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ANNEX**

of the Commission Decision on the financing of humanitarian actions in favour of Zimbabwe

Action Document for humanitarian actions in favour of Zimbabwe

1. Title/basic act/ CRIS number	Commission Decision on the financing of humanitarian actions in favour of Zimbabwe to be financed from the 11 th European Development Fund CRIS number: n/a	
2. Zone benefiting from the action/location	Zimbabwe The action shall be carried out at the following location: Country-wide, focusing on most vulnerable.	
3. Programming document	N/A	
4. SDGs	n/a as such for humanitarian aid but will contribute to SDG 2 – Zero hunger; SDG 3 – Good health and well-being; SDG 6 – Clean water and sanitation	
5. Sector of intervention/ thematic area	Food security, livelihoods, protection	DAC-reportable Assistance: yes
6. Amounts concerned	Total estimated cost: EUR 10 million Total amount of EDF contribution: EUR 10 million	
7. Aid modality(ies) and implementation modality(ies)	Direct management through: - Grants Indirect management with International Organisations	
8 a) DAC code(s)	700 Humanitarian Aid 720 Emergency Response 730 Reconstruction, Relief and Rehabilitation	
b) Main Delivery	NGOs – 20 000	

Channel¹	Multilateral organisations – 40 000			
9. Markers (from CRIS DAC form)²	General policy objective	Not targeted	Significant objective	Principal objective
	Participation development/good governance	x	<input type="checkbox"/>	<input type="checkbox"/>
	Aid to environment	x	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality and Women's and Girl's Empowerment ³	<input type="checkbox"/>	x	<input type="checkbox"/>
	Trade Development	x	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input type="checkbox"/>	x	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Principal objective
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	x	<input type="checkbox"/>
	Climate change adaptation	x	<input type="checkbox"/>	<input type="checkbox"/>
	10. Global Public Goods and Challenges (GPGC) thematic flagships	N/A		

SUMMARY

The humanitarian situation in Zimbabwe is critical, due to a combination of climatic shocks including drought and recent cyclone IDAI and a deteriorating economic situation.

Overall, 5.3 million people are in need of humanitarian assistance including 2.9 million severely food insecure (IPC 3 or above). The food insecurity is, in part, a result of drought as well as crop pests affecting all the country. Moreover, an increase in livestock deaths has been reported due to different disease outbreaks. Over 270 000 people are in need of emergency need assistance in relation to cyclone IDAI.

The macro-economic crisis affects vulnerable households in their everyday lives and makes public procurement of essentials very difficult. The result is a sharp increases in prices on food, agricultural inputs and fuel, rising unemployment rates, lack of essential medicines, lack of water treatment chemicals etc.

Health needs are very high in Zimbabwe. Cholera and typhoid outbreaks are recurrent, and the country's HIV prevalence is high, affecting 13% of the population. Zimbabwe's

¹ <http://www.oecd.org/dac/stats/annex2.htm>

² When a marker is flagged as significant/principal objective, the action description should reflect an explicit intent to address the particular theme in the definition of objectives, results, activities and/or indicators (or of the performance / disbursement criteria, in the case of budget support).

³ Please check the Minimum Recommended Criteria for the Gender Marker and the Handbook on the OECD-DAC Gender Equality Policy Marker. If gender equality is not targeted, please provide explanation in section 4.5. Mainstreaming.

healthcare budget is chronically underfunded and stocks are depleted. Moreover, an estimated 780 000 people remain at risk of WASH-related disease outbreaks.

This financing decision aims to address the multi-sectoral humanitarian needs in the country, focussing on food security, health and resilience/livelihoods, deriving from both the drought situation and the cyclone Idai.

1 CONTEXT ANALYSIS

1.1 Context Description

Regional

The Southern Africa and Indian Ocean (SAIO) region is highly vulnerable to various hazards ranging from floods, cyclones, droughts and epidemics resulting in loss of lives and livelihood assets, economic losses and population displacement. Threats facing the region are interlinked, including the annual flood and cyclone season (October-March) and localised droughts. The region continues to recover from the 2015/2016 El Niño-induced drought, which affected about 41 million people across the region.

Disasters represent a major source of risk for the most vulnerable populations and can potentially undermine development gains.

Drivers of food insecurity include climate factors, poor agriculture techniques, depleted soil fertility, crop pests, land access, lack of access to food, volatile food prices, but also governance, social and economic factors such as poverty, HIV/AIDs and demographic pressure. The region remains the global epicentre of the HIV epidemic with 8 countries having prevalence above 10%.

Zimbabwe

Zimbabwe ranks 156 out of 188 countries on the Human Development Index 2017.

The humanitarian situation in Zimbabwe is critical. A combination of climatic shocks, including drought and recent cyclone Idai, compounded by the protracted and deteriorating economic situation, has led to increasing multi-sectoral humanitarian needs profoundly affecting vulnerable households across the country.

Overall, 5.3 million people are in need of humanitarian assistance. 2.9 million of these are severely food insecure (IPC 3 or above), and a further 900 000 people have received humanitarian assistance until the end of the lean season (May 2019), without which they would have probably been in IPC phase 3 or above. The food insecurity is, in part, a result of drought as well as crop pests affecting all the country. Moreover, an increase in livestock deaths has been reported due to different disease outbreaks.

With the ongoing macro-economic crisis, there is a high likelihood that the situation will continue to deteriorate. At the heart of the economic problems is a USD 17 billion domestic and foreign debt and a 1.8 billion trade deficit that has worsened foreign exchange shortages. Sharp increases in prices on food, agricultural inputs and fuel have a direct negative impact on

poverty and hunger. Unemployment rates are rising, too. This has led to civil unrest, and during these events there have been reports of human rights violations.

Health needs are also high in Zimbabwe. Cholera and typhoid outbreaks are recurrent, and the country's HIV prevalence is high, affecting 13% of the population. Food insecurity for people taking HIV medicines is a particular risk, as these drugs must be taken with food. In the face of rising needs, Zimbabwe's healthcare budget is chronically underfunded and stocks of essential medicines, diagnostics and supplies have been depleted due to foreign currency shortages.

Access to safe drinking water is likewise being affected by foreign currency shortages, making it difficult for local authorities to procure water treatment chemicals. The October 2018 report from the Rural WASH Information Management System (RWIMS) described that less than 50% of water points across the country were fully functional (before the cyclone Idai hit). An estimated 780 000 people remain at risk of WASH-related disease outbreaks.

Vulnerable households employ negative and unsustainable coping mechanisms, many of which increase the protection needs of women and girls – transactional sex, domestic violence, early marriage. School attendance risks to be compromised, as families prioritize food and income-generating activities over school fees. School drop-outs are also especially affecting girls.

This already fragile humanitarian situation has been exacerbated by the tropical cyclone Idai, which hit the eastern part of the country on 15 March 2019. Cyclone Idai caused flooding and land slides in Manicaland, Masvingo and Mahonaland East provinces. The districts of Chipinge and Chimanimani (Manicaland province) were by far the hardest hit. According to the UN Flash Appeal for Zimbabwe, 270 000 people are in need of urgent humanitarian assistance in these areas.

The cyclone hit just before the harvest, and approx. 4 700 hectares of crops were destroyed in Chipinge and Chimanimani only. Many families lost livestock. Moreover, access to markets (to buy food and/or sell products) has become difficult or impossible in many areas. The majority of the people affected were already very vulnerable and living in IPC 3 or IPC 4 areas.

1.2 Policy Framework (Global, EU)

In recent years, several countries of the region made significant efforts to put in place Disaster Risk Reduction (DRR) policies and laws, and to reinforce the role of disaster management authorities, often with donor support. The Southern Africa Development Community (SADC) developed a *SADC Disaster Preparedness and Response Strategy and Fund*, a long term strategy initiative, 2016-2030, that aims at strengthening disaster preparedness and response and at contributing to resilience. Priority Resilience Action Areas are identified by Regional Inter-agency Standing Committee (RIASCO) that include, inter alia, the increased use of social safety nets, the strengthening of Early Warning Systems (EWS), DRR and national policies on resilience building.

1.3 Public Policy Analysis of the partner country/region

n/a - See above for SADC

1.4 Stakeholder analysis

Both humanitarian and development partners are present in Zimbabwe.

The Commission (through DG ECHO⁴) benefits from the presence of International organisations, including the UN agencies, INGOs, signatory of Framework Partnership Agreements (FPA) and the Red Cross Movement, which enjoys close relationships with the National Red Cross Society. The Commission has been long in the region with funding of humanitarian Disaster Risk Reduction initiatives, in close collaboration and in complementarity with development actors. In this framework, Partners are increasingly requested to include Crisis Modifiers in their projects, to ensure rapid response to small-scale crises in their area of intervention whenever relevant during the time-frame of their interventions. There is likewise a growing interest and use of crisis modifiers in development programmes in the region in recent years, for example, the 'Zimbabwe Resilience Building Funds (ZRBF) Crisis Modifier Mechanism co-funded by the EU Delegation, DFID and Sweden which provides the potential for appropriate early action. The Commission is contributing technically to its development.

The main donors involved in disaster preparedness/mitigation policies in the SAIO Region include the EU and its Member States, in particular DFID, Belgium, Italy, France, IRISHAID but also NORAID, USAID/OFDA and the World Bank GFDRR (Global Facility for DRR).

Beneficiaries of this financing decision are vulnerable at-risk communities (drought/food security - and flood/cyclone-affected)

1.5 Problem analysis/priority areas for support

Humanitarian needs continue to escalate in Zimbabwe due to a combination of climatic shocks compounded by the protracted and deteriorating economic situation, which has led to increasing multi-sectoral humanitarian needs profoundly affecting the most vulnerable households across the country. High inflation compounded by the impact of the parallel market is drastically increasing the cost of basic commodities and forex shortages is affecting availability of essential medicines.

The current food crisis in Zimbabwe is essentially the consequence of climatic shocks combined with eroded purchasing power, with negative impact not only for the 2019 harvest but also for the next planting season. Scarcity of rains has undermined crop production, compounded by a scarcity of essential agricultural inputs such as fertilizers and chemicals, and price increases of about 200% compared to 2018. The food insecurity is also related to crop pests affecting the country. Moreover, an increase in livestock deaths has been reported due to different disease outbreaks.

Malnutrition rates could rise due to increasing food insecurity, economic strain and unavailability and unaffordability of basic food commodities. Drought affected districts are likely to be most affected, as well as children under five, pregnant and lactating mothers and people living with chronic illnesses.

Health needs are high in Zimbabwe. Cholera and typhoid outbreaks are recurrent, and the country also has a high level of HIV prevalence, affecting 13% of the population and increasing their vulnerability. Food insecurity for people taking HIV medicines is a particular risk, as the drugs must be taken with food. In the face of rising needs, Zimbabwe's healthcare budget is

⁴ Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO).

chronically underfunded and stocks of essential medicines, diagnostics and supplies have been depleted due to foreign currency shortages. Due to the need to pay in dollars, many people cannot pay for basic health services, including those with chronic illnesses such as HIV and TB.

Access to safe drinking water is likewise being affected by foreign currency shortages, making it difficult for local authorities to procure water treatment chemicals. According to the October 2018 report from the Rural WASH Information Management System (RWIMS), less than 50% of water points across the country are fully functional. An estimated 780 000 people remain at risk of WASH-related disease outbreaks

Vulnerable households employ negative and unsustainable coping mechanisms, many of which increase the protection needs of women and girls – transactional sex, domestic violence, early marriage. School attendance also risks to be compromised, as families prioritise food and income-generating activities over school fees. School drop-outs are also especially affecting girls.

With the ongoing macro-economic crisis, there is a high likelihood that the situation will continue to deteriorate. Sharp increases in prices on food, agricultural inputs and fuel have a direct negative impact on poverty and hunger. Unemployment rates are rising, too. This has led to civil unrest, and during these events there have been reports of human rights violations.

This already fragile humanitarian situation has been compounded by the impact of Cyclone Idai, which hit eastern Zimbabwe from 15 March, with an estimated death toll of 299 people with 329 missing, and impacting up to 270 000 people who lost homes, crops, infrastructure and livelihoods.

Overall, according to the UN Flash Appeal, revised in March 2019 following cyclone Idai, 5.3 million people have been estimated to be in urgent need of lifesaving humanitarian assistance and protection support in both urban and rural communities.

According to the preliminary findings from the May 2019 ZIMVAC (Zimbabwe Vulnerability Assessment Committee) survey, rural food insecurity prevalence is projected to peak at 52% in the 2019/20 consumption year. An update of the IPC is being urgently considered.

2 RISKS AND ASSUMPTIONS

Access and security: Access is rarely an issue in the SAIO Region from a security point of view and, in any case, in Zimbabwe as it stands. Nevertheless, some areas frequently affected by natural disasters may not be easily reachable due to logistical constraints.

Implementation capacity: Major humanitarian partners are present in the country and region. There is a significant development expertise, which can be seen as a clear added value to link both humanitarian needs and response to more medium-term/ recovery approach, which is necessary in particular for livelihoods interventions.

Absorption capacity: Overall there are no major problems in terms of absorption capacity among the Commission's humanitarian partners that often collaborate in a very constructive way both with local NGOs and private sector. Working in partnership with local partners allows reaching communities based on acceptance and local knowledge, as well as enhancing sustainability. The humanitarian partners of the Commission also regularly work in partnership with national Red Cross societies and its extensive networks of volunteers.

3 LESSONS LEARNT AND COMPLEMENTARITY

3.1 Lessons learnt

An independent evaluation was carried out of the Commission humanitarian support in the Southern Africa and Indian Ocean region, during a five-year period, 2012-2016 and covering both response and disaster risk reduction.

Global external evaluations as well as project level evaluations, lessons learned workshops show the appropriateness of having disaster risk reduction approaches embedded in all actions in the Southern Africa region and therefore in Zimbabwe, very recurrently affected by natural disasters, including drought and therefore food insecurity.

3.2 Complementarity, synergy and donor coordination

1) Other humanitarian interventions

The interventions will be complementary to the ones put in place in the framework of the 2019 Humanitarian Implementation Plan (HIP), which foresees both emergency response interventions linked to the cyclone Idai and Disaster preparedness interventions.

2) Other concomitant EU interventions

In the countries of the region, the European Development Fund (EDF) is the main EU instrument to provide external development assistance. The 11th EDF covers the period 2014 to 2020. In addition, there are several complementary programmes funded by the EU's Development Cooperation Instrument (DCI) such as Pro-Resilience Action (Pro-ACT), Global Public Goods and Challenges (GPGC).

In Zimbabwe, interventions of particular relevance include the Zimbabwe Resilience-Building programme.

Overall, EU services are committed to the timely exchange of information and coordination of short, medium and long term humanitarian and development actions in line with the Action Plan for Resilience in Crisis-Prone Countries 2013-2020. EU Delegation staff often takes part in humanitarian field assessment missions and consultations with key stakeholders, leading to common analysis of crises and coherent and comprehensive joint response plans.

4 DESCRIPTION OF THE ACTION

4.1 Overall objective, specific objective(s), expected outputs and indicative activities

Assistance should contribute to covering the essential food needs of the most severely affected populations. The strategic objectives of the EU humanitarian response are:

- To strengthen the resilience of the most vulnerable communities to mitigate against the impact of the food insecurity crisis and to restore livelihoods in communities affected by the cyclone.

4.2 Intervention Logic

Food security, protection for the benefit of people affected by the current crisis and to facilitate the return to normal lives and livelihoods.

4.3 Mainstreaming

Mainstreaming of basic **protection** principles is of paramount importance for each sector of intervention. This implies taking into account safety and dignity, avoiding causing harm and ensuring meaningful access, accountability and participation and empowerment of affected

communities as from the needs assessment to systematically monitoring throughout the action.

All proposed interventions should be informed by a thorough **gender-informed risk** analysis to ensure that humanitarian projects reach the most vulnerable, respond adequately to their specific needs and do no harm. 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 accordingly.

All humanitarian interventions to be funded under this Decision must take into consideration, together with other protection concerns, any risk of **sexual- and gender-based violence (SGBV)** and should develop and implement appropriate strategies to actively prevent such risks.

EU humanitarian-funded actions need to be **environmentally-friendly** (e.g. sustainable technical solutions including renewable energy).

As part of the Commission's commitment to protect operations from risks, to **mainstream disaster preparedness** in EU-funded humanitarian operations, and to contribute (to the extent possible) to building resilience, the needs assessment presented should reflect, whenever relevant, the exposure to the range of hazards and threats affecting people at the village/community level (natural hazards, economic or 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).

4. 4 Contribution to SDGs

This intervention is relevant for the 2030 Agenda. It contributes primarily to the progressive achievement of SDG 2 – Zero hunger; SDG 3 – Good health and well-being; SDG 6 – Clean water and sanitation through the provision of humanitarian assistance

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not planned to conclude a financing agreement with the partner country.

5.2 Indicative implementation period

The duration for the implementation of each humanitarian action will start on the date specified in the relevant agreements and may last up to 18 months (drawing by analogy from the corresponding provision of the financing decisions in the field of humanitarian aid under Council regulation (EC) No 1257/96 concerning humanitarian aid).

5.3 Implementation modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate.

The envisaged assistance is to comply with the conditions and procedures set out by the restrictive measures adopted pursuant to Article 215 TFEU⁵. The needs-based and impartial nature of humanitarian aid implies that the Union may be called to finance humanitarian assistance in crises and countries covered by Union restrictive measures. In such situations, and in keeping with the relevant principles of international law and with the principles of impartiality, neutrality and non-discrimination referred to in Article 214(2) of the Treaty on the Functioning of the European Union, the Union should allow and facilitate rapid and unimpeded access to humanitarian relief by civilians in need. The relevant Union restrictive measures should therefore be interpreted and implemented in such a manner as not to preclude the delivery of humanitarian assistance to the intended beneficiaries.

In light of the humanitarian aid nature of the actions to be financed under this Decision, it is appropriate that actions are implemented by the organisations and agencies eligible to receive EU humanitarian financing under Council Regulation (EC) No 1257/96 of 20 June 1996 concerning humanitarian aid.

5.3.1 Direct management (grants)

a) Purpose

- Strengthen the resilience of the most vulnerable communities to mitigate against the impact of the food insecurity crisis and to restore livelihoods in communities affected by the cyclone.

b) Potential applicants

- Non-governmental organisations (NGOs) satisfying the eligibility and suitability criteria provided for in Article 7 of regulation (EC) No 1257/96 including but not limited to those NGOs with which the Commission, as represented by its Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO), has concluded a framework partnership agreement within the meaning of Article 130 of Regulation (EU, Euratom) 2018/1046 on the financial rules applicable to the general budget of the Union.
- Member States specialised agencies referred to in Article 9 of regulation (EC) No 1257/96.

c) Grants without call for proposals

Grants may be awarded without a call for proposals on the basis of Article 195 of Regulation (EU, Euratom) 2018/1046.

5.3.2 Indirect management

a) Purpose

- Strengthen the resilience of the most vulnerable communities to mitigate against the impact of the food insecurity crisis and to restore livelihoods in communities affected by the cyclone.

⁵ www.sanctionsmap.eu Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

b) Potential entrusted entities

Organisations of the United Nations and Red Cross families may have specific expertise, singular capacities, privileges and access, notably related to their international mandate, for effective delivering of humanitarian aid. The use of international organisations under indirect management is therefore necessary for the implementation of Union-funded humanitarian aid operations addressing the full spectrum of humanitarian needs, which cannot all be addressed through direct management with NGOs (and procurement) only.

International organisations which were subject to an *ex ante* assessment in line with Article 61 of Regulation (EU, Euratom) 2018/1046, including those that are signatories of a framework partnership agreement concluded in the field of humanitarian aid (International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies) or the Financial and Administrative Framework Agreement concluded between the Commission and United Nations entities.

5.3.3 *Selection criteria for the selection of individual projects (humanitarian aid actions)*

1) Relevance

- How relevant is the proposed intervention and its coverage for the objectives of the decision?
- Do joint (prioritised) needs assessment and coordination mechanisms of the humanitarian actors exist, and if so, has the joint needs assessment been used for the proposed intervention and/or has the proposed intervention been coordinated with other relevant humanitarian actors?

2) Capacity and expertise

- Does the partner, with its implementing partners, have sufficient country / region and / or technical expertise?
- How good is the partner's local capacity? Is local capacity of partners being built up?

3) Methodology and feasibility

- Quality of the proposed response strategy, including intervention logic / logframe, output & outcome indicators, risks and challenges.
- Feasibility, including security and access constraints.
- Quality of the monitoring arrangements.

4) Coordination and relevant post-intervention elements

- Extent to which the proposed intervention is to be implemented in coordination with other actions (including where relevant use of single interoperable registries of beneficiaries).
- Extent to which the proposed intervention contribute to resilience, LRRD and sustainability.

5) Cost-effectiveness/efficiency/transparency

- Does the proposed intervention display an appropriate relationship between the resources to employed, the activities to be undertaken and the objectives to be achieved?
- Is the breakdown of costs sufficiently displayed/explained?

In case of actions ongoing in the field, where the Commission is requested to fund the continuation thereof, a field visit may be conducted by humanitarian field expert (TA) to determine the feasibility and quality of the follow-up action proposed.

5.4 **Scope of geographical eligibility for procurement and grants**

In accordance with Council Regulation (EC) 1257/96 of 20 June 1996 concerning humanitarian aid.

5.5 **Indicative budget**

The total amount to be made available by the EDF under this Decision is EUR 10 million. Upon adoption of this Decision, funding will be awarded by the Commission in accordance with the procedures used in the field of humanitarian aid.

5.6 **Performance and Results monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of actions to be funded under this Decision will be a continuous process, and part of the organisations to be funded by the Commission. Reporting will be ensured in accordance with the contractual obligations applicable to humanitarian aid funding under Council Regulation (DEC) No 1257/96.

Each action to be funded under this Decision will be based on a logical framework (logframe) including results and indicators.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.7 **Evaluation**

Having regard to the humanitarian nature of the action, an evaluation will not be carried out for this action or its components.

The Commission may, during implementation, decide to undertake such an evaluation for duly justified reasons either on its own decision or on the initiative of the partner.

5.8 **Audit**

Without prejudice to the obligations applicable to contracts concluded for the implementation of the measure, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

5.9 **Communication and visibility**

Communication and visibility of the actions to be financed under this Decision will be ensured in accordance with the usual contractual obligations applicable to humanitarian aid funding under Council Regulation (DEC) No 1257/96.