

TECHNICAL ANNEX

UKRAINE AND EASTERN NEIGHBOURHOOD

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

Operational Unit in charge	DG ECHO ¹ /B3
Contact persons at HQ:	
Ukraine and Eastern Neighbourhood	Cristina Martinez-Gallego, Cristina.martinez-gallego@ec.europa.eu
	Agnieszka Pyszny, agnieszka.pyszny@ec.europa.eu
In the field:	
Ukraine	Samuel Marie-Fanon, Samuel.Marie-Fanon@echofield.eu Srdan Stojanovic, Srdan.stojanovic@echofield.eu
Western Balkans	Fabrice Martin, fabrice.martin@echofield.eu

2. FINANCIAL INFO

Indicative Allocation: EUR 24 000 000 (of which an indicative amount of EUR 500 000 for Education in Emergencies in Ukraine)

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

Breakdown as per Worldwide Decision:

1° Ukraine

Specific Objective 1 - Man-made crises²: HA-FA: EUR 24 000 000
Total: HA-FA: EUR 24 000 000

2° Eastern Neighbourhood Indicative Allocation: EUR 2 000 000

Breakdown as per Worldwide Decision:

Specific Objective 1 - Man-made crises³: HA-FA: EUR 2 000 000
Total: HA-FA: EUR 2 000 000

3. PROPOSAL ASSESSMENT

3.1. Administrative info

UKRAINE

Allocation round 1

- a) Indicative amount: up to EUR 15 000 000.
- b) Description of the humanitarian aid interventions relating to this assessment round : all interventions as described in section 3.4 of the HIP.
- c) Costs will be eligible from 01/01/2018⁴. Actions will start from 01/01/2018.
- d) The initial duration for the Action may be up to 24 months, including for Actions on Education in Emergencies and Disaster Preparedness.
- e) Potential partners⁵: All DG ECHO Partners.
- f) Information to be provided: Single Form⁶.
- g) Indicative date for receipt of the above requested information: by 28 February 2018⁷.

² As possibly aggravated by natural disasters.

³ As possibly aggravated by natural disasters.

⁴ 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.

⁵ 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.

⁶ Single Forms will be submitted to DG ECHO using APPEL.

Allocation round 2

- 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 section 3.4 of the HIP.
- c) Costs will be eligible from 01/01/2018⁸. Actions will start from 01/01/2018.
- d) The initial duration for the Action may be up to 24 months, including for Actions on Education in Emergencies and Disaster Preparedness.
- e) Potential partners⁹: All DG ECHO Partners.
- f) Information to be provided: Single Form¹⁰.
- g) Indicative date for receipt of the above requested information: by 4 April 2018¹¹.

Allocation round 3

- a) Indicative amount: up to EUR 4 000 000.
- b) Description of the humanitarian aid interventions relating to this assessment round: all interventions as described in section 3.4 of the HIP.
- c) Costs will be eligible from 01/01/2018¹². Actions will start from 01/01/2018.
- d) The initial duration for the Action may be up to 24 months, including for Actions on Education in Emergencies and Disaster Preparedness.
- e) Potential partners¹³: Priority will be given to newly-vetted and existing partners in the NGCA for activities which will cover urgent gaps and winterization needs in this area.

⁷ 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.

⁸ 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.

⁹ 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.

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

¹¹ 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.

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.

¹³ 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

- f) Information to be provided: Single Form¹⁴.
- g) Indicative date for receipt of the above requested information: by **28 August 2018**¹⁵.

EASTERN NEIGHBOURHOOD

Allocation round 1

- a) Indicative amount: up to EUR 2 000 000.
- b) Description of the humanitarian aid interventions relating to this assessment round: In case of significant man-made crises, potentially aggravated by natural disasters, life-saving activities may be supported for the provision of multi-sectoral emergency support to the most vulnerable. For the Western Balkans, in particular, should there be a new significant influx of refugees and migrants, life-saving activities might be considered on the basis of a sound needs assessment.
- c) Costs will be eligible from 01/01/2018¹⁶.
- d) The initial duration for the Action may be up to 24 months, including for Actions on Education in Emergencies, Disaster Preparedness.
- e) Potential partners¹⁷: All DG ECHO Partners.
- f) Information to be provided: Single Form¹⁸.
- g) Indicative date for receipt of the above requested information: **no proposal to be submitted until further information is provided by the Commission.**

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.

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

¹⁵ 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.

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.

¹⁷ 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.

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

Allocation round 2

- a) Indicative amount: up to EUR 1 500 000 (from EUR 2 000 000 allocated to Eastern Neighbourhood, see under allocation round 1).
- b) Description of the humanitarian aid interventions relating to this assessment round: the interventions should be focused on Bosnia and Herzegovina and should address the needs described in the HIP.
- c) Costs will be eligible from 01/06/2018.
- d) The initial duration for the Action may be up to 12 months,
- e) Partners to be considered: IOM and UNHCR preselected partners due to the emergency nature of the intervention, for the following reasons:
 - proven operational experience in providing solid programmatic support to People of Concerns (refugees, asylum seekers, migrants) in the Western Balkans Region, mainly with regard to the “refugee crisis” in the former Yugoslav Republic of Macedonia and the Republic of Serbia since 2015;
 - demonstrated multi-sector capacities, being already deployed in Bosnia and Herzegovina and responding to the current situation with strong capacities to scale-up;
 - strong expertise in implementing protection-related programs in the Western Balkans region, with regard to case management for unaccompanied minors and SGBV.
- f) Information to be provided: Single Form.
- g) Indicative date for receipt of the above requested information: 14 June 2018.

Allocation round 3

- a) Indicative amount: up to EUR 500 000 (from EUR 2 000 000 allocated to Eastern Neighbourhood, see under allocation round 1).
- b) Description of the humanitarian aid interventions relating to this assessment round: the interventions should be focused on Bosnia and Herzegovina and should address the needs described in the HIP in the following sectors: food, emergency shelter and health.
- c) Costs will be eligible from 01/06/2018.
- d) The initial duration for the Action may be up to 12 months,
- e) Potential partners: all DG ECHO partners: in order to provide a rapid response to the increasing emergency in the shelter, food and health assistance, priority will be given to reinforce ongoing actions funded by ECHO through partners with immediate and strong capacities to scale-up.
- f) Information to be provided: Single Form.
- g) Indicative date for receipt of the above requested information: **17 August 2018**

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 assessment¹⁹
- 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.

¹⁹ 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 level²⁰;
- 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, humanitarian-development nexus, localisation and accountability to affected

²⁰ See footnote related to the quality of needs assessment and the Grand bargain-related section below.

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

Education in Emergencies (EiE): DG ECHO will support education actions in emergencies including sudden onset emergencies, ongoing conflicts, natural disasters and 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's²¹ education while ensuring inclusive and quality education²². 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*²³

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

²¹ 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.

²² 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*.

²³ Inter-Agency Network on Education in Emergencies (INEE) (2010): *Minimum Standards for Education: Preparedness, Response, Recovery*.

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 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

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

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. For more information about the marker and how it is applied please consult the Gender-Age Marker Toolkit:

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

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.²⁴ 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.²⁵

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

²⁴ 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

²⁵ 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.

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, 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

Resilience: 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 mobilisation, 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.

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/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

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

Infant and Young Children Feeding in Emergencies (IYCF)

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

Water sanitation and hygiene

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

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

3.2.2.2. Specific guidelines

DG ECHO's response on humanitarian aid interventions (Ukraine)

While recognizing the full range of the needs as highlighted in the 2018 Humanitarian Implementation Plan, DG ECHO will prioritize the following sectors by ranking order: Humanitarian Food Assistance, Health (*excluding MHPSS*), Shelter/NFI. It will support **initiatives designed to address protection risks and violations in an integrated manner** through other programme activities and protection sensitive targeting. Other needs, such as dedicated Protection activities, MHPSS, WASH, Education in Emergencies and Livelihood support may be also considered. DG ECHO will strongly support **humanitarian advocacy** activities which will raise the profile of the Ukraine humanitarian crisis, promote humanitarian access, safeguarding of IHL, and seeking complementarities between humanitarian and development programming.

More detailed guidance for the envisaged DG ECHO's response and expected results of humanitarian aid interventions are described hereunder:

Humanitarian Food Assistance

When basic-needs assistance through MPCT or livelihood approach is not feasible, DG ECHO will consider provision of assistance aimed at restoring and maintaining an adequate diet through the most relevant and efficient transfer modality. Priority will be given to beneficiaries along the line of contact. Assistance packages will have to follow the Food Security Cluster recommendations. In the spirit of 'do no harm', partners should ensure that a good analysis is carried out concerning the impact of a proposed action on the protection of vulnerable groups within the target population (For this purpose partners are recommended to refer to the "Guidance for Integrated Food Assistance and Protection Programming").

Health/ Mental Health and Psycho-Social Support (MHPSS)

DG ECHO will continue the provision of emergency and primary health services to most vulnerable population located in areas affected by the hostilities and in NGCA. DG ECHO will also address the gaps in secondary/tertiary health care, mainly war surgery. Special emphasis will be given to expanding access to health services for those who are not receiving curative or preventive healthcare according to their vulnerability.

DG ECHO will focus on areas where local health systems are dysfunctional. It will strengthen primary healthcare (fixed and mobile medical units) through supplying medical equipment, medicines and capacity building as well as reinforcing the patient referral system. Interventions to reinforce provision of first aid at the crossing points between GCA and NGCA may be considered.

DG ECHO will support humanitarian interventions that will significantly increase availability of reproductive health services in NGCA and address the specific health needs of women and girls.

DG ECHO might consider supporting projects, which integrate mental health and psychosocial support components. Capacity building for local professionals (from the education and health sectors) to identify and address children's heightened stress/trauma levels could also be considered for funding. Psychosocial assistance provided through DG ECHO and the IcSP instrument will be closely coordinated. In this regard MHPSS activities taking place in the NGCA will be prioritized.

Shelter & NFIs

DG ECHO will strive to enhance housing conditions of the conflict-affected population, particularly along the contact line. DG ECHO will support rehabilitation and repairs works of conflict-damaged accommodation in light to medium categories (i.e. no major repairs/full reconstruction to be supported) by assessing, whenever possible, the vulnerability of persons based on the extent of the damage of the housing, and in light of protection and socio-economic aspects. In-kind and self-help approaches should always include technical supervision and oversight. When implementing under cash modality, no one-off disbursements should be considered, as quality assurance should remain the focus of the response in order to achieve the intended shelter outcome. For all shelter activities it is essential that partners comply with DG ECHO Shelter guidelines and Shelter Cluster recommendations and avoid materials containing asbestos and use 'resilient' materials. This is particularly relevant for the replacement of windows using glass materials in individual houses and multi-story buildings in locations along the contact line, which are repeatedly targeted by shelling and sniper activity. Rehabilitation and repair of institutional buildings, such as school and health facilities will also be supported.

If a basic needs approach is not feasible, DG ECHO will also supply non-food items such as wood stoves, firewood, coal, heaters, warm blankets and winter clothes etc. to vulnerable households in the NGCA and in the contact line areas.

In terms of second-priority sectors, the following activities might be supported subject to the available funding and feasibility when it comes to operations in NGCA :

Protection

Dedicated protection activities might be considered and will be based on a clear analysis of protection threats, vulnerabilities and capacities. Possible areas of support include, but are not necessarily limited to: registration and access to documentation and freedom of movement, protection information management systems, support to restoring family links or family tracing and reunification (FTR), as well as comprehensive assistance to victims of all kind of violence, legal counselling (including on housing, land and property rights) .

WASH

In conflict affected areas along the contact line, DG ECHO will consider to support projects that aim to ensure adequate and sustained access (in terms of quality and quantity) to safe water and adequate sanitation. Basic rehabilitation of water supply and sanitation infrastructure damaged by the conflict will be prioritised. This includes

projects that aim at providing proper operation and maintenance (O & M) of existing infrastructure (Water Safety Plans), supply of equipment (i.e. generators, water and sludge pumps), water treatment chemicals and capacity building of water service providers. Support to temporary alternative water systems (such as water trucking) could also be envisaged as last resort and when deemed necessary and for limited / designated period of time. Water quality treatment, testing and monitoring will continue to constitute a key component of the WASH response. It is also extremely important to continue to pay a particular attention to the issue of water contamination and ecological risks affecting Eastern Ukraine.

Livelihood support

DG ECHO will consider, on an ad hoc basis, providing livelihood support through cash or in kind support to income generating activities or small-scale farming to the most vulnerable population affected by the conflict along the line of contact and in the NGCA. This is the best way to ensure an early recovery approach at household level, so that beneficiaries can transition from humanitarian assistance towards more sustainable livelihoods.

Education in Emergencies

DG ECHO will consider providing further support to meet the mounting needs of children in conflict-affected contexts that are out of school or risk education disruption. DG ECHO will favour education in emergency projects that prevent the disruption of education, provide access to quality education and safe and protective learning environments. Linkages with protection-related activities are strongly encouraged. The capacity building of teachers and educational personnel will also be supported in order to enhance response to children's psychosocial needs and support their resilience, including through life skills training. Complementarity and synergies with funding provided by the Global Partnership for Education is encouraged.

Contingency planning and preparedness (stocks) will be considered appropriate, in order to enable partners to react rapidly to new potential displacements in 2018.

Response Modality

In the context of the conflict in eastern Ukraine, cash is considered as one of the most effective means to reach out/help a maximum of people, considering that most commodities are still available on the local markets and that this approach would stimulate the local market. All proposals should incorporate a well-articulated response analysis that builds on the needs assessment, and clearly informs the choice of response(s) and modalities. The choice of resource transfer modalities (cash, vouchers or in-kind) must be based on a sound analysis and targeting and monitoring mechanisms follow the Cash Working Group (CWG) recommendations. For any Multi-Purpose Cash transfer intervention, the cash transfer value must be in line with the CWG recommendations. Protection and gender analysis should be integral to the design and implementation of MPCT. For more details see the specific paragraph on cash-based assistance in this Technical Annex.