

TECHNICAL ANNEX

EUROPEAN HUMANITARIAN 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 ECHO¹/A2

Contact persons at HQ

Functional EHRC mailbox

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2. FINANCIAL INFO

Indicative Allocation²: EUR 48 584 00 000.

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

Actions (d) to (f) - Transport / Complementary activities

EU Humanitarian Aid Flight	10 000 000
EU Humanitarian Air Bridge	26 584 000
Other Logistics Services and deployment of expertise	4 000 000
Stockpile	16 000 000
Total	56 584 000

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.

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.

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 HIPs⁴), 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

⁴ 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.

EU Humanitarian Aid Flight (EUHAF) - Allocation round 1

- a) Indicative amount: up to EUR 10 000 000. At the moment of the modification 2 of this HIP, DG ECHO has already contracted EUR 8 000 000.
- b) Description of the humanitarian aid interventions relating to this assessment round: To provide regular passenger and cargo transportation solution to humanitarian organizations, with a focus on regions where many EU funded projects are implemented, on deep field destinations, or on acute emergencies which require increased aerial support.
- c) Costs will be eligible from 1 January 2023 ⁵
- d) The initial duration for the Action may be up to 24 months. Follow-up actions, which continue/extend ongoing operations financed under the 2021-2027 Multi annual Financial Framework, can be submitted as modification requests for the ongoing action with a time extension of up to 24 months and a total duration of the modified action of up to 48 months. The same approach may also be used to the extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point 3e)⁶.
- e) Potential partners⁷: WFP Aviation due to its combination of humanitarian expertise and technical competence and high degree of specialization, as WFP Aviation:
 - possesses extensive knowledge, experience and capacity in the management of humanitarian air services;
 - has direct access to many air operators on short notice or through existing framework agreements;
 - has already set up or being able to set up at short notice operational bases in the regions or countries where need exists for humanitarian air transport services from which they can operate;
 - has a web-based booking system and IT tools able to provide statistics on flight performance, cargo and passengers;
 - ensures aircraft operators meet very high standards in terms of aviation safety, security and quality enabling the services to be provided in challenging humanitarian contexts. As a minimum, the partner will have to perform HQ and field bases audit of the aircraft operator safety, security and quality management in line with the relevant requirements set out by the International Civil Aviation Organization (ICAO) and UNAVSTADS rules and requirements.
- f) Information to be provided: Single Form or Modification requests of on-going actions ⁸.

⁵ 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.

⁶ Additional guidance may be issued by DG ECHO in this respect, as appropriate.

⁷ Unless otherwise specified potential NGO partners refer to certified partner organisations.

⁸ Single Forms will be submitted to DG ECHO using APPEL.

- g) Indicative date for receipt of the above requested information: from 1 January 2023 onwards.

EU Humanitarian Air Bridge - Allocation round 1

- a) Indicative amount: up to EUR 26 584 000.
- b) Description of the humanitarian aid interventions relating to this assessment round: International and in-country transport of cargo and passengers on an *ad hoc* basis. These operations are implemented when there is a gap in commercial options due to specific circumstances, when emergency transport is required for stockpiles or when humanitarian contexts require the pooling of cargo from several humanitarian organizations.
- c) Costs will be eligible from 1 January 2023
- d) The initial duration for the Action may be up to 24 months. Follow-up actions, which continue/extend ongoing operations financed under the 2021-2027 Multi annual Financial Framework, can be submitted as modification requests for the ongoing action with a time extension of up to 24 months and a total duration of the modified action of up to 48 months. The same approach may also be used to the extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point 3e)⁹.
- e) Implementation modality: Provision of humanitarian aid transport services from private sector or from DG ECHO partners: DG ECHO transport framework contract or DG ECHO partner selected for the stockpile activity (see below), in case of additional transportation requirements.
- f) Information to be provided: Service offer and contract; Single Form or Modification requests of on-going actions.¹⁰
- g) Indicative date for receipt of the above requested information: from 1 January 2023 onwards.

Other Common Logistics Services and deployment of expertise - Allocation round 1

- a) Indicative amount: up to EUR 4 000 000. At the moment of the modification 1 of the HIP, DG ECHO has already contracted an amount of EUR 2 000 000 to a humanitarian partner.
- b) Description of the humanitarian aid interventions relating to this assessment round: providing common logistical services to increase the efficiency and effectiveness of humanitarian logistics operations as a gap filling response to emergencies. These services refer to: humanitarian supply chain activities from warehousing to international and in-country transport of supplies, avoiding the duplication of existing initiatives; analytical capacities which could be used to assess the logistics situation; coordination and consolidation of humanitarian requests for cargo

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

¹⁰ Single Forms will be submitted to DG ECHO using APPEL.

transportations, notably for the EU HAB; deployment of specialized expertise in humanitarian contexts.

- c) Costs will be eligible from 1 January 2023.¹¹
- d) The initial duration for the Action may be up to 24 months, including for Actions on Disaster Preparedness. Follow-up actions, which continue/extend ongoing operations financed under the 2021-2027 Multi annual Financial Framework, can be submitted as modification requests for the ongoing action with a time extension of up to 24 months and a total duration of the modified action of up to 48 months. The same approach may also be used to the extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point 3e)¹².
- e) Implementation modality: Provision of humanitarian logistics and expertise services from private sector or from DG ECHO partners Information to be provided: Single Form or Modification requests of on-going actions.¹³
- f) Indicative date for receipt of the above requested information:¹⁴ by 31 January 2023.

Stockpile - Allocation round 1

- a) Indicative amount: up to EUR 16 000 000. At the moment of the modification 3 of the HIP, DG ECHO has already selected partners for the implementation of the stockpile strategy. The additional amount will be used to replenish ongoing actions.
- b) Description of the humanitarian aid interventions relating to this assessment round: procurement and replenishment of relief items to be stockpiled in specific locations, management of these stocks and dispatching them in response to crises. In addition to prepositioning, ad hoc procurement of specific relief items, to be directly deployed during a crisis.
- c) Costs will be eligible from 1 January 2023.¹⁵
- d) The initial duration for the Action may be up to 24 months, and Follow-up actions, which continue/extend ongoing operations financed under the 2021-2027 Multi annual Financial Framework, can be submitted as modification requests for the ongoing action with a time extension of up to 24 months and a total duration of the modified action of up to 48 months. The same approach may also be used to the

¹¹ 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.

¹² Additional guidance may be issued by DG ECHO in this respect, as appropriate.

¹³ Single Forms will be submitted to DG ECHO using APPEL.

¹⁴ 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.

¹⁵ 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.

extent appropriate in furtherance of any multiannual strategies provided for by the HIP (see point 3e)¹⁶.

- e) Implementation modality: Provision of humanitarian procurement services from private sector or from DG ECHO partners
- f) Information to be provided: Single Form or Modification requests of on-going actions.¹⁷
- g) Indicative date for receipt of the above requested information¹⁸: by 28 March 2023.

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).

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

¹⁷ Single Forms will be submitted to DG ECHO using APPEL.

¹⁸ 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.

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- Extent to which the proposed intervention contributes to resilience and sustainability.
- 5) Cost-effectiveness/efficiency/transparency
- Does the proposed intervention display an appropriate relationship between the resources to be employed, the activities to be undertaken and the objectives to be achieved?
 - Is the breakdown of costs sufficiently documented/explained?¹⁹

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 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.

Regarding **logistics (meaning the entire supply chain)**, DG ECHO will support strategic solutions such as shared and / or common services, joint procurement, etc. if their cost-efficiency and benefit in increasing effectiveness and timeliness of the response is demonstrated, in line with DG ECHO’s Humanitarian Logistics Policy. DG ECHO also encourages the application of the Humanitarian Logistics Policy more widely, in particular the key considerations set out in Annex 1: Framework for Operations.

As mentioned in the HIP, all actions implemented as part of EHRC will have to respect three main features:

- **Gap-filling:** The EHRC aims at filling clearly identified operational humanitarian gaps. The identification of gaps will be done by DG ECHO using the several tools at its disposal (ERCC, field offices, lessons learnt, partners). Requests for the activation of the EHRC can be sent by any humanitarian partner to DG ECHO (using the functional mailbox mentioned in the contact section of this document).
- **EU steer:** The EHRC is directly steered by the Commission, hence its involvement in the governance of the actions financed under this HIP is crucial so as to ensure the management of the resources to be made available to humanitarian operators by

¹⁹ In accordance with the relevant section of the Single Form guidelines (section10)

EHRC partners. The decision to use one or more of the resources developed under this HIP, will be taken by DG ECHO, in case of public contracts. EHRC operations to be implemented by means of grants or HACAs are expected to set up a governance structure ensuring the appropriate involvement of DG ECHO in the decision to deploy. Partners will have to detail in the Single Form, or in a separate annex, the specific operational governance model applicable to the action.

- **Visibility of the EU:** The EHRC focuses on activities that promote EU-led humanitarian action (possibly in partnership with EU Member States). Any EHRC activity, either directly procured by the Commission or implemented through a humanitarian partner, will have to be attributable to the European Commission. Communication and visibility for emergency support actions under the EHRC aim to: (i) highlight the role of the EU as humanitarian actor; (ii) raise awareness among the European public and public in the affected Country about EU humanitarian operations worldwide and (iii) foster continued strong support for the EU's coordinated response to global emergencies and new developments in protracted crises among key stakeholders.

The visibility and communication requirements follow the same principles as the guidance given to humanitarian aid partner organisations receiving EU funding. More details are available on the partners' portal of DG ECHO (<https://www.dgecho-partners-helpdesk.eu/reference-documents-visibility>), which includes also the multilingual source files of the official emblems.

For any EHRC operation, the Commission will be in charge of coordinating and ensuring appropriate communication. The Commission may decide to run its own media actions, such as press conferences and journalist field visits, or own communication campaign.

Stockpile consignees, Member States, destination countries and other partners who are taking part in/benefitting of EHRC operations are encouraged to support DG ECHO in raising public awareness on the EHRC and the use of the EU budget. Some examples include:

1. A series of high-resolution photographs (minimum 4-5) and, whenever possible, video footage, of the stockpile mobilisation and air bridge operations (departure and/or arrival and discharge of the cargo, stockpiling, distribution, etc.), with a clearly recognisable visual EU branding (e.g., EU stickers on the delivered material, EU emblems on the airplane, staff uniforms when applicable, EU flags, etc.)
2. Promotion of the EHRC operations on owned social media channels. DG ECHO's central and related regional social media accounts should be tagged (@eu_echo for Twitter and Instagram; @ec.humanitarian.aid for Facebook). However, in any social media communication, DG ECHO should always be referred to as *the EU* or *the European Union*.
3. When applicable, a press announcement of the EHRC activation to the partner's media list/national media in the related Member State and/or destination country.

Concerning the **use of the stockpiles**, DG ECHO will undertake a preparatory assessment per region, identifying the partners that might be requested to become consignees in case

of deployment of the stocks. Not exclusively, the criteria to consider last mile delivery and distribution partners will be:

- Partner located as close as possible to beneficiaries (preferably not requiring an intermediary) with on the ground presence and established network.
- Partner with an ongoing grant/contribution agreement, in the target geographical area, and implementing a compatible action.
- Additionally, if possible, already implementing the ALERT or other funding triggered by the disaster. For these cases, specific standard clauses to the funding agreement should be included to specify how the EHRC stock would be used and reported upon.
- Possibility to apply crisis modifiers due to ongoing projects in the country.

The pre-identified distributing partner(s) in the country of operation will be contacted by the ECHO field team, to confirm their capacity to deliver the last-mile transportation and distribution. The partner(s) will present ECHO with an estimated informal proposal for the local transportation and distribution operations.

The assessment of the informal proposal will be done conjointly by ECHO A2, ECHO country office, and ECHO geographical unit. At this stage, the most appropriate funding solution will be identified among the following possible options:

- If the partner has an ongoing contract where a Crisis Modifier is present, this could be activated according to the established procedures related to the Crisis Modifier.
- In absence of a Crisis Modifier, the partner will be able to use the flexibility offered by the existing budget. A modification request should be processed in absence of a result that could be directly linked to the distribution activity.
- Ad hoc new grant: this remains a possibility, which will however require more time to negotiate and finalize.

The transfer of stocks with the partner organization will be recorded in the grant agreement/HACA, mentioned above. This in-kind contribution will be recorded as contribution “from a third party”.

Climate change adaptation and environmental considerations

Adapting responses to climate change as well as reducing environmental degradation are highly relevant in partners’ interventions. Such actions also contribute to the European Commission’s overall implementation of the European Green Deal²⁰.

All partners are expected to include context-specific measures to reduce the environmental footprint of the proposed actions, while preserving their effectiveness, in compliance with the minimum environmental requirements set out in the DG ECHO Environmental Guidance for humanitarian projects²¹.

²⁰ https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal_en

²¹ <https://www.dgecho-partners-helpdesk.eu/download/referencedocumentfile/272>

The HIP Policy Annex should be consulted in parallel.