO using APPEL.

<sup>8</sup> 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.

- f) Information to be provided: Single Form<sup>9</sup>.
- g) Proposals may be submitted throughout the year in response to specific events.

### **Support to the IFRC Disaster Relief Emergency Fund (DREF)**

#### **Allocation round 1**

- a) Indicative amount: up to EUR 8 000 000.<sup>10</sup>
- b) Description of the humanitarian aid interventions relating to this allocation round: all interventions as described in the HIP.
- c) Costs will be eligible from 01/01/2022<sup>11</sup>. Actions may start from 01/01/2022.
- d) The expected initial duration of the Action is up to 18 months.
- e) Potential partners: Preselected partner is the International Federation of Red Cross and Crescent Societies (IFRC).
- f) Information to be provided: Single Form.<sup>12</sup>

### **Emergency response reserve (ERR)**

#### **Allocation round 1 (as of 13 September 2022)**

- Transfer of EUR 1.5M to the HIP ‘South & East Asia and Pacific’, EUR 13M to the HIP ‘Afghanistan, Pakistan, Iran and Central Asia’ and the remaining EUR 34M to the Operational Reserve.
  - Transfer of EUR 2M to ‘Upper Nile Basin ECHO/-AF/BUD/2022/91000’ on 29/07/2022;
  - Transfer of EUR 9M to ‘Southern Africa ECHO/-SF/BUD/2022/91000’ on 28/4/2022;
  - transfer of EUR 48.5 M to ‘Ukraine’, ‘Latin America and the Caribbean’ and ‘Southern Africa and Indian Ocean’ HIPs on 24/2/2022 for EUR 45M, EUR 1.5M and EUR 2M respectively;
  - transfer of EUR 10 million to ‘South, East, South-East Asia and the Pacific’ HIP on 21/1/2022:
- a) Indicative amount: EUR 0

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<sup>9</sup> Single Forms will be submitted to DG ECHO using APPEL.

<sup>10</sup> DG ECHO funding to the DREF can be used to replenish the allocations made to individual DREF operations with a maximum amount of EUR 200 000 per operation. Up to 20% of the overall contribution may be used to support the IFRC's Forecast-based Action by the DREF.

<sup>11</sup> 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. In case of amendments to existing agreements, the eligible date will however be the eligible date set in the initial agreement.

<sup>12</sup> Single Forms will be submitted to DG ECHO using APPEL.

- b) Description of the humanitarian aid interventions relating to this allocation round: all interventions described in the HIP
- c) Costs will be eligible from from the triggering event in 2022<sup>13</sup>. Actions may start from 01/01/2022.
- d) The expected initial duration of the Action is up to 24 months.
- e) Potential partners: all DG ECHO partners
- f) Information to be provided: Single Form
- g) Proposals may be submitted throughout the year in response to specific events.

### **European Humanitarian Response Capacity (EHRC)**

#### **Allocation round 1**

- a) Indicative amount: up to EUR 5 500 000.
- b) Description of the humanitarian aid interventions relating to this allocation round: creation and management of stockpiles of emergency relief items.
- c) Costs will be eligible from 01/01/2022<sup>14</sup>. Actions may start from 01/01/2022.
- d) The expected initial duration of the Action is up to 24 months.
- e) Potential partners: Preselected partner are the International Federation of Red Cross and Red Crescent Societies (IFRC) and the World Food Programme (WFP), due to their unique role and added value in the management of global stockpiles of emergency relief items.
- f) Information to be provided: Single Form.<sup>15</sup>

Subsequent rounds may take place as and when needs arise.

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<sup>13</sup> 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. In case of amendments to existing agreements, the eligible date will however be the eligible date set in the initial agreement.

<sup>14</sup> 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. In case of amendments to existing agreements, the eligible date will however be the eligible date set in the initial agreement.

<sup>15</sup> Single Forms will be submitted to DG ECHO using APPEL.

#### **4.1. Operational requirements:**

##### *4.1.1. Assessment criteria:*

- 1) Relevance
  - How relevant is the proposed intervention and its compliance with the objectives of the HIP?
  - Has the joint needs assessment been used for the proposed intervention (if existing)?
  - Has the proposed intervention been coordinated with other relevant humanitarian actors?
- 2) Capacity and expertise
  - Does the partner, with its implementing partners, have sufficient expertise (country / region and / or technical)?
  - How good is the partner's local capacity / ability to develop local capacity?
- 3) Methodology and feasibility
  - Quality of the proposed response strategy, including intervention logic / logframe, output & outcome indicators, risks and challenges.
  - Feasibility, including security and access constraints.
  - Quality of the monitoring arrangements.
- 4) Coordination and relevant post-intervention elements
  - Extent to which the proposed intervention is to be implemented in coordination with other humanitarian actors and actions (including, where relevant, the use of single interoperable registries of beneficiaries).
  - Extent to which the proposed intervention contribute to resilience and sustainability.
- 5) Cost-effectiveness/efficiency/transparency
  - Does the proposed intervention display an appropriate relationship between the resources to employed, the activities to be undertaken and the objectives to be achieved?
  - Is the breakdown of costs sufficiently documented/explained?<sup>16</sup>

No award will be made to NGO partner organisations which have not complied with their obligations concerning the submission of audited financial statements (i.e. which would not have submitted those in due time to the Commission without a proper justification) or which would appear not to offer sufficient guarantee as to their financial capacity to implement the proposed actions (in light of their liquidity and independency ratios as

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<sup>16</sup> In accordance with the relevant section of the Single Form guidelines (section10)

appearing from their latest available annual statutory accounts certified by an approved external auditor).