

TECHNICAL ANNEX

ENHANCED RESPONSE CAPACITY

FINANCIAL, ADMINISTRATIVE AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2023/01000 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 ¹ /C1 (Humanitarian Aid Thematic Policies unit)
Contact persons at HQ	Alice Soukupova, alice.soukupova@ec.europa.eu Joanna Darmanin, joanna.darmanin@ec.europa.eu James Carey, james.carey@ec.europa.eu (on Innovative Financing) Richard Kneller, richard.kneller@ec.europa.eu (on Innovative Technical Approaches to Humanitarian Logistics) Mark Bennun, mark.bennun@ec.europa.eu (on the disaster preparedness budget line) Alba Bosch, alba.bosch@ec.europa.eu (on the pilot Programmatic Partnerships)

2. FINANCIAL INFO

Indicative Allocation²: EUR 34 500 000.

Indicative breakdown per Actions as per Worldwide Decision (in euros)³:

¹ Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO).

² 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 For flexibility and fast responsiveness purposes, this breakdown can be adjusted within certain limits based on newly arising needs.

Country(ies)	Action (a) Man-made crises and natural hazards	Action (b) Initial emergency response/small-scale/epidemics	Action (c) Disaster Preparedness ⁴	Actions (d) to (f) Transport / Complementary activities	TOTAL
GLOBAL				21 000 000	21 000 000
Global pilot PPs			1 500 000	12 000 000	13 500 000

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

⁴ Additional funding from the disaster preparedness budget line and the details of the envisaged response will be announced in a modification to this HIP and its technical annex later in 2023.

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 HIPs⁵), 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 4.1.2. 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

Allocation round 1 – Innovative Technological Approaches to Humanitarian Logistics

- a) Indicative amount: up to EUR 1 000 000.
- b) Through this first allocation round, up to EUR 1 000 000 will be allocated to projects fitting under the priority "Innovative Technological Approaches to Humanitarian Logistics". Project proposals should offer innovative

⁵ 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.

technological approaches, such as technologies to support delivery of aid, and share information about supply chains, e.g. digitalisation of the supply chain and/or provision of tools to humanitarian organisations to accelerate digitalisation of their supply chains in a concrete way. They should be able to demonstrate a meaningful impact at the programmatic and operational level and have scope for broad adoption.

- c) Costs will be eligible from 01/01/2023⁶.
- d) The initial duration for the Action may be up to 24 months or more⁷ provided that the added value of a multi-annual duration is demonstrated by the partner⁸. Education in Emergencies actions do not need further justification and should have an initial duration of at least 24 months. For Disaster Preparedness, justification is needed only for particularly volatile context. Follow-up actions, which continue/extend ongoing operations financed under a previous Humanitarian Implementation Plan, can be submitted as modification requests with a view to extending the ongoing action for a total of up to 48 months. Actions that are extended further to modification requests can be funded under a maximum of three successive Humanitarian Implementation Plans. The same approach may also be used to the extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point e) of section 2 above)⁹.
- e) Potential partners¹⁰: All DG ECHO Partners.
- f) Information to be provided: Single Form or Modifications requests of ongoing actions¹¹.
- g) Indicative date for receipt of the above requested information: by 23/03/2023¹².

Allocation round 2 – Contribution to pilot Programmatic Partnerships (year 2)

- a) Indicative amount: up to EUR 13 500 000.
- b) Costs will be eligible from 01/01/2023¹³.

⁶ 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.

⁷ Maximum duration of an action is 48 months.

⁸ See the factsheet on EU Humanitarian Aid Multi-Year Funding (November 2022) available on DGEcho WebSite (www.dgecho-partners-helpdesk.eu)

⁹ Additional guidance may be issued by DG ECHO in this respect, as appropriate.

¹⁰ Unless otherwise specified potential NGO partners refer to certified partner organisations.

¹¹ Single Forms will be submitted to DG ECHO using APPEL.

¹² The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/priorities are not covered by the received Single Forms.

¹³ 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

- c) The initial duration for the Action may be up to 24 months or more¹⁴ provided that the added value of a multi-annual duration is demonstrated by the partner¹⁵. Education in Emergencies actions do not need further justification and should have an initial duration of at least 24 months. For Disaster Preparedness, justification is needed only for particularly volatile context. Follow-up actions, which continue/extend ongoing operations financed under a previous Humanitarian Implementation Plan, can be submitted as modification requests with a view to extending the ongoing action for a total of up to 48 months. Actions that are extended further to modification requests can be funded under a maximum of three successive Humanitarian Implementation Plans. The same approach may also be used to the extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point e) of section 2 above)¹⁶.
- d) Preselected partners¹⁷: ICRC, IFRC and OCHA, given their respective specific mandates.

Up to EUR 10 000 000 are earmarked for support to the pilot Programmatic Partnership on the prevention of IHL violations (year 2), which will focus on the promotion and operationalisation of IHL. It will support ICRC prevention activities, ensuring a credible and trusted voice on IHL regarding states, non-state armed groups, partners and others.

For IFRC, the funding (up to EUR 1 500 000) will go towards the Disaster Preparedness component of the pilot Programmatic Partnership “Accelerating local action in humanitarian and health crises” (year 2), which focuses on six cross-cutting issues (anticipatory action, climate-smart programming, environmental sustainability, legal frameworks, digital transformation, National Society preparedness and response capacity strengthening).

For the year 2 of the pilot Programmatic Partnership with OCHA up to EUR 2 000 000 are reserved under this HIP to fund strategic-level support in selected, geographically un-earmarked priority area(s), complementing the field coordination support to OCHA funded under the respective geographic HIPs. The strategic-level support and the field coordination support will be mutually reinforcing. The concrete area(s) for strategic-level support under a possible pilot Programmatic Partnership will be jointly determined by DG ECHO and OCHA; potential areas could inter alia tentatively include e.g. Accountability to Affected Populations; Humanitarian Advocacy and Humanitarian Diplomacy; Humanitarian Civil-Military Coordination; Humanitarian leadership; and Coordinated Needs Assessments or other(s), as mutually agreed.

amendments to existing agreements, the eligible date will however be the eligible date set in the initial agreement.

¹⁴ Maximum duration of an action is 48 months.

¹⁵ See the factsheet on EU Humanitarian Aid Multi-Year Funding (November 2022) available on DGEcho WebSite (www.dgecho-partners-helpdesk.eu)

¹⁶ Additional guidance may be issued by DG ECHO in this respect, as appropriate.

¹⁷ Unless otherwise specified potential NGO partners refer to certified partner organisations.

- e) Information to be provided: Single Form or Modifications requests of ongoing actions¹⁸.

Allocation round 3

- a) Indicative amount: up to EUR 11 200 000.
- b) This allocation round will cover the priorities of the humanitarian aid budget line, excluding innovative financing and humanitarian logistics for which a different deadline was set. Up to 11 200 000 will be assigned to project proposals falling under the following priorities, as detailed under the HIP: international humanitarian law, localisation, gender-sensitive humanitarian assistance, forced displacement and support to the continued adaptation of the humanitarian system.
- c) Costs will be eligible from 01/01/2023¹⁹.
- d) The initial duration for the Action may be up to 24 months or more²⁰ provided that the added value of a multi-annual duration is demonstrated by the partner²¹. Education in Emergencies actions do not need further justification and should have an initial duration of at least 24 months. For Disaster Preparedness, justification is needed only for particularly volatile context. Follow-up actions, which continue/extend ongoing operations financed under a previous Humanitarian Implementation Plan, can be submitted as modification requests with a view to extending the ongoing action for a total of up to 48 months. Actions that are extended further to modification requests can be funded under a maximum of three successive Humanitarian Implementation Plans. The same approach may also be used to the extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point e) of section 2 above)²².
- e) Potential partners²³: All DG ECHO Partners. Regarding IHL monitoring, only NGO partners are invited to submit proposals.
- f) Information to be provided: Single Form or Modifications requests of ongoing actions²⁴.
- g) Indicative date for receipt of the above requested information: by 27/04/2023²⁵.

¹⁸ Single Forms will be submitted to DG ECHO using APPEL.

¹⁹ 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.

²⁰ Maximum duration of an action is 48 months.

²¹ See the factsheet on EU Humanitarian Aid Multi-Year Funding (November 2022) available on DGEcho WebSite (www.dgecho-partners-helpdesk.eu)

²² Additional guidance may be issued by DG ECHO in this respect, as appropriate.

²³ Unless otherwise specified potential NGO partners refer to certified partner organisations.

²⁴ Single Forms will be submitted to DG ECHO using APPEL.

Allocation round 4 – Innovative Financing

- a) Indicative amount: up to EUR 8 800 000.
- b) Through this allocation round, up to EUR 8 800 000 will be allocated to projects aiming at exploring how humanitarian grants may be used to catalyse financing from other sources to support investments that address humanitarian needs. Projects selected can be submitted by all DG ECHO partners, eligible International Financial Institutions (IFIs) or in partnership between the two.
- c) Costs will be eligible from 01/01/2023²⁶.
- d) The initial duration for the Action may be up to 24 months or more²⁷ provided that the added value of a multi-annual duration is demonstrated by the partner²⁸. Education in Emergencies actions do not need further justification and should have an initial duration of at least 24 months. For Disaster Preparedness, justification is needed only for particularly volatile context. Follow-up actions, which continue/extend ongoing operations financed under a previous Humanitarian Implementation Plan, can be submitted as modification requests with a view to extending the ongoing action for a total of up to 48 months. Actions that are extended further to modification requests can be funded under a maximum of three successive Humanitarian Implementation Plans. The same approach may also be used to the extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point e) of section 2 above)²⁹.
- e) Potential partners³⁰: All DG ECHO Partners as well as EU Member State bilateral institutions and eligible international financial institutions.
- f) Information to be provided: Single Form or Modifications requests of ongoing actions³¹.
- h) Indicative date for receipt of the above requested information: by 11/05/2023³².

²⁵ The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms.

²⁶ 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.

²⁷ Maximum duration of an action is 48 months.

²⁸ See the factsheet on EU Humanitarian Aid Multi-Year Funding (November 2022) available on DGEcho WebSite (www.dgecho-partners-helpdesk.eu)

²⁹ Additional guidance may be issued by DG ECHO in this respect, as appropriate.

³⁰ Unless otherwise specified potential NGO partners refer to certified partner organisations.

³¹ Single Forms will be submitted to DG ECHO using APPEL.

³² The Commission reserves the right to consider Single Forms transmitted after this date, especially in case certain needs/ priorities are not covered by the received Single Forms.

4.1. Operational requirements:

4.1.1. Assessment criteria:

- 1) Relevance
 - How relevant is the proposed intervention; is it compliant with the objectives of the HIP?
 - Has a joint needs assessment been used for the proposed intervention (if existing)? Have other recent and comprehensive needs assessments been used?
 - Has the proposed intervention been coordinated with other humanitarian actors?
- 2) Capacity and expertise
 - Does the partner, with its implementing partners, have sufficient expertise (country / region and / or technical)?
 - How does the partner contribute to developing/strengthening 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?³³

In case of actions ongoing in the field, where DG ECHO is requested to fund the continuation thereof, a field visit may be conducted by DG ECHO field expert (TA) to determine the feasibility and quality of the follow-up action proposed.

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

³³ In accordance with the relevant section of the Single Form guidelines (section10)

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

4.1.2. Specific operational guidelines and operational assessment criteria:

This section outlines the specific operational guidelines that DG ECHO partners need to take into account in the design of humanitarian operations supported by DG ECHO. It also lists and explains the assessment criteria – based on those outlined in section 4.1.1 - that DG ECHO will apply in the specific context of the HIP to which this Technical Annex relates when assessing proposals submitted in response to the related HIP.

The HIP Policy Annex should be consulted in parallel.

Partners should submit together with the proposal an indicative medium to long-term financial overview which estimates the resource needs beyond the DG ECHO funding period, as relevant. This should include an outline of the options to cover these needs for example through contributions of participating partners, funding through other donors, or cost recovery. The partners are free to choose the most appropriate format of this indicative overview.

Initiatives should be of global and/or systemic scope and nature, i.e. geared towards capacity building benefitting the humanitarian system at large and/or all actors involved in humanitarian relief. This should be reflected in effectiveness of approach and intervention logic to achieve outcomes in terms of improved response capacity and sustainability of actions. Proposals should, to the extent relevant, also aim at fostering innovation in humanitarian response.

In terms of inclusiveness, DG ECHO seeks to encourage hybrid initiatives and coordination agreements, which involve a broad range of actors engaged in humanitarian response – for example the private sector, academia, scientific research, or regional organisations. This should ensure the broadest coverage of the given theme/sector and the potential uptake.

Open and effective knowledge sharing within and beyond the humanitarian sphere is considered primordial. In order to ensure the maximum reach and uptake, materials produced by the action should be shared on recognised, existing platforms. A concept to ensure ownership and accessibility of the material beyond the project duration should be elaborated. Proposals should also include a strong product dissemination and visibility strategy.

Proposals including a training component should include monitoring system with indicators for participants' reaction, learning and behaviour change according to the Kirkpatrick model or similar. Incorporating lessons learnt and good practice and building of a proactive sharing of lessons and evidence throughout and in follow up of the actions is also key.

Additional information will be required for blended finance projects. Partners are required to submit the blended finance annex to the Single Form – available on request from DG ECHO. This annex includes information concerning financial instrument used, investment logic and any repayment terms in the context of the project, as well as information on the benefit of taking a blended finance approach over a traditional grant-based approach.

Projects will be subject to a monitoring mission by DG ECHO staff at least once and, if applicable, in form of joint monitoring missions to field locations with headquarters representatives of partners organisations. As a donor, DG ECHO might become member or observer in project advisory boards or other governance fora, as appropriate.