

TECHNICAL ANNEX**IRAQ****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 /C4
Contact persons at HQ	Team Leader: Marco CAPURRO (Marco.Capurro@ec.europa.eu) Desk Officer: Jacopo LOMBARDI (Jacopo.Lombardi@ec.europa.eu)
in the field	Head of Office: Christophe RELTIEN (Christophe.Reltien@echofield.eu) Technical expert: Kenneth GRANT (Kenneth.Grant@echofield.eu) Head of Regional Office: Yorgos KAPRANIS (Yorgos.Kapranis@echofield.eu)

2. FINANCIAL INFO

Indicative Allocation²: EUR 17.000.000 of which an indicative amount of EUR 2.500.000 for Education in Emergencies.

In line with DG ECHO's commitment under the Grand Bargain initiative, pilot Programmatic Partnerships have been launched in 2020, 2021 and 2022 with a limited number of partners. New Programmatic Partnerships could be signed in 2023³. Part of

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 More information can be found in the 'Guidance to Partners – DG ECHO Programmatic partnerships 2023' <https://www.dgecho-partners-helpdesk.eu/ngo/humanitarian-partnership-2021-2027/programmatic-partnership>

the allocation of this HIP could therefore also be attributed to these new Programmatic Partnerships.

Indicative breakdown per Actions as per Worldwide Decision (in euros) ⁴:

Country(ies)	Action (a) Man-made crises and natural hazards	Action (b) Initial emergency response/small-scale/epidemics	Action (c) Disaster Preparedness	Actions (d) to (f) Transport / Complementary activities	TOTAL
IRAQ	17.000.000				17.000.000

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.

⁴ 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 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 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.

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.

4. ADMINISTRATIVE INFO

Allocation round 1

- a) Indicative amount: up to EUR 17 000 000
- b) Costs will be eligible from 01/01/2023⁶
- c) The initial duration for the Action may be up to 24 months, including for Actions on Education in Emergencies, Disaster Preparedness, and for pilot Programmatic Partnerships for 12 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 3 e)⁷. Education in Emergencies actions should have an initial duration of at least 24 months unless there is a need or context-based justification for a shorter duration.
- d) Potential partners⁸: All DG ECHO Partners. For this round, DG ECHO strongly recommends partners consortia approach.
- e) Information to be provided: Single Form ⁹
- f) Indicative date for receipt of the above requested information: by 21/01/2023¹⁰

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)? Have other recent and comprehensive needs assessments been used?
 - Has the proposed intervention been coordinated with other relevant humanitarian actors?

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

⁸ Unless otherwise specified potential NGO partners refer to certified partner organisations.

⁹ Single Forms will be submitted to DG ECHO using APPEL.

¹⁰ 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.

- 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 contributes 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?¹¹

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 3.2.1 - that

¹¹ In accordance with the relevant section of the Single Form guidelines (section10)

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.

For **Education in Emergencies actions**, priority will be given to funding projects which target at least 50 % of girls, unless there is a context-based justification for different targeting.

For cash in education projects, attention should be paid to sustainability of the interventions and, when possible, linkages to longer-term livelihood solutions.

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 Deal¹².

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 projects¹³.

The HIP Policy Annex should be consulted in parallel.

4.1.2.1. Country-Specific Priorities

In 2023, DG ECHO intervention strategy will continue to focus on (i) displaced persons living in under-served camp settings and informal settlements unable to or prevented from returning to their areas of origin, (ii) persons with specific protection concerns, especially those who lack access to identity and civil documentation and are excluded from access to public services and social protection, and (iii) persons deprived of their liberty. DG ECHO encourages all interventions to focus on supporting local integration/reintegration and re-establishing access to governmental services for the target beneficiary caseload.

DG ECHO expects all partners – irrespective of their specific sector – to include **protection mainstreaming** considerations into their actions. DG ECHO suggests the use at key objective indicator (KOI) level, of a [protection mainstreaming indicator](#) that can help partners monitor the systematic inclusion of protection mainstreaming elements and identify corrective measures. Note that protection mainstreaming considerations are

¹² https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal_en

¹³ https://civil-protection-humanitarian-aid.ec.europa.eu/what/humanitarian-aid/climate-change-and-environment_en

complementary to all Age and Gender considerations (including the Gender and Age Marker considerations and analysis).

All partners are expected to conduct a protection risk analysis at the proposal stage. If the partner cannot do a risk analysis at proposal stage, this should be done as soon as possible. Risk analysis change with contextual changes and, as such, it is also expected that partners do follow up of new or changing risks in their areas of operation.

Advocacy on behalf of particular groups or situations, for example female-headed households or IS affiliated populations is encouraged for partners that work directly with these groups and can provide robust advocacy initiatives and plans.

Transfer Modality: Modality choice should be informed by a needs-based response and risk analysis, incorporating joint and timely market analysis, operational and environmental analyses. The use of cash should systematically be considered, across the variety of response mechanisms (anticipatory action, rapid response mechanisms, emergency responses, crisis modifiers, and shock-responsive social protection) funded by DG ECHO. All cash interventions should comply with DG ECHO's cash thematic policy, including the sector-specific considerations in Annexe3 of that document.

DG ECHO promotes a common system and/or coordinated programming approaches to reduce fragmentation and avoid duplication and parallel ways of working. This includes better operational coordination, coordinated approaches to vulnerability-based targeting, data interoperability (which respects data protection requirements) to facilitate deduplication and referrals, a common payment mechanism, a common feedback mechanism and a common results framework. DG ECHO will systematically assess the cost-efficiency of different modalities, using the Total Cost to Transfer Ratio (TCTR), alongside the analysis of effectiveness.

DG ECHO promotes, wherever appropriate, a single multipurpose cash (MPC) payment to meet recurrent basic needs. The value of cash assistance should be adequate to cover or contribute to emergency basic needs and should be complemented by other relevant sectoral interventions which cannot be met through cash. Cash assistance should be risk informed and targeted based on socio-economic vulnerability, and the protection concerns of individuals and groups.

The sectoral and multisectoral outcomes of cash programmes should be monitored against defined objectives in a consistent way. The monitoring of MPC interventions should comply with the cross-cutting and sector-specific Grand Bargain MPC outcome indicators. Multi-sectoral market analysis and monitoring should be ensured, in real time, to inform and adapt assistance, irrespective of the modality. In contexts of high inflation, partners should put in place sound trigger mechanisms to adapt assistance based on market monitoring data, and design programmes from the outset to anticipate potential inflationary shocks. DG ECHO maintains its commitment to providing cash, even in contexts of high inflation, provided that programming can be adequately adapted, in line with the Good Practice Review on cash in inflation/depreciation. Whenever duly justified, to cope with market price volatility, partners are encouraged to include contingencies to adapt the transfer value, increase coverage, and/or change to an alternative modality to preserve household purchasing power capacity.

Protection/Identity and Civil Documentation

While the number of displacement-affected Iraqis missing documentation has reduced as a result of concerted interventions by a range of actors, the complexity of residual caseloads as well as significant bureaucratic and administrative barriers continue to pose challenges that require both the continuation of targeted assistance (i.e., legal case management) as well as concerted advocacy at the highest levels. This is particularly true for populations with perceived affiliation, for whom the process of securing documentation has only become more challenging in recent years, as well as for women and female-headed households and IDPs unable to access Civil Affairs Directorates (CADs). Lack of identity and civil documentation results in a range of protection risks, such as deprivation of freedom of movement, arbitrary arrest and detention, and the exclusion of access to public services, such as healthcare, education and social security schemes. DG ECHO will prioritise protection activities aimed at supporting IDPs and IDP returnees to get identity and civil documentation.

DG ECHO will prioritise interventions aiming at enhancing access to identity and civil documentation in areas with a high concentration of complex cases through:

- Static and mobile provision of individual legal assistance, support and accompaniment throughout the administrative process and representation with relevant authorities (i.e., legal case management). This also includes coordinated support to authorities to counter bureaucratic inaccessibility of the current system (e.g., mobile missions or establishment of temporary offices). All proposals focusing on legal assistance should also include a component aimed at monitoring the impact of documentation on vulnerable individuals/HH, especially in terms of freedom of movement, access to public services, access to livelihood opportunities, achievement of durable solutions etc
- Support operational coordination platform amongst active protection partners to harmonise and consolidate protection interventions in connection with other relevant sectors and ensure adjusted high-level protection and rights advocacy.
- Evidence based advocacy at local and national level with relevant authorities to remove administrative, legal and political barriers to renew or issue the necessary identity and civil documentation and reintegrate this caseload into government systems. Advocacy efforts can also address authorities at local and national level to promote local integration and/or the right to return and reintegration for specific groups.

Considering the significant challenges and the length of administrative and legal procedures, DG ECHO recommends a timeframe of 24 months for actions on identity and civil documentation.

Considering the high vulnerability of IDPs and the wide range of protection threats they are exposed to, DG ECHO will continue to support a full package of protection services. Priority will be given to groups with specific vulnerabilities, including, but not limited to, women and children. Specific target groups could be survivors of violence, including but not limited to sexual and gender-based violence, persecution of minority groups, or people targeted and/or excluded due to their real or perceived affiliation with Islamic State.

DG ECHO will consider the following:

- Protection monitoring: the systematic collection and analysis of information to identify protection trends for populations of concern with the purpose of informing effective response as well as building evidence-based advocacy at different levels, i.e. strategic and operational. Protection monitoring activities should always be complemented by the direct or indirect provision of assistance to beneficiaries, most notably the provision of information on existing services and effective referrals for cases in need of specialised services.
- Direct provision of static and mobile protection assistance:
 - Addressing **Psychosocial** (PSS) needs remains a priority for DG ECHO: all partners must ensure that, as a minimum, Psychological First Aid is mainstreamed in their humanitarian actions. All proposals with a PSS component must 1) specify the level of service provision (level 1 – 3 IASC MHPSS pyramid) as well as the profile and capacities of staff 2) ensure availability of timely and effective referrals to specialized mental health services (level 4 IASC MHPSS pyramid) and 3) monitor the improvement of beneficiaries’ psychosocial well-being.
 - Case Management: partners are expected to develop/update localised multi-sector service mapping (ensuring quality of assistance is taken into account) as well as referral mechanisms. Priority will be given to actions focusing on ‘high risk’ cases. Technical supervision of case worker must be included.
 - In line with DG ECHO Cash Policy, the provision of cash to achieve protection outcomes will be considered only when 1) the causal link between cash transfers and protection outcomes is clearly outlined; 2) cash is part of a broader protection response (accompaniment, legal assistance and case management).
- Protection activities for people deprived of their liberty/in detention or living in settings with constrained environments. Detention activities will only be supported for partners with demonstrated institutional capacity, mandated access to detention facilities and prisons, and able to provide meaningful protection activities.

DG ECHO recommends protection programming to be linked with other types of intervention, including ECHO-funded MPCA/sector-related cash interventions. All intervention should include referral to other services/assistance, built upon solid area based service mapping to ensure safety and quality. The effectiveness of referrals should be monitored and challenges (e.g., discrimination and other access barriers etc.) be used for advocacy.

Access to Basic Needs

Despite the efforts to rebuild liberated areas and to re-establish security and government services over the last few years, many IDPs remain in displacement or are displaced secondarily following camp closures, while many returnees face challenges reintegrating and regaining access to public services. A multitude of factors can be at play: reluctance of local authorities to consider local integration of IDPs, including access to housing and public services in place of displacement; unwillingness or inability to return to place of origin due to insecurity, ethnic, tribal or other tensions and lack of economic means and

opportunities to reintegrate; and lack of identity and civil documentation, limiting freedom of movement and ability to access public services.

While some of these barriers to local integration, return and reintegration, and access to government services will be addressed through protection focused interventions, DG ECHO will consider supporting vulnerable IDPs to access their basic needs through Multi-Purpose Cash Assistance (MPCA).

DG ECHO will consider the following:

- MPCA to address basic needs for the complex caseload that lacks identity and civil documentation and therefore is excluded from benefiting from Iraqi Social Safety Net based on the Social Protection Law (Law 11 of 2014) and the Public Distribution System (PDS). This MPCA scheme shall be considered as a Transitional Social Safety Net.
- Actions proposing the implementation of such a Transitional Social Safety Net for this caseload need to be part of a more comprehensive response, supporting the issuance of identity and civil documentation, either by the same partner or within a consortium. This will allow for close coordination and linkages between the identity and civil documentation component and the Transitional Social Safety Net component.
- MPCA transfer should correspond to a percentage of the Minimum Expenditure Basket (MEB). DG ECHO will fund only part of the MEB to support the transition from humanitarian assistance to the national social safety net system. The percentage should be determined by the CWG in a coordinated way. Once the most vulnerable beneficiaries obtain their identity and civil documentation, support should be given to integrate them into the Iraqi Social Safety Net and exit from the humanitarian Transitional Social Safety Net.
- Humanitarian cash coordination will be vital as part of the newly development-led architecture for social protection and durable solutions. If needed, DG ECHO will consider supporting the humanitarian cash coordinator's role integrated in the new comprehensive structure.
- Amongst DG ECHO's partners, a special attention will be given to the technical agencies already engaged with the Government of Iraq to reform and modernize the social protection programmes targeting the most vulnerable people, including the IDPs.

Education in Emergencies (EIE)

To promote access to quality education for crisis-affected children, DG ECHO will continue to support EIE, with focus on camps and informal settlements. Evidence-based needs and gaps, together with efficiencies, considering resourcing that may be available from other sources, must be demonstrated. Support to formal education facilities and materials, and to school staff capacity may be considered, based on structured approaches; non-formal education will only be supported in cases with demonstrated no or almost no possibility of formal education. All actions must show relevance of targeting (with consideration of conflict sensitivity), effective education outcomes, and alignment with Education sector standards and frameworks. A sustainability/exit plan for activities, in coordination with the Ministry of Education and Working Group, must be presented. Complementing EIE with a protection component, such as support to access identity and

civil documentation, with demonstrated impact on access to certification in formal education, is to be considered.

To facilitate effective transition of the EIE sub-sector, support to coordination is encouraged. Examples include consultative elaboration and operationalisation of the transition strategy in Education, as applicable, based on lessons learned; and piloting, modelling of approaches for effective integration of relevant target groups with identified potential avenues for sustainability, scale, mainstreaming. Such proposals should demonstrate dialogue with the National Education Strategy, Multi-year Resilience Program, Humanitarian Response Plan and other relevant sector frameworks and stakeholders, with the aim to promote overall sector coherence.

Visibility and Communication

Partners must ensure, through adequate and proactive communication about EU-funded actions, that the public is aware of how the EU is helping and how funding is used, with the objective of fostering continued strong support for humanitarian aid among key stakeholders and the general public. Detailed information on DG ECHO's visibility requirements can be found in the 'Communication and Visibility Manual for European Union-funded Humanitarian Aid Actions'.

Standard visibility is a contractual obligation for all DG ECHO-funded projects. Partners must ensure EU visibility through the prominent display of the EU emblem with accompanying text on project sites, relief items and equipment, as specified in Section 12.1.A of the Single Form, as well as structured and proactive communication throughout the project duration with broad dissemination (press releases, social media, webpages, blogs, photos etc.), as specified in Section 12.1.B of the Single Form.

Partners with strong and ambitious communication ideas are encouraged to apply for above-standard visibility in addition to standard visibility. DG ECHO may provide additional funding should a partner wish to carry out communication actions such as elaborate audio-visual productions, journalist-visits, campaigns, exhibitions or other events with an important outreach to the European public and media. For above standard visibility, a separate communications plan, costed, with an estimated audience reach and timeline, must be submitted as an annex to the Single Form. The plan is to be first discussed with ECHO's Regional Information Officer (RIO) covering the region, and finally approved by DG ECHO's Communication Unit (ECHO.01) prior to contract signature.