

## TECHNICAL ANNEX

### YEMEN

#### FINANCIAL, ADMINISTRATIVE AND OPERATIONAL INFORMATION

The provisions of the financing decision ECHO/WWD/BUD/2018/01000 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 which may be included in the related Humanitarian Implementation Plan (HIP).

#### 1. CONTACTS

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#### 2. FINANCIAL INFO

Indicative Allocation: EUR 127 595 000 (of which an indicative minimum amount of EUR 1 000 000 for Education in Emergencies).

Breakdown as per Worldwide Decision:

Specific Objective 1 - Man-made crises:	HA-FA:	EUR	125 595 000
Specific Objective 4 - DIPECHO	Dis. Prep.:	EUR	2 000 000
Total:	HA-FA:	EUR	127 595 000

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<sup>1</sup> Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO)

### 3. PROPOSAL ASSESSMENT

#### 3.1. Administrative info

##### Allocation round 1

- a) Indicative amount: up to EUR 64 400 000
- b) Costs will be eligible from 01/01/2018 - Actions will start from 01/01/2018
- a) The initial duration for the Action is 12 months and up to 24 months for Education in Emergencies and Disaster Preparedness Actions
- b) Potential partners<sup>2</sup>: All DG ECHO Partners and the following preselected partner: ICRC (in view of its comprehensive presence in all countries in the region combined with its multi-sectoral intervention capacity and presence in the field, notably with respect to protection, ICRC has been pre-selected to run a Grand Bargain related regional pilot project).  
  
Priority will be given to partners with demonstrated presence and operational capacity in Yemen
- c) Information to be provided: Single Form<sup>3</sup>
- d) Indicative date for receipt of the above requested information: by 25/01/2018<sup>4</sup>

##### Allocation round 2

- a) Indicative amount: up to EUR 3 600 000.
- b) Costs will be eligible from 01/01/2018 - Actions can start from 01/01/2018.
- c) The duration for the Action can be up to 24 months.
- d) Potential partners - Preselected partners.  
Given their specific mandate in protection and promotion of International Humanitarian Law, DG ECHO may support the Office of the United Nations High Commissioner for Human Rights (OHCHR) and Geneva Call.  
Additionally, DG ECHO may support UNICEF in the implementation of an epidemics Disaster Preparedness action given its role as WASH Cluster Coordinator.  
Due to the deteriorating situation ECHO may also support partners with a specific capacity in Education in Emergencies.

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<sup>2</sup> For British applicants (non-governmental organisations): Please be aware that you must comply with the requirement of establishment in an EU Member State for the entire duration of the grants awarded under this HIP. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding or be required to leave the project on the basis of Article 15 of the grant agreement.

<sup>3</sup> Single Forms will be submitted to ECHO using APPEL.

<sup>4</sup> 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.

- e) Information to be provided: Single Form<sup>3</sup>.
- f) Indicative date for receipt of the above requested information: by 15/07/2018

### **Allocation round 3**

- a) Indicative amount: up to EUR 50 000 000
- b) Costs will be eligible from 01/01/2018.
- c) The initial duration for the Action is 12 months and up to 24 months for Education in Emergencies and Disaster Preparedness Actions
- d) Potential partners<sup>5</sup>: All DG ECHO Partners  
Priority will be given to partners with demonstrated presence and operational capacity in Yemen.
- e) Proposals are expected to be coherent with priorities set in the HIP 2019.
- f) Information to be provided: Single Form<sup>6</sup>
- g) Indicative date for receipt of the above requested information: from today onwards.

### **Allocation round 4**

- e) Indicative amount: up to EUR 9 595 000
- f) Costs will be eligible from 01/01/2018.
- g) The initial duration for the Action is 12 months and up to 24 months for Education in Emergencies and Disaster Preparedness Actions
- h) Potential partners<sup>7</sup>: All DG ECHO Partners  
Priority will be given to partners with demonstrated presence and operational capacity in Yemen.
- h) Proposals are expected to be coherent with priorities set in the HIP 2019.
- i) Information to be provided: Single Form<sup>8</sup>

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<sup>5</sup> For UK based applicants (non-governmental organisations): Please be aware that you must comply with the requirement of establishment in an EU Member State for the entire duration of the grants awarded under this HIP. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding or be required to leave the project on the basis of Article 15 of the grant agreement.

<sup>6</sup> Single Forms will be submitted to ECHO using APPEL.

<sup>7</sup> For UK based applicants (non-governmental organisations): Please be aware that you must comply with the requirement of establishment in an EU Member State for the entire duration of the grants awarded under this HIP. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding or be required to leave the project on the basis of Article 15 of the grant agreement.

<sup>8</sup> Single Forms will be submitted to ECHO using APPEL.

- j) Indicative date for receipt of the above requested information: from today onwards.

### **3.2. Operational requirements:**

#### *3.2.1. Assessment criteria:*

Each action will be assessed against a set of criteria according to the specific context of intervention. These criteria include:

- Relevance to DG ECHO strategy and operational requirements;
- Quality of the needs assessment<sup>9</sup>
- Quality of the response strategy, including the relevance of the intervention and coverage;
- the logical framework, including robust and relevant output and outcome indicators;
- Feasibility;
- Implementation capacity and technical expertise; and
- Knowledge of the country/region.

Depending on the characteristics of the crisis, other elements are likely to be taken into account when assessing the proposals, such as:

- Security;
- Coordination;
- Access arrangements;
- Monitoring system;
- Sustainability, resilience, Linking Relief Rehabilitation and Development;
- Cost efficiency; or comparative advantage of the action or the partners.

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.

#### *3.2.2. Operational guidelines:*

This section outlines the general and specific operational guidelines which need to be taken into account by DG ECHO partners in the design of humanitarian operations supported by DG ECHO. Complementary information can be retrieved on these guidelines in the links provided below. Partners are invited to duly reflect the guidance provided in these documents in the preparation of their proposals to DG ECHO.

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<sup>9</sup> Partners are expected to contribute and use coordinated needs assessments on crisis and sector level in line with Grand Bargain commitments

### 3.2.2.1. General Guidelines

**The humanitarian principles** of humanity, neutrality, impartiality and independence, in line with the European Consensus on Humanitarian Aid, and strict adherence to a "**do no harm**" approach remain paramount.

**The safe and secure provision of aid:** The ability to safely deliver assistance to all areas must be preserved. DG ECHO requests its partners to include in the project proposal details on how safety and security of staff (including the staff of implementing partners) and assets is being considered as well as an analysis of threats and plans to mitigate and limit exposure to risks. DG ECHO or its partners can request the suspension of ongoing actions as a result of serious threats to the safety of staff.

**Accountability:** As the quality and robustness of any humanitarian aid operation lie first and foremost with the organisation that proposes it and will be responsible for its implementation in the field, attention is drawn to the fact that DG ECHO partners' accountability in this respect relate, *inter alia*, to the following aspects of Actions' design and implementation:

- The identification of the beneficiaries and of their needs through robust, comprehensive methods conducted in a coordinated manner with humanitarian partners on sector and crisis level<sup>10</sup>;
- Management and monitoring of operations, as properly facilitated by adequate systems in place;
- Monitoring and reporting on activities, outputs and outcomes, through robust indicators and the associated capacities to collect and analyse information;
- Identification and analysis of logistic and access constraints and risks, and the steps taken to address them.

**Local disaster response organisations** have had and continue to play an indispensable role in responding to the humanitarian needs. DG ECHO funds have and will be translated into services and assistance provided by local actors in the majority of cases. As such, DG ECHO will continue to ask for strategic partnerships of FPA/FAFA partners with local actors in line with the Grand Bargain commitments.

**Grand Bargain commitments:** DG ECHO and most of its main partners have signed up to the Grand Bargain, a set of commitments in line with current good practice and ongoing policy discussions seeking to bring about substantial changes in terms of aid efficiency. While many of the commitments require further ground work on a global level, progress can be made in 2018 already on a certain number of commitments. In addition to the commitments covered by specific section in this annex (cash,

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<sup>10</sup> See footnote related to the quality of needs assessment and the Grand bargain-related section below.

humanitarian-development nexus, localisation and accountability to affected populations), partners are expected to explore and propose concrete ways of implementing commitments such as multi-annual planning and reduced duplication and management costs (such as making use of technology and innovation to be more cost effective or providing clear, comparable cost structures).

**Innovation and the private sector:** Humanitarian emergencies are reaching unprecedented levels. Strengthening the capacity of humanitarian actors to respond to natural disasters and man-made crises in an effective and efficient manner is a priority. Innovation can play an important role in this respect. Harnessing the technological innovation, technical skills and expertise of the private sector and academia is determinant. Where it is in the interest of the action, and without prejudice to the applicable legal framework, DG ECHO encourages an increased involvement of a wide range of actors, including the local and international private sector, and the adoption of innovative solutions and approaches to optimising the efficiency and effectiveness of the humanitarian response.

**Cash-based assistance:** DG ECHO will support the most effective and efficient modality of providing assistance, whether it be cash, vouchers or in-kind assistance. However, in line with WHS commitments, DG ECHO will endeavour to increase cash-based interventions in the interests of cost efficiency and effectiveness gains. Partners should provide sufficient information on the reasons why a transfer modality is proposed and another one is excluded through a robust response analysis (see section below) Partners are encouraged to consider multipurpose cash transfers (MPCT) where assessments and response analysis demonstrates that multiple basic needs can be met through single cash transfers.

DG ECHO's Cash Guidance note covering the delivery of large-scale cash transfers applies when the delivery of cash at scale is envisaged. The Guidance note, as updated, will apply to 2018 HIPs.

**Strengthening coordination:** Partners should provide specific information on their active engagement in cluster/sector and inter-cluster/sector coordination: participation in coordination mechanisms at different levels, not only in terms of meetings but also in terms of coordinated field assessments and engagement in technical groups and joint planning activities. The partners should actively engage with the relevant local authorities and, when feasible and appropriate, stipulate co-ordination in Memoranda of Understanding. When appropriate, partners should endeavour to exchange views on issues of common interest with actors present in the field (e.g. EU, UN, AU missions, etc.). In certain circumstances, coordination and deconfliction with military actors might be necessary. This should be done in a way that does not endanger humanitarian actors or the humanitarian space, and without prejudice to the mandate and responsibilities of the actor concerned.

<http://ec.europa.eu/echo/en/what/humanitarian-aid/civil-military-relations>

**Preparedness for Response and Early Action:** As part of the commitment of DG ECHO to mainstream disaster preparedness in EU-funded humanitarian operations, the needs assessment presented in the Single Form should reflect, whenever relevant, the exposure to the range of hazards affecting people at the village/ community level (natural hazards and conflict related threats), the related vulnerability of the targeted population and their ability to cope. This analysis should also assess the likely impact of the humanitarian intervention on both immediate and future risks as well as the partner's institutional commitment to, and operational capability in, managing risk (technical competence in the relevant sectors of intervention). The Disaster Preparedness (DP) approach and related measures are relevant in all humanitarian sectors (WASH, nutrition, food assistance and livelihoods, health, protection, etc.), and should be systematically considered in hazard-prone contexts. Risk-informed programming across sectors should protect operations and beneficiaries from hazard and threats occurrence, and include contingency arrangements for additional or expanded activities that might be required. Information from early warning systems should be incorporated into programme decision making and design, even where the humanitarian operation is not the result of a specific hazard.

For targeted DP interventions, the information in the Single Form should clearly show that:

- all risks have been clearly identified, including their possible interactions;
- the intervention strengthens and promotes regional, national and local capacities for better preparedness and response at local level;
- the partner has an appropriate monitoring, evaluation and learning mechanism to ensure that evidence of the impact of the action and good practices are gathered and effectively disseminated;
- the action is justified by an explanation of the losses and suffering that will be avoided or reduced (and why this conclusion is valid);
- due consideration has been given to the integration of contingencies and preparedness arrangements (shock responsiveness) into planning to provide locally owned basic service delivery and social protection for vulnerable populations (e.g. for social, safety net programmes), notably in situations of protracted or recurrent crises;
- the use of EU Aid Volunteers in the DP intervention is envisaged or not and for what kind of tasks;
- in more fragile context, the development of national and local competencies for early action and locally owned Rapid/Emergency Response Mechanisms (ERMs) implemented by local actors should be considered. Actions to build local preparedness capabilities will include opportunities to apply and benefit from the resources and expertise held by the Union Civil Protection Mechanism (UCPM).

[http://ec.europa.eu/echo/files/policies/prevention\\_preparedness/DRR\\_thematic\\_policy\\_doc.pdf](http://ec.europa.eu/echo/files/policies/prevention_preparedness/DRR_thematic_policy_doc.pdf)

**Education in Emergencies (EiE):** DG ECHO will support education actions in emergencies including sudden onset emergencies, ongoing conflicts, natural disasters and ECHO/YEM/BUD/2018/91000

situations of displacement (IDP/Refugee). The objective of these EiE actions will be to prevent, reduce, mitigate and respond to emergency-related barriers to children's<sup>11</sup> education while ensuring inclusive and quality education<sup>12</sup>. EiE actions will respond to the multiple barriers (academic, financial, social, institutional, physical/infrastructural) that children face in accessing their education due to their experiences of the humanitarian situation. As such, EiE actions must be tailored to the different needs of children based on their age, gender and other specific circumstances including the specific impact of the emergency they face (e.g. unaccompanied minors, former child soldiers, and disabled children). DG ECHO EiE actions work towards three outcomes:

- **Outcome 1:** Children affected by humanitarian crises access to and learn in safe, quality and accredited primary and secondary education
- **Outcome 2:** Children affected by humanitarian crises learn life-saving and life-sustaining skills, are protected and have increased personal resilience
- **Outcome 3:** Education services are strengthened through preparedness, response and recovery interventions in line with the *INEE Minimum Standards for Education: Preparedness, Response, Recovery*<sup>13</sup>

DG ECHO's support to EiE will focus on non-formal and formal education in the context of primary and secondary levels of education. Non-formal education supports should, where possible, enable children to enter (or re-enter) the formal system. Early childhood development will be considered in specific circumstances where it is already embedded in formal education in a national system or where specific skill or protection needs are identified to enter primary school. Technical and vocational education and training (TVET) programmes are considered to fall outside of the scope of work for DG ECHO's EiE response.

Protection must be considered as both a core component and key outcome of EiE response. The provision of safe learning environments, psycho-social support and direct referral to child protection services will provide a protective environment for children impacted by emergency. The learning itself – in both formal and non-formal education actions – must provide relevant life-saving and life-sustaining skills and messages, including vital health, nutrition and hygiene information, HIV prevention, sexual- and reproductive health information and DRR training and awareness. In order to ensure safe and protective education, all actions supported by DG ECHO are expected to be designed

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<sup>11</sup> The Commission adheres to the UN Convention on the Rights of the Child that defines a 'child' as a person below the age of 18.

<sup>12</sup> The definition of quality education: Quality education is affordable, accessible, gender-sensitive and responds to diversity. It includes (1) a safe and inclusive learner-friendly environment; (2) competent and well-trained teachers who are knowledgeable in the subject matter and pedagogy; (3) an appropriate context-specific curriculum that is comprehensible and culturally, linguistically and socially relevant for the learners; (4) adequate and relevant materials for teaching and learning; (5) participatory methods of instruction and learning processes that respect the dignity of the learner; (6) appropriate class sizes and teacher-student ratios; and (7) an emphasis on recreation, play, sport and creative activities in addition to areas such as literacy, numeracy, and life skills. INEE. (2010). *Minimum Standards for Education: Preparedness, Response, Recovery*.

<sup>13</sup> Inter-Agency Network on Education in Emergencies (INEE) (2010): *Minimum Standards for Education: Preparedness, Response, Recovery*.



and implemented according to the principles of conflict sensitive education (CSE). EiE actions should reflect relevant legal frameworks for protection (International Humanitarian Law, International Human Rights Law and Refugee Law).

In order to ensure holistic response to the needs of children, it is encouraged that beyond child protection EiE actions are also linked with other life-saving humanitarian sectors, such as WASH, health and nutrition, whenever relevant and feasible.

EiE actions should be recognized as not distinct from long-term learning goals and as such also aim at strengthening the quality aspects of education, in particular the availability of and support to teachers through the recruitment and capacity development of facilitators and teachers.

Whenever relevant and supportive of safe, inclusive and quality education, DG ECHO will support innovative EiE solutions.

EiE actions should be conceived with a medium to long-term vision. This implies first and foremost that programmes be designed and implemented in a way that allows for the fullest and most rapid recovery of safe, inclusive and quality education services. At the same time, programmes must be aligned with development and/or government actors to ensure continuity of learning for affected children through proper transition planning. Therefore, in order to ensure continuity and alignment with both, the wider humanitarian and development context, EiE actions must be informed by any existing education sector framework as well as the inter-sectoral humanitarian response. Furthermore, in order to ensure coordination, harmonization and effective prioritization within the EiE response, partners implementing EiE actions supported by DG ECHO will be expected to participate in, and contribute to, national and/or sub-national sector coordination activities throughout the Humanitarian Programme Cycle. EiE actions should contribute to the strategic objectives of the education cluster/working group strategy (if one exists) and to any wider strategic sector objectives based on the humanitarian-development nexus.

All EiE actions funded by DG ECHO should adhere in their design and implementation to the [INEE Minimum Standards for Education: Preparedness, Response, Recovery](#), as well as the [IASC Minimum Standards for Child Protection](#).

[http://ec.europa.eu/echo/files/policies/sectoral/children\\_2008\\_Emergency\\_Crisis\\_Situations\\_en.pdf](http://ec.europa.eu/echo/files/policies/sectoral/children_2008_Emergency_Crisis_Situations_en.pdf)

**Gender-Age Mainstreaming:** Women, girls, boys, men of all ages are affected by crises in different ways and emergencies tend to change gender dynamics. Ensuring gender-age mainstreaming is therefore crucial to DG ECHO and an issue of quality programming. To this end, the needs and capacities of different gender and age groups among targeted populations must be adequately assessed and assistance must be adapted to ensure that equal access is granted and specific needs are addressed.

All project proposals/reports must demonstrate integration of gender and age in a coherent manner throughout the Single Form, including in the needs assessment and risk analysis, the logical framework, description of activities and the gender-age marker

section. Context-specific gender-sensitive needs assessments and gender analysis must be conducted to avoid vulnerability-related assumptions (e.g. women should not be considered the most vulnerable groups by default) and to ensure a more effective targeting. On the basis of the identified needs, practical examples of assistance adapted to the needs of different gender and age groups must also be provided in the Single Form. Actions targeting one specific gender and/or age group – particularly when one group is clearly more vulnerable than others – may in some instances be deemed necessary (e.g. unaccompanied children or adolescents): such actions should respond to a clear need that has been identified through a gender and age analysis and cannot be adequately addressed through mainstreaming. While assistance may specifically target one group, the participation of other groups may prove crucial for reaching the expected impact.

Notwithstanding the paragraph on *protection* on the next page, which should be read in conjunction, all humanitarian interventions funded by DG ECHO must take into consideration, together with other protection concerns, any risk of gender-based violence and develop and implement appropriate strategies to prevent such risks. Moreover, in line with its life-saving mandate, DG ECHO encourages the establishment of quality, comprehensive and safe GBV response services since the onset of emergencies. Further details are available in DG ECHO 2013 Gender policy.

[http://ec.europa.eu/echo/files/policies/sectoral/gender\\_thematic\\_policy\\_document\\_en.pdf](http://ec.europa.eu/echo/files/policies/sectoral/gender_thematic_policy_document_en.pdf)

The Gender-Age Marker is a tool that uses four criteria to assess how strongly DG ECHO funded humanitarian actions integrates gender and age consideration. More information about the marker and how it is applied are available in the Gender-Age Marker Toolkit:

[http://ec.europa.eu/echo/files/policies/sectoral/gender\\_age\\_marker\\_toolkit.pdf](http://ec.europa.eu/echo/files/policies/sectoral/gender_age_marker_toolkit.pdf).

[http://ec.europa.eu/echo/what/humanitarian-aid/gender-sensitive-aid\\_en](http://ec.europa.eu/echo/what/humanitarian-aid/gender-sensitive-aid_en)

**Integrated approaches:** Whenever possible, integrated approaches with multi- or cross-sectoral programming of responses in specific geographical areas are encouraged to maximize impact, synergies and cost-effectiveness. In contexts where it has been determined (see also response analysis below) that cash transfers are an appropriate modality, and that cash can meet multiple basic needs, partners are encouraged to transfer single payments using a common delivery platform. Multi-purpose cash transfers (MPCT) should be coordinated alongside other sector-specific responses within a basic needs approach, but fragmenting MPCT into sector clusters for coordination is not encouraged. MPCTs also offer the opportunity to conduct joined up assessments across sectors (including market analysis), common registration, targeting, and monitoring and evaluation frameworks. As far as possible, and in line with DG ECHO's Guidance on the delivery of large-scale cash transfers, support functions should be separated out from actual transfers in order to enhance efficiency, transparency and accountability. Partners are requested to provide information on how their actions are integrated with other actors present in the same area.

**Multi-year planning and funding:** In crises where it is appropriate to engage in multi-year interventions (i.e. 24 months and longer), actions should be grounded in a longer-term strategy including possible risks and contingencies that may occur over the

timeframe as well as exit scenarios and Linking Relief, Rehabilitation and Development. Project design should also be done in a more flexible manner, taking into account the longer duration and the possible changes in context that may occur during implementation.

**Protection:** All programme design and targeting should be based on a clear analysis of threats, vulnerabilities and capacities of the affected population and it is recommended to use the risk equation model as a tool to conduct this analysis.<sup>14</sup> The analysis should bring out external and internal threats to the target population as well as the coping strategies adopted to counteract the vulnerabilities arising from the threats. Protection responses must aim to prevent, reduce/mitigate and respond to the risks and consequences of violence, coercion, deliberate deprivation and abuse for persons, groups and communities in the context of humanitarian crises. Consideration of protection concerns is important in all contexts, but should, in particular, be reflected in any actions implemented in a displacement-hosting context (be it refugees or IDPs), in situations of conflict or in contexts where social exclusion is a known factor, and where considerations on inter-communal relationships are of utmost importance for the protection of the affected population.

The application of an **integrated protection programming approach** is highly encouraged. In this particular attention should be paid to addressing protection threats and vulnerabilities emanating from issues such as freedom of movement restrictions and the use of dangerous/negative coping mechanisms. For more information please consult the Guidance for Integrated Food Assistance and Protection Programming in the DG ECHO Humanitarian Protection Thematic Policy Document.<sup>15</sup>

While humanitarian assistance often focuses on community-level interventions, it is important to remember that, in order to fully address many protection issues, it is also necessary to consider the relevance and feasibility of advocacy (structural level) interventions aimed at (a) stopping the violations by perpetrators and/or (b) convincing the duty-bearers to fulfil their responsibilities.

Mainstreaming of basic protection principles in all programmes is of paramount importance to DG ECHO – no matter what sector or objective. While mainstreaming protection is closely linked to the 'do no harm' principle, it widens it to prioritising safety and dignity and avoiding causing harm, and ensuring meaningful access, accountability, participation and empowerment. All proposals must demonstrate integration of these principles in its substantive sections, i.e. the response strategy, the logic of the intervention, and the indicators.

To follow the principles of protection mainstreaming, targeting of humanitarian assistance should be done in a manner that takes into account the protection concerns of individuals and groups based on: A) the risk of exposure to harm, exploitation,

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<sup>14</sup> The model stipulates that Risks equals Threats multiplied by Vulnerabilities divided by Capacities, and the way to reduce risks is by reducing the threats and vulnerabilities and increasing the capacities

<sup>15</sup> See Annex 4 on p. 49 and forward of [http://ec.europa.eu/echo/sites/echo-site/files/staff\\_working\\_document\\_humanitarian\\_protection\\_052016.pdf](http://ec.europa.eu/echo/sites/echo-site/files/staff_working_document_humanitarian_protection_052016.pdf).

harassment, deprivation and abuse, in relation to identified threats; B) the inability to meet basic needs; C) limited access to basic services and livelihood/income opportunities; D) the ability of the person/population to cope with the consequences of this harm; and E) due consideration for individuals with specific needs. Particular attention must be paid to ensure that issues of social exclusion and discrimination are not overlooked, and that the specific needs of groups most often affected by this – people with disabilities, LGBTIs, and very marginalized social groups – are appropriately addressed in programme design and targeting. In line the Charter on Inclusion of Persons with Disabilities in Humanitarian Action, specific attention will be paid to the measures ensuring inclusiveness of people with disabilities in proposed actions.

[http://ec.europa.eu/echo/sites/echo-site/files/staff\\_working\\_document\\_humanitarian\\_protection\\_052016.pdf](http://ec.europa.eu/echo/sites/echo-site/files/staff_working_document_humanitarian_protection_052016.pdf)

**Resilience<sup>16</sup>:** DG ECHO's objective is to respond to the acute humanitarian needs of the most vulnerable and exposed people while taking opportunities to increase their **resilience** – to reduce on-going and future humanitarian needs and to assist a durable recovery. Where feasible, cost effective, and without compromising humanitarian principles, DG ECHO support will contribute to longer term strategies to build the capacities of the most vulnerable and address underlying reasons for their vulnerability – to all shocks and stresses.

All DG ECHO partners are expected to identify opportunities to reduce future risks to vulnerable people and to strengthen self-reliance through livelihoods and capacities. DG ECHO encourages its partners to develop their contextual risk and vulnerability analysis and to adapt their approach to the type of needs and opportunities identified. This requires partners to strengthen their engagement with government services (at all levels), development actors and with different sectors. In that regard, DG ECHO partners should indicate how they will increase ownership and capacity of local actors whenever possible: community mobilization, CSOs, technical dialogue, coordination and gradual transfer of responsibilities to countries' administration or relevant line ministries.

Preparedness for response and early action should be the main element of DG ECHO's contribution to resilience and to humanitarian-development nexus/Linking Relief, Rehabilitation and Development (LRRD) programming.

Good coordination and strategic complementarity between humanitarian and development activities (LRRD approach) are essential to the resilience approach, particularly in relation to: i) increasing interest of development partners and governments on nutrition issues; ii) seeking for more sustainable solutions for refugees (access to education, innovative approach toward strengthening self-resilience, etc.) and IDPs; iii) integrating disaster risk reduction into humanitarian interventions.

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<sup>16</sup> *Resilience opportunities differ according to context. However, these opportunities should be considered in all locations. HIPs, designed after consultation with partners, should explain broad resilience parameters and expectations of partners. DG ECHO partners are required to fill in the "Resilience Marker" in the e-Single Form. Four guiding questions are presented. For each of these questions, for example "does the proposal include an adequate analysis of shocks, stresses, and vulnerabilities," the technical annex should indicate expectations (i.e. what may be considered as adequate according to the situation).*

Where applicable, partners should reflect on applying resilience thinking and programming to (protracted) **forced displacement** situations so as to harness resilience and strengthen dignity and self-reliance of affected populations – refugees, IDPs and their host communities. Working towards the gradual socio-economic inclusion of forcibly displaced populations – focusing on access to employment opportunities and access to services – in protracted crises is a priority for DG ECHO, DEVCO, NEAR and the EEAS. This joined-up approach of different EU instruments, each under their mandate should be supported by DG ECHO-funded partners, in line with humanitarian principles. Where feasible, DG ECHO partners should consider the use of EU Aid Volunteers if the security conditions in the country allow.

Linking **social protection** and humanitarian action can bridge the development-humanitarian divide : scaling up social protection systems in response to shock and crisis has been identified as one of the core measures to enhance resilience and empower people, and most importantly to be able to react quickly and efficiently to disasters.

Access to predictable, adequate and regular aid can in the short-term protect poor households from the impacts of shocks and help to build capacity over time. The increasing profile on multi-purpose cash-based emergency response provides further momentum towards safety nets as a component of a wider social protection approach. Moreover, emergency safety nets can be incorporated as a cornerstone of self-reliance strategy for empowering the forcibly displaced and giving them support to address vulnerabilities.

Without compromising humanitarian principles, DG ECHO partners are expected to consider if it is appropriate to deliver humanitarian assistance through national social safety nets or if it is possible to use the humanitarian response as a window of opportunity to trigger investments in the development of "nascent" safety nets. The longer-term aim in such a scenario is to progressively move chronic humanitarian caseloads into social protection systems.

[http://ec.europa.eu/echo/files/policies/refugees-idp/Communication\\_Forced\\_Displacement\\_Development\\_2016.pdf](http://ec.europa.eu/echo/files/policies/refugees-idp/Communication_Forced_Displacement_Development_2016.pdf)

[http://ec.europa.eu/echo/files/policies/refugees-idp/Staff\\_working\\_document\\_Forced\\_Displacement\\_Development\\_2016.pdf](http://ec.europa.eu/echo/files/policies/refugees-idp/Staff_working_document_Forced_Displacement_Development_2016.pdf)

### **Resilience mainstreaming – The Resilience Marker**

Actions addressing the immediate needs of affected populations, however, can also present opportunities for strengthening resilience. DG ECHO's approach to resilience, and the intent of its Resilience Marker, is to ensure that these opportunities are used to the greatest extent possible without compromising humanitarian principles. Four steps are key to take these good practice opportunities in humanitarian programmes:

- Conduct an analysis of hazards, threats, vulnerabilities and their causes;
- Be risk-informed (i.e. ensure that activities do not aggravate risks or vulnerabilities, do no harm and are prepared for likely hazards and threats);
- Contribute to building local capacities so that the most vulnerable can cope better

with shocks; and

- Include a deliberate strategy to reduce future humanitarian needs.

The marker ensures a systematic consideration and inclusion of resilience considerations in project proposals, implementation and assessment. The marker is used for all DG ECHO projects apart from those that may be considered "Non-applicable" because of the urgency of context or the type of activity being conducted (e.g. capacity raising).

[http://ec.europa.eu/echo/files/policies/resilience/resilience\\_marker\\_guidance\\_en.pdf](http://ec.europa.eu/echo/files/policies/resilience/resilience_marker_guidance_en.pdf)

**Community-based approach:** In all sectors, interventions should adopt, wherever possible, a community-based approach in terms of defining viable options to effectively help increasing resilience and meeting basic needs among the most vulnerable. Community inclusion should be considered at all stages – design and implementation. Community ownership of the process is more effective and is encouraged. This includes the identification of critical needs as prioritised by the communities, and the transfer of appropriate knowledge and resources.

<http://ec.europa.eu/echo/en/what/humanitarian-aid/resilience>

**Response Analysis to Support Modality Selection for all Resource Transfers** is mandatory. DG ECHO will support the most effective and efficient modality of providing assistance, whether it be cash, vouchers or in-kind assistance. Partners should provide sufficient evidence to support the choice of one modality over another, taking into account all relevant contextual factors and including an analysis of the market situation in the affected area. For any type of transfer modality proposed, the partner should provide the minimum information as recommended in the '[Thematic Policy Document n° 3 - Cash and Vouchers: Increasing efficiency and effectiveness across all sectors](#)' and demonstrate that the modality proposed will be the most efficient and effective to reach the objective of the action proposed. Partners are encouraged to consider multipurpose cash transfers (MPCT) where assessments and response analysis demonstrates that multiple basic needs can be met through single cash transfers. In such approaches, the value of transfer would normally be based upon a Minimum Expenditure Basket (MEB), while taking account the contribution made by households, and available resources.

For in-kind transfers local purchases are encouraged when possible.

**DG ECHO Visibility:** Partners will be expected to ensure full compliance with **visibility** requirements and to acknowledge the funding role of and partnership with the EU/DG ECHO, as set out in the applicable contractual arrangements, namely the following:

- The communication and visibility provisions of the General Conditions annexed to the Framework Partnership Agreements (FPAs) concluded with non-governmental organisations or international organisations or in the General Conditions for

Delegation Agreements concluded in the framework of the Financial and Administrative Framework Agreement (FAFA) with the UN.

- Specific visibility requirements agreed-upon in the Single Form, forming an integral part of individual agreements:
  - Section 9.1.A, standard visibility in the field, including prominent display of the EU humanitarian aid visual identity on EU funded relief items and equipment; derogations are only possible where visibility activities may harm the implementation of the action or the safety of the staff of the partner, staff of the implementing partners, the safety of beneficiaries or the local community and provided that they have been explicitly agreed-upon in the individual agreements.
  - Section 9.1.B, standard visibility recognizing the EU funding through activities such as media outreach, social media engagement and provision of photos stories and blogs; every partner is expected to choose at least 4 out of 7 requirements. If no requirements are selected, a project-specific derogation based on security concerns is needed.
  - Section 9.2., above standard visibility: applicable if requested and if agreed with DG ECHO based on a dedicated communication plan prior to signature.

For standard visibility activities, partners may, in principle, allocate a budget of up to 0.5% of the direct eligible costs of the action with a ceiling of EUR 8 000. However, for individual agreements equal or above EUR 5 million no absolute ceiling applies. Hence, in such cases, the standard visibility budget may go up to 0.5%, even when this amount exceeds EUR 8 000. In the latter case, partners must provide an overview of planned visibility activities and a budget breakdown.

Further explanation of visibility requirements and reporting as well as best practices and examples can be consulted on the dedicated DG ECHO visibility site: <http://www.echo-visibility.eu/>.

### **Other Useful links to guidelines and policies:**

#### *Food Assistance*

<http://ec.europa.eu/echo/en/what/humanitarian-aid/food-assistance>

#### *Nutrition*

[http://ec.europa.eu/echo/files/media/publications/tpd04\\_nutrition\\_addressing\\_undernutrition\\_in\\_emergencies\\_en.pdf](http://ec.europa.eu/echo/files/media/publications/tpd04_nutrition_addressing_undernutrition_in_emergencies_en.pdf)

#### *Infant and Young Children Feeding in Emergencies (IYCF)*

[http://ec.europa.eu/echo/files/media/publications/2014/toolkit\\_nutrition\\_en.pdf](http://ec.europa.eu/echo/files/media/publications/2014/toolkit_nutrition_en.pdf)

#### *Health*

<http://ec.europa.eu/echo/en/what/humanitarian-aid/health>

#### *Remote Management*

[http://dgecho-partners-helpdesk.eu/actions\\_implementation/remote\\_management/start](http://dgecho-partners-helpdesk.eu/actions_implementation/remote_management/start)

#### *Water sanitation and hygiene*

[http://ec.europa.eu/echo/files/policies/sectoral/WASH\\_policy\\_doc\\_en.pdf](http://ec.europa.eu/echo/files/policies/sectoral/WASH_policy_doc_en.pdf)

*EU Aid volunteers*

[http://ec.europa.eu/echo/what/humanitarian-aid/eu-aid-volunteers\\_en](http://ec.europa.eu/echo/what/humanitarian-aid/eu-aid-volunteers_en)

[https://eacea.ec.europa.eu/eu-aid-volunteers\\_en](https://eacea.ec.europa.eu/eu-aid-volunteers_en)

*Shelter and Settlements*

[http://ec.europa.eu/echo/sites/echo-site/files/ss\\_consolidated\\_guidelines\\_final\\_version-20-02ev.pdf](http://ec.europa.eu/echo/sites/echo-site/files/ss_consolidated_guidelines_final_version-20-02ev.pdf)



### 3.2.2.2. Specific guidelines

#### **Envisaged DG ECHO response and expected results of humanitarian aid**

The proposed humanitarian response includes the following sectors of activity and expected outcome:

- **Food security:** Improve access to a basic food basket for severely food insecure households, especially families with malnourished children and IDPs, making use of the most appropriate transfer modality.

(Un)conditional cash transfers are encouraged whenever feasible; however, on the basis of local market, capacity assessment and anticipated impact, food vouchers and in-kind food distribution of a basic food basket may be considered. Food security interventions can be in support of nutrition interventions or part of a multi-sector response to displacement. Amounts of transfer and duration of assistance should be fully justified in proposed intervention, taking into account adequate prioritization of needs, capacities, as well as lessons learned from previous operations.

- **Nutrition:** Improve access to nutrition services for severely and moderately malnourished children under five (SAM and MAM) and pregnant and lactating women (PLW) with integrated access to specialized healthcare (IMCI, RH).

Priority activities include provision of nutrition supplies; running of therapeutic and supplementary feeding programs (CMAM, SCs, SFP) combined with IMCI and ANC/PNC, at health facilities and outreach programs; targeted IYCF and hygiene awareness campaigns. Integrated health-nutrition programs can be complemented by supporting WASH and/or FSL activities, either directly or in link with other projects.

Identification of functional referrals pathways and referral follow ups (access to secondary services, counter referral, patients follow-up) should be an integral part of any proposal. Adequate supply of nutrition supplies (including buffer stock) should be demonstrated.

- **Health:** Improve access to basic, quality essential life-saving and high-impact services, for the most vulnerable populations in needs.

The following health activities should be prioritized: comprehensive primary healthcare covering communicable diseases as well as mother and child care, emergency reproductive care, essential nutritional services (see above paragraph 'Nutrition'), emergency mental health support, and outbreak preparedness and response (via reinforcements on identification and notification, case management, support to early warning system). Might also be considered: postoperative and rehabilitation services for injured and war wounded, and comprehensive care for Sexual and Gender-Based Violence survivors (including clinical management of rape, as well as mental health support, and referral for psychosocial and legal support).

Activities include support to/or running of fixed primary health facilities and outreach programs, particularly in under-served areas. Direct support to secondary health services and structures will only be considered against life-saving, clearly identified coverage gaps of the existing health infrastructure. Infrastructure rehabilitation, maintenance and repair should be primarily left to longer-term interventions, or otherwise considered at a small scale and directly tied to the implementation of the health intervention.

Identification of functional referrals pathways and referral follow ups (access to secondary services, counter referral, patients follow-up) should be an integral part of any proposal. Adequate supply of medical supplies (including buffer stock) should be demonstrated.

- **WASH:** Ensure life is sustained and health is promoted through adequate access to safe water and sanitation, and through hygiene promotion.

WASH can be part of a multi-sector response to displacement or in support of health and nutrition interventions. Activities include provision of water supply and/or emergency rehabilitation of water supply where relevant for the delivery of health and nutrition programs; chlorination of water sources; hygiene promotion; and distribution of hygiene kits. Water testing will be integrated in all proposals dealing with water supply. A response based on water trucking should be envisaged as a last resort for reasons of cost effectiveness and sustained needs. The rationale for prioritizing this option compared to other modalities needs to be provided. WASH rehabilitation, maintenance and repair should be primarily left to longer-term interventions or otherwise considered at a small scale.

In preparedness and response to epidemics, WASH interventions should focus on disease prevention and contamination of the outbreak. WASH interventions should be support Infection, Prevention and Control (IPC) as part of the clinical case management response for outbreaks, as well as community-based response to support increased access to safe water and adequate sanitation coupled with improved hygiene practices aimed at prevention and contamination. Hotspot areas for disease outbreak should be prioritized for WASH interventions. The response and coordination efforts should focus and demonstrate holistic preventative measures, combined with Health and WASH interventions to achieve containment.

- **Non-Food Items (NFI)/Shelter:** Support dignified living conditions by ensuring the most vulnerable IDPs have their basic needs covered, through the provision of adequate shelter solutions and NFIs.

Distribution of NFIs and emergency shelter kits will primarily be considered for newly-displaced populations and other sudden events; they will also be considered for not-covered vulnerable households, but then not as a standalone intervention. Small-scale enhancement of semi-permanent shelter and enhancement of collective centers may also be considered for displaced populations, preferably integrated in a broader intervention (i.e. not as a standalone intervention).

- **Protection:** Protect life, health and ensure respect and dignity for crisis-affected people.

DG ECHO will support actions related to protecting civilians, promoting and monitoring IHL, and conducting evidenced-based humanitarian advocacy. Protection can either be part of a multi-sector response or developed as a standalone intervention. Protection activities must be complemented with wider sectorial assistance providing people at risk integrated support. All proposals submitted to DG ECHO should be protection-sensitive.

Priority activities include monitoring and analysis protection trends, provision of protection assistance to victims of all kind of violence, abuse and exploitation, including case management, provision of legal assistance, psychosocial support, and referral to basic service providers (including for physical and mental health care). Protection activities should be children-sensitive, particularly towards Unaccompanied and Separated Children (UASC). Addressing psychosocial needs of children might be considered provided quality services and comprehensive referral pathways are ensured. Community-based approaches are encouraged, including activities aiming to increase self-protection capacities of communities affected by conflict/displacement, promoting cohesion with host communities, and supporting community-based protection committees. Identification of protection referral pathways and referral follow-up should be an integral part of any protection proposal.

On account of the degree of contamination by unexploded ordnances (UXOs) and its relation to protection and/or access to relief, DG ECHO will consider supporting Mine Action activities, including mine risk education, assistance to victims and related advocacy efforts (i.e. on the use of anti-personal mines and cluster munitions), either as a stand-alone activity or as part of an integrated approach. In the SingleForm, mine risk education activities should be built in as a separate education result.

- ***Education in Emergencies (EiE)***: Enable access to education for children currently out of school.

DG ECHO will support EiE projects in areas where the percentage of out-of-school children is particularly high and where there are grave protection concerns. An integrated approach with protection, psychosocial support and mine risk education will be privileged, aimed at helping children heal from their traumatic war experiences, as well as reintegration of children and youth into formal education schemes.

Aside from emergency response and operations addressing the needs of affected populations, DG ECHO will also support:

- ***Coordination***: Consolidate and expand the humanitarian coordination set up at geographical and sectoral levels, in view of enhancing complementarities, avoiding overlapping, and encourage compliance with sector recommendations (i.e. sector coordination platforms, civil-military coordination, qualitative and analytical data compilation, access mapping and negotiation). Support services to improve the effectiveness of the humanitarian response remain of high importance. Coordination capacities in clusters and joint needs assessments are paramount to ensure adequate complementarities and prioritization. Partners are actively encouraged to participate in humanitarian coordination clusters and feed

specific working groups (i.e. Access). Coordination with local authorities and stakeholders is also encouraged.

- **Logistics:** Support to a solid and responsive logistics system, notably in terms of transportation, in order to address the challenging environment for humanitarian staff and goods. Prevailing insecurity and the closure of Sana'a airport have generated the need to provide safe access into Yemen for an increasing number of international staff located in country, both by sea and air. DG ECHO will support effective transportation of humanitarian personnel by air and/or boat into Yemen.
- **Security and Safety:** Enhance security and safety of humanitarian personnel and direct beneficiaries. DG ECHO will support Yemen-based advisory and training interventions which are proven to be complementary to existing capacities (i.e. UNDSS and individual partners' expertise).

DG ECHO also encourages partners to integrate the below transversal components of humanitarian interventions:

- **Advocacy:** Promote evidence-based humanitarian analysis and identify key advocacy. Support and reinforce the quality of a principled humanitarian assistance. Strengthen the awareness and respect of IHL and basic human rights.

Humanitarian advocacy should be conducted by partners at all levels, particularly related to: underlining the scale and dynamics of the Yemen humanitarian crisis (i.e. evidencing trends and developments), promoting initiatives aimed at improving access and quality of humanitarian assistance, access negotiation, and promoting IHL/IHRL. Quality of information and data analysis are both critical. DG ECHO encourages coordinated and complementary approaches, as well as the proactive participation to key advocacy platforms (i.e. Access Working Group) and the development of informed advocacy papers.

- **Rapid Response Mechanism (RRM):** Consolidate the capacity of the humanitarian organisations for the coordinated provision of timely and adapted emergency response to sudden events such as new displacements, epidemic outbreak, natural disasters throughout the country.

Those partners having the potential to increase further their response capacity to sudden events such as new displacements, small-scale natural disasters or epidemic outbreaks will be encouraged to integrate RRM activities (or at least build in the flexibility to respond to sudden events) as part of their operational response. DG ECHO will consider supporting multi-sector flexible response to basic needs and protection of people on the move, including emergency shelter, Non-Food Item (NFI), hygiene items and multi-purpose cash. Joint or closely-coordinated approaches are encouraged amongst partners. Areas that are under-served, and/or with restrictive operational environment, and/or prone to displacement will be prioritized.

- **Disaster Risk Reduction (DRR):** Mitigate risks exposure. Based on the involvement of communities, early warning systems is an opportunity to improve surveillance and preparedness against further shocks.

DG ECHO has earmarked an amount of EUR [...] in 2018 for disaster risk reduction activities. Given the near collapse of the health sector, priority will be given to actions focusing on surveillance capacity and preparedness for epidemic outbreaks of infectious diseases in order to ensure early detection and effective communicable disease control.

### **Scope of DG ECHO-supported interventions**

DG ECHO's response strategy will prioritize life-saving emergency activities, with limited scope for needs from protracted situation, early recovery and resilience. Activities that address recurrent structural support costs (e.g. rehabilitation and care and maintenance of basic infrastructure and service networks, structural support to line ministries etc.) and livelihoods support, although recognized as crucial, are beyond the scope of DG ECHO's resources and capability and will thus not be given first priority. Instead, they offer immediate opportunities for a meaningful and effective nexus between humanitarian and development aid, reducing vulnerabilities and building coping capacities currently decimated by the war.

### **Specific proposal assessment criteria**

- **Geographic prioritization** will be in line with updated available data (i.e. GAM rates per governorate, IPC classification, combined health-nutrition-food security district prioritization mapping, TFPM data), complemented by partners' own needs assessments.
- **Targeting**, based on contextualized vulnerabilities, should be integrated in each partner's response model, post distribution **monitoring** should be strengthened, protection mainstreaming integrated, and accountability to affected populations included.
- Proposed humanitarian actions will be assessed, inter alia, in their capacity to independently identify the **most severe humanitarian needs**. DG ECHO will favour project proposals including primary, comprehensive, independent and when possible multiagency needs assessments, clear analysis/justification of the intervention and preferred assistance modality, as well as the inclusion of comprehensive budgets, allowing for cost-efficiency and effectiveness analyses.
- As per the current operating context, DG ECHO will only support partners with demonstrated **in-country technical expertise** and **direct access to project sites** for regular monitoring and evaluation of activities. Accountability mechanisms should be built in all proposals (i.e. beneficiary accountability, post-distribution monitoring, third party monitoring).
- Proposals must provide sufficient information on robust and comprehensive Monitoring and Evaluation (M&E) systems taking into account contextual access challenges.
- DG ECHO will seek to contribute to **principled humanitarian assistance**, maximizing **aid-effectiveness** (including in terms of reaching underserved

locations, gaining timely access to most vulnerable populations, demonstrating effective bottom up engagement with beneficiary populations in view of enhanced operational relevance, accountability and protection).

- DG ECHO will favour projects that proactively seek **complementarity** with other humanitarian and longer-term programming (i.e. cross-sector complementarity, joint or closely-coordinated interventions, referrals, infrastructure rehabilitation).
- DG ECHO expects partners to build in **Humanitarian Advocacy** efforts in all proposals.
- Proposals should be **gender and age sensitive**, and integrate – when possible – the resilience marker. **Social cohesion** between IDPs and host communities must be factored in IDP-focused interventions.