

TECHNICAL ANNEX

EMERGENCY TOOLBOX

FINANCIAL, ADMINISTRATIVE, AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2024/01000 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 /A1
Contact person at HQ	Desk Officer for the Emergency Toolbox Svetlana Slavcheva svetlana.slavcheva@ec.europa.eu

2. FINANCIAL INFO

Indicative Allocation²: EUR 119 500 000

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

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

• Epidemics Tool	EUR	5 000 000
• Small-scale Tool	EUR	4 000 000
• Acute Large Emergency Response Tool	EUR	12 500 000
• DREF	EUR	8 000 000

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.

- Emergency response reserve EUR 95 000 000

Total:	EUR 124 500 000
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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)⁴.

b) Financial support to third parties (implementing partners)

Pursuant to Art. 204 Financial Regulation, for the implementation of actions under direct management 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. In such cases, justification must be provided in the Single Form (section 10.6) based on the following grounds: a limited number of non-profit NGOs have the capacity, skills or expertise required; there are only a limited number of organisations in the country of operation, or in the region(s) where the action takes place; in a confederation, family or network context, the partner would rely on other members of the confederation, family or network to ensure geographical coverage, while minimising costs and avoiding duplication.

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.

⁴ Single form guidelines: <https://www.dgecho-partners-helpdesk.eu/ngo/action-proposal/fill-in-the-single-form>

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 multi-annual strategies

Funding under this HIP may be used to finance actions implemented in the framework of multi-annual 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

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

- a) Indicative amount: up to EUR 5 000 000.
- b) Description of the humanitarian aid interventions relating to this assessment round: all interventions as described in the HIP.

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.

- c) Costs will be eligible from 01/01/2024⁶. Actions may start from 01/01/2024.
- d) The expected initial duration for the Action may be up to 12 months.
- e) Potential partners⁷: All DG ECHO Partners
- f) Information to be provided: Single Form or Modification requests of on-going actions⁸
- g) Proposals may be submitted throughout the year in response to specific epidemic outbreaks.

Small-scale Tool

Allocation round 1

- a) Indicative amount: up to EUR 4 000 000. Up to EUR 500 000 per agreement.
- b) Description of the humanitarian aid interventions relating to this assessment round: all interventions considering needs and respecting criteria described in the HIP.
- c) Costs will be eligible from 01/01/2024⁹.
- d) The expected initial duration for the Action may be up to 12 months.
- e) Potential partners¹⁰: All DG ECHO Partners
- f) Information to be provided: Single Form or Modification requests of on-going actions¹¹
- g) Proposals may be submitted throughout the year in response to specific events.

Acute and Large Emergency Response Tool – ALERT

Allocation round 1

- a) Indicative amount: up to EUR 12 500 000.

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

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

9 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.

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

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

- b) Description of the humanitarian aid interventions relating to this assessment round: all interventions considering needs and respecting criteria described in the HIP.
- c) Costs will be eligible from 01/01/2024¹².
- d) The expected initial duration for the Action may be up to 6 months.
- e) Potential partners¹³: All DG ECHO Partners. Partners must have the capacity to respond effectively and immediately to the emergency on the scale required in terms of structure, personnel, and financial means.
- f) Information to be provided: Single Form or Modification requests of on-going actions¹⁴
- g) Proposals may be submitted throughout the year in response to specific events.

Support to the IFRC Disaster Response Emergency Fund (DREF)

Allocation round 1

- a) Indicative amount: up to EUR 8 000 000.
- b) Description of the humanitarian aid interventions relating to this assessment round: all interventions as described in the HIP.
- c) Costs will be eligible from 01/01//2024¹⁵.
- d) The expected initial duration for the Action may be 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.

Emergency response reserve

Allocation round 1

- a) Indicative amount: EUR 95 000 000.
- b) Description of the humanitarian aid interventions relating to this allocation round: all interventions described in the HIP

12 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.

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

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

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.

- c) Costs will be eligible from 01/01/2024¹⁶.
- 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.

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)? How have the local partners been included in the needs assessment efforts? Have other recent and comprehensive needs assessments been used?
 - Has the proposed intervention been coordinated with other humanitarian actors and local and national actors?
- 2) Capacity and expertise (including in support to the localisation approach)
 - 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.
 - Quality of the proposed localisation approach, and measures taken to minimise the transfer of risks.
- 4) Coordination and relevant post-intervention elements
 - Extent to which the proposed intervention is building on ongoing local response and in coordination with other humanitarian actors and actions (including, where relevant, the use of single interoperable registries of beneficiaries).

16 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 to which the proposed intervention contributes to resilience and sustainability, including the sustainability of locally driven responses.
- 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, including the information on percentage of funding to be implemented by local actors and the share of overhead costs transferred to them?¹⁷

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).

All awards made using EU Funds must respect the Conditionality Measures¹⁸ issued under any Council Implementing Decision adopted in accordance with Article 6 of EU Regulation 2020/2092 on a general regime of conditionality for the protection of the Union budget¹⁹ (“Conditionality Decision”).

The Commission hereby notifies applicants under this HIP/TA of the following Conditionality Decision (valid at the date of publication of this HIP/TA):

¹⁷ In accordance with the relevant section of the Single Form guidelines (section10)

¹⁸ Conditionality Measures against a Concerned Entity, may, for example, include, amongst others, the requirement to: suspend payments or the implementation of the legal commitment to/with the Concerned Entity; and/or terminate the legal commitment with the Concerned Entity; and/or prohibit entering into new legal commitments with the Concerned Entity. Conditionality Decisions and Measures issued under Council Implementing Decisions may impact the implementation of grants, contributions and procurement contracts awarded, as the Commission is required to ensure the application of these Conditionality Decisions and Measures in the implementation of the EU budget via both direct and indirect management.

¹⁹ Regulation (EU, Euratom) 2020/2092 of the European Parliament and of the Council of 16 December 2020 on a general regime of conditionality for the protection of the Union budget OJ L 433I , 22.12.2020, p. 1–10

- **Council Implementing Decision (EU) 2022/2506 of 15 December 2022 on measures for the protection of the Union budget against breaches of the principles of the rule of law in Hungary²⁰.**

This Conditionality Decision, in particular its Article 2.2, prohibits legal commitments under direct and indirect management with any public interest trust established by Hungarian Act IX of 2021²¹, including those entities listed in Annex I to Hungarian Act IX of 2021²² and other affiliated entities maintained by them (“Concerned Entities”). The Commission will further notify when the above-mentioned Conditionality Measures are lifted.

4.1.2. Specific operational guidelines and operational assessment criteria:

This section outlines the specific operational guidelines that DG ECHO partners need to consider 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.

In line with the DG ECHO guidance on localisation²³, and unless duly justified, DG ECHO will expect that proposals are based on partnerships with local actors, including through the participation and leadership of local and national actors in the project cycle, giving them space in the governance process, allocating an appropriate share of funding to local partners. In case of proposals of similar quality and focus, DG ECHO will give priority to proposals where at least 25% of DG ECHO’s contribution will be spent on activities implemented by local and national actors. DG ECHO also expects partners to provide an adequate share of overhead cost to their local implementing partners. In addition, DG ECHO will prioritise proposals where the locally led action constitutes a central element and which are designed bottom up, and where DG ECHO partners provide relevant support to local partners’ response (technical training, institutional support, peer learning).

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.

The majority of organisations’ environmental footprint comes from their logistics/supply chains, and as such these offer an opportunity to minimise environmental impacts²⁴.

²⁰ OJ L 325, 20.12.2022, p. 94–109

²¹ Act IX of 2021 on public interest trust foundations with a public service mission (entry into force 01/01/2023).

²² Available (in Hungarian) at: <https://njt.hu/jogszabaly/2021-9-00-00>

²³ Preference should be given to procurement, distribution, and use of environmentally sustainable items, reducing and optimising secondary and tertiary packaging, avoiding procuring single-use items, and favouring products with greater durability and high recycled content.

Preference should be given to procurement, distribution, and use of environmentally sustainable items, reducing and optimising secondary and tertiary packaging, avoiding procuring single-use items, and favouring products with greater durability and high recycled content.

For Education in Emergencies actions, priority will be given to funding projects which target at least 50 % girls, unless there is a context-based justification for different targeting. For cash in education projects, particular attention should be paid to sustainability of the interventions and, when possible, linkages to longer-term livelihood solutions.

Where assistance is to be delivered in the form of cash transfers, particular attention will be paid to the principles laid down in DG ECHO's cash thematic policy²⁵, which will form the basis for the assessment and selection of partners. Partners will be expected to demonstrate a satisfactory efficiency ratio and should ensure that it is maintained throughout the action, unless otherwise approved by DG ECHO. To the extent possible and considering the operational context, partners will be assessed on their ability to work based on common targeting criteria, single or interoperable beneficiary registries, a single payment mechanism, a common feedback mechanism and a common results framework. The large-scale cash guidance note (Annex 1 of the cash thematic policy) includes specific considerations for large-scale cash transfers: segregation of functions, cost-efficiency (including indirect costs), and full transparency on the costs to calculate the efficiency ratio.

Specific implementation of the following elements in the proposal should be demonstrated as appropriate:

- Mainstreaming of protection, gender, age and disability inclusion based on a comprehensive needs and risk analysis
- Strategies for effective prevention of and response to Gender Based Violence (GBV);
- Strategies for effective prevention of and response to Sexual Exploitation, Abuse and Harassment (SEAH), including adequate and victim/survivor-centred response approaches and reporting channels

Environmental considerations

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 DG ECHO's Guidance on the

²⁵ https://ec.europa.eu/echo/files/policies/sectoral/thematic_policy_document_no_3_cash_transfers_en.pdf

operationalisation of the Minimum Environmental Requirements and Recommendations for EU-funded humanitarian aid operations²⁶.

The minimum environmental requirements should be applied through a ‘mainstreaming’ approach with environmental impacts mitigated across sectors, projects and programmes with the aim to consider the environment holistically when designing and implementing actions. The requirements will apply to all sectors with special attention on mitigating the negative environmental impacts in protracted, chronic situations.

European Humanitarian Response Capacity (EHRC)

DG ECHO can decide on the activation of the EHRC should operational and logistical gaps emerge. The use of the EHRC support is described in the relevant EHRC Humanitarian Implementation Plan and its Technical Annex.

Under this HIP, DG ECHO can propose directly to one or more partners to receive and be in charge of the distribution of emergency relief items or hosting an EHRC humanitarian expertise. The choice of the partner will be taken by DG ECHO based on a set of criteria, such as presence in the affected area, and experience. The EHRC inputs will be part of the partner’s response action and will, where relevant, be included in existing grant agreements.

The HIP Policy Annex should be consulted in parallel.

²⁶ https://civil-protection-humanitarian-aid.ec.europa.eu/what/humanitarian-aid/climate-change-and-environment_en