



# Management Plan 2017

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



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## INTRODUCTION

The Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO) of the European Commission is tasked with responding to humanitarian crises in order to alleviate human suffering. Through its funding of humanitarian assistance, DG ECHO assists victims of conflicts or disasters, both natural and man-made, in third countries. The mandate of DG ECHO in this area is to save and preserve life, to reduce or prevent suffering and to safeguard the integrity and dignity of people affected by humanitarian crises by providing relief and protection. DG ECHO also helps to facilitate coordination on humanitarian assistance with, and among, EU Member States humanitarian departments and agencies. The overall priority is to ensure that the aid is managed in the most effective and efficient way possible so that the help the EU delivers to people in need has the maximum effect, whilst respecting the principles of international law and the principles of impartiality, neutrality, humanity, non-discrimination and independence.

DG ECHO is also responsible for the management of the EU Civil Protection Mechanism which covers interventions in Member States, as well as in third countries<sup>1</sup> and coordinates Member State contributions of humanitarian assistance. In addition DG ECHO is responsible for the implementation of Council Regulation (EU) 2016/369 of 15 March 2016 on the provision of emergency support within the European Union<sup>2</sup>. This Regulation lays down the framework within which Union emergency support may be awarded through specific measures appropriate to the economic situation in the event of an ongoing or potential natural or man-made disaster. This kind of emergency support can only be provided where the exceptional scale and impact of the disaster is such that it gives rise to severe wide-ranging humanitarian consequences in one or more Member States and only in exceptional circumstances where no other instrument available to Member States and to the Union is sufficient. The three instruments, humanitarian aid, civil protection and emergency support, are linked and under the responsibility of the same Commissioner.

DG ECHO will also contribute to the development and set up of the European Solidarity Corps (ESC) launched on 7 December 2016<sup>3</sup>, just two months after the announcement made by the President of the Commission in his State of the Union Address<sup>4</sup>. The ESC will enable young people to support the work of a national or local authority, a non-governmental organisation or a private company addressing solidarity challenges, such as social exclusion, poverty, working on the reception and integration of refugees, or rebuilding areas hit by a natural disaster.

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<sup>1</sup> Decision No 1313/2013/EU of the European Parliament and of the Council of 17 December 2013 on a Union Civil Protection Mechanism (OJ L 347, 20.12.2013, p. 924).

<sup>2</sup> OJ L 70, 16.3.2016, p. 1.

<sup>3</sup> [http://europa.eu/rapid/press-release\\_IP-16-4165\\_en.htm](http://europa.eu/rapid/press-release_IP-16-4165_en.htm)

<sup>4</sup> Strasbourg, 14.9.2016.

## **PART 1. MAIN OUTPUTS FOR THE YEAR**

Part 1 of the Management Plan highlights the key deliverables DG ECHO will implement in 2017 to bring reality to the achievement of the general and specific objectives defined in the multi-annual Strategic Plan 2016-2020.

### ***General Objective 1: A stronger global actor***

#### **Specific Objective 1.1: People and countries in need are provided with adequate and effective humanitarian and civil protection assistance**

DG ECHO interventions consolidate the Union's role as a Global Actor, being the world's leading donor in humanitarian assistance, and consistently being at the forefront of humanitarian crises and disaster response. The Union has acquired high levels of recognition as a reference donor, with a comparative advantage in its ability to intervene in politically sensitive situations more flexibly. The help and assistance provided is a fundamental expression of the European value of solidarity with populations in need, as endorsed by the legal bases for both humanitarian aid and civil protection enshrined in the Treaty on the Functioning of the European Union. The implementation of European Consensus on Humanitarian Aid, signed by the Council, European Parliament and European Commission in 2007, reaffirms the Union's commitment to preserving life, preventing and alleviating suffering and helping to maintain human dignity in the face of natural and man-made disasters. In the document, the EU emphasises its commitment to the fundamental principles of humanitarian aid and to the respect of International Humanitarian Law.

#### *Funding allocations and aid efficiency*

DG ECHO is committed to providing effective relief and protection to populations affected by natural or man-made disasters on the basis of need. To achieve this objective, DG ECHO adopts a yearly financing decision (Commission Implementing Decision financing humanitarian aid operational priorities from the general budget of the European Union, also known as 'Worldwide Decision' (WWD) by reason of its geographic scope). The methodology used for the allocation of funding is governed by the Index for Risk Management (INFORM), the Crisis Assessment, the Forgotten Crisis Assessment (FCA) and the Integrated Analysis Framework (IAF). Strategic funding decisions are reflected in the Worldwide Decision for 2017 and serve also as the foundation for the Humanitarian Implementation Plans (HIPs) prepared by DG ECHO.

### **1. Linking Relief, Rehabilitation and Development**

DG ECHO constantly re-appraises humanitarian crises as they evolve. If the need for humanitarian assistance diminishes, often due to the start of rehabilitation and development activities, DG ECHO winds down its humanitarian work. A high priority is given to linking humanitarian aid and development activities. The exit strategy for all areas of humanitarian intervention is reviewed twice a year; first, when funds are initially allocated, secondly, during a mid-term review. The latter is an opportunity to review priorities for remaining funds in accordance with evolving needs. In this respect, the development of joint programming frameworks with NEAR and DEVCO will be further promoted to ensure proper LRRD strategies

(Linking Relief, Rehabilitation and Development) aiming at optimising the efficiency, complementarity and comprehensiveness of the EU in response to major crises. The proposed initiative for an EU Strategy for Syria in 2017 that was announced in the State of the Union's speech in September 2016 will represent one important concrete application of this overall approach. Humanitarian and protracted needs inside the country are enormous and will require continued humanitarian assistance for the foreseeable future but also proper articulation and transition with resilience and early recovery activities. The coordinated mobilisation of EU assistance will aim at addressing the needs of millions of Syrians and leverage EU position in the political efforts aimed at supporting a political solution and stabilising the country.

In DG ECHO 's continuous effort to delivering aid which is effective and efficient, particular priority is given to making progress under the Grand Bargain, the package of reforms to humanitarian funding launched at the World Humanitarian Summit in May 2016. Externally, through its membership of the Grand Bargain Facilitation Group, DG ECHO takes a leading role in ensuring overall momentum of the Grand Bargain, in close cooperation with other donors and humanitarian organisations.

Shared understanding of needs is the basis of a coherent response by UN organisations, international NGOs, the Red Cross movement and local organisations in collaboration with national governments. Under the Grand Bargain, DG ECHO therefore is co-leading the work stream on needs assessments together with UNOCHA, aiming to find concrete ways of improving needs assessments, with a view to enabling aid delivery, which is swifter, better coordinated and more efficient. Internally, DG ECHO will develop solutions to ensure that its own procedures – in HQ and in the field – are fit for purpose to meet the commitments of the Bargain. It will also cooperate with partner organisations to agree on new ways of working.

## **2. Multi-purpose cash assistance**

In addition to the strategic funding allocation, DG ECHO also pays particular attention to the modalities used to deliver adequate, effective and needs-based humanitarian assistance. In certain humanitarian disasters, the functioning of markets and supply to shops are sustained; yet, the affected population loses the means to purchase. In such cases, cash-based assistance ensures humanitarian aid directly reaches those with the greatest need in a timely manner. Cash-based assistance is quick to deliver, cost-effective and provides people in need with greater choice. In addition to the benefits for local economies, the advantages of the cash modality includes the empowerment, dignity and accountability of affected populations by giving them the power to decide what their basic needs are and to choose the preferred way to satisfy them. The multi-purpose cash modality has been shown to support the morale of populations in need and also prepares the ground for linking relief, rehabilitation and development (LRRD) activities.

Across all sectors, circa 30% of DG ECHO funds are delivered as cash-based assistance. The upward trend in the use of cash-based interventions in recent years is particularly observed in the Humanitarian Food Assistance (HFA) sector with a jump from 41% of aid delivered via cash modality in 2014 to an estimated 55% in 2015. The trend has continued in 2016 (including through large-scale cash-based

operations in response to the Syria crisis<sup>5</sup>) and will be sustained in 2017, corresponding to the EU's commitments under the Grand Bargain.

In 2017, DG ECHO aims to deliver 35% of its assistance in the form of cash-based transfers. This is an ambitious target given that cash-based assistance still only accounts for approximately 10% of all humanitarian assistance. DG ECHO is recognised as leading the way in scaling up the use of cash to respond to for humanitarian needs and has recently released specific guidance to partners to achieve that aim.

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<sup>5</sup> See p.13 and the references therein to the Emergency Social Safety Net (ESSN) in Turkey.

## **Follow-up of the commitments**

### *World Humanitarian Summit*

The first-ever World Humanitarian Summit was held in Istanbul in May 2016; on that occasion, commitments were made by participating entities, including the EU (around 100 commitments). All entities are individually responsible for the implementation of their pledged commitments using the dedicated IT-tool developed by UN OCHA to that effect ('PACT' - Platform for Action, Commitments and Transformation).

DG ECHO is to act as coordinator with respect to EU self-reporting following the guidance to be issued by UN OCHA in this regard; the first reporting period should cover June 2016 – December 2016. DG ECHO will ensure that the reporting for the EU is done in 2017 in a timely and adequate manner.

### *Education in Emergencies*

Education in Emergencies (EiE) has been a key priority for Commissioner Christos Stylianides who committed at the Oslo Summit in July 2015 to increase funding to Education in Emergencies to 4% of EU humanitarian aid – a commitment achieved in 2016. At the World Humanitarian Summit, the Commissioner announced an increased allocation of funding to Education in Emergencies by the end of his mandate beyond the 4%. In accordance with this, in 2017, DG ECHO will dedicate up to 6% of the humanitarian budget to Education in Emergencies.

In November 2016, DG ECHO organised a forum on Education in Emergencies in Brussels bringing together decision-makers, humanitarian experts and practitioners to exchange, explore and engage in support of quality education for crisis-affected children. November 2016 also saw the publishing of the independent evaluation of DG ECHO's Actions in the Field of Protection and Education of Children in Emergency and Crisis Situations (2008-2015). In 2017, DG ECHO will ensure the follow-up of the conclusions and recommendations of the forum and evaluation report, aiming to develop an Education in Emergencies policy and strategic framework, integrate EiE components in the needs assessment framework, deepen cooperation with other services that fund education measures in third countries (DEVCO, NEAR), strengthen DG ECHO's EiE capacities and expertise, and engage actively in international professional fora.

### *Urban settings*

Urbanisation is changing the nature and scale of risk at an unprecedented rate. At the same time, an increasing number of people are seeking refuge in cities in the context of global forced displacement, with urban settings presenting their own set of unique challenges and opportunities. In 2017, the Commission will ensure a follow-up of the implementation of the New Urban Agenda<sup>6</sup> adopted at the UN Habitat III Conference in Quito in 2016, as well as continued promotion of urban resilience in line with the Sendai Framework for Disaster Risk Reduction 2015-

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<sup>6</sup> <http://habitat3.org/the-new-urban-agenda>

2030<sup>7</sup>, adopted at the third UN world conference on Disaster Risk Reduction in March 2015. This will notably consist in promoting a multi-sector approach to assessments and programming in urban settings, and enhancing the support to both internal and partner initiatives that improve preparedness and response to urban crises, all with the aim of meeting the complexity of needs in urban settings.

### *Emergency Response*

In 2017, DG ECHO's coordinating role of the civil protection response to disasters and emergencies will continue to deliver rapid and efficient governmental aid in the immediate aftermath of disasters. This will take the form of in-kind assistance, deployment of specially-equipped teams, or assessment and coordination by experts sent to the field. The Union Civil Protection Mechanism (UCPM) will also further support and complement the prevention and preparedness efforts of participating states, focusing on areas where a joint European approach is more effective than separate national actions. These include improving the quality of and accessibility to disaster information, encouraging research to promote disaster resilience, and reinforcing early warning tools. Under the Mechanism, Member States have committed to learn from each other in managing disaster risks through assessments of risk management capabilities. One of the priorities in 2017 will be the implementation of the risk management capability assessment guidelines<sup>8</sup> that countries can use to assess their own capabilities. Another priority will be the implementation of the second phase of the voluntary peer reviews, organized as an essential element to improve the systems of participating states for managing risks.

Civil protection expenditures in 2017 will be covered by specific contracts (exchange of experts programme, peer reviews, evaluation, awareness-raising and dissemination of good practices, etc.) and grant agreements with Member States (prevention and preparedness projects, exercises, workshops with the EU Presidency, etc.).

The operational hub of the Mechanism is the Emergency Response Coordination Centre (ERCC). The ERCC monitors emergencies around the globe 24/7, and coordinates the response of the Mechanism's 34 participating countries<sup>9</sup> in case of a crisis. Interested countries can pre-commit different types of response capacities to a voluntary pool for participation in EU civil protection missions. When disaster strikes, the ERCC will facilitate a coordinated deployment of these assets, in close cooperation with Member States. This will greatly enhance the availability of response capacities in times of need, bring more predictability in the assistance and significantly reduce deployment times. Multiplying the number of types of modules and other response capacities available through the ERCC in 2017 will increase the coverage, quality and rapidity of response.

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<sup>7</sup> <http://www.unisdr.org/we/coordinate/sendai-framework>

<sup>8</sup> 2015/C 261/03.

<sup>9</sup> The participating countries to the UCPM are the 28 Member States plus Iceland, Norway, Serbia, Montenegro, former Yugoslav Republic of Macedonia and Turkey.



In return for committing assets to the voluntary pool, Member States benefit from financial support for adapting and transporting these capacities in civil protection missions. Transport co-financing is provided either in the form of a transport grant to participating countries or through an existing framework contract with a transport broker company. Transport co-financing enables the delivery of assistance to the country affected within a few hours with lesser budgetary impact on the Member States offering the assistance. For assets that are pre-committed to the voluntary pool, the participating country benefits from a higher transport co-financing rate (85%) than for material support offered on an ad-hoc basis (55%). Pooling and consolidating shipments from various countries to the affected country supports the efficiency of the European response.

### **Specific Objective 1.2: People and communities at risk of disasters are resilient**

DG ECHO 's second specific objective – to make people and communities at risk of disasters resilient – finds its importance in the increase in frequency and intensity of disasters and conflicts over the last decades, resulting from global trends including climate change, urbanisation, population growth and increased violence.

The number of lives lost and the economic damages incurred have increased dramatically. When a disaster strikes, preparedness and early action have shown to save lives and be cost effective. In addition to enabling better protection of people and assets, early warning allows for the assistance to be more organised and impactful.

Preparedness for response and early action is therefore at the centre of DG ECHO 's approach to Disaster Risk Management and Resilience with the aim to enhance synergies between humanitarian and development operations in turn leading to less suffering, less losses and a durable recovery. In 2017, the new strategic approach on Disaster Risk Reductions which calls for closer complementarity with local and regional systems as well as development co-operation actions will continue to be rolled out. DG ECHO recognises the strong link between relief, recovery and development by working with DG DEVCO and EU delegations in the analysis, prioritisation and design of recovery strategies in the aftermath of crises and disasters. Collaboration based on joint analysis of risk and vulnerabilities will be further enhanced with particular emphasis in a selected number of pilot countries. DG ECHO advocates for the integration of DRR efforts into development programmes in order to ensure sustainable policies, particularly by protecting development efforts against sudden shocks in countries at high risk. By seeking complementarity and partnership, DG ECHO engages pro-actively with other services of the Commission, Member States, partners and donors to coordinate commitments to strengthening DRR and resilience. This is particularly true for interventions in Africa as highlighted in different Humanitarian Implementation Plans calling for the reinforcement of disaster preparedness and the link between preparedness and response, with specific attention to primary needs of the most vulnerable populations. DG ECHO also supports the resilience and DRR related activities of the European Union Trust Funds (EUTF). Enhancing the link between

humanitarian aid development assistance also corresponds to a commitment under the Grand Bargain.

DG ECHO 's Disaster Risk Reduction (DRR) global efforts are fully integrated in the Humanitarian Aid Financing Decision. All DG ECHO Humanitarian Implementation Plans incorporate an analysis of options and priorities for preparedness, early action and DRR. In 2017, DRR activities will be mainstreamed in 50% of all humanitarian operations.

The June 2016 EU Global Strategy identifies state and societal resilience as one of the five priorities of the Union's external action. The intention of the strategy will be further explained in a joint HR/VP-Commission Communication. DG ECHO is co-leading the Communication drafting process in 2017 as a way to address protracted crises and fragility and meet the objectives of the Sustainable Development Goals, to leave no one behind. The objective of the Communication will be to provide guidance on addressing resilience at community, state and societal level, building on progress made in implementing the existing resilience policy framework in which DG ECHO has been a prominent actor so far.

#### *Follow-up on Sendai*

Work on disaster risk management is drawn together under the Sendai Framework for Disaster Risk Reduction 2015-2030. The implementation of the framework is an opportunity for the EU to take forward its disaster risk management agenda and to strengthen our efforts to build resilience to natural and man-made disasters both within the EU and in support of third countries. In June 2016 an Action Plan on the Sendai Framework for Disaster Risk Reduction 2015-2030<sup>10</sup> was issued to further enhance and promote disaster risk management and its integration in EU policies. Such a risk-informed approach consists of four key areas related to the four Sendai priorities:

- (1) Building risk knowledge in EU policies;
- (2) An all-of-society approach in disaster risk management;
- (3) Promoting EU risk informed investments; and
- (4) Supporting the development of a holistic disaster risk management approach.

In implementing the Action plan, DG ECHO works together closely with all stakeholders, including EU Member States, civil society and private sector. In 2017, DG ECHO will carry out the first review of the Action Plan to assess progress and monitor its implementation. DG ECHO will continue to use the Sendai Framework momentum to achieve a stronger international agenda and mobilisation of all international instruments to enhance Disaster Risk Reduction (DRR) and resilience, in particular the United Nations Agenda 2030 for Sustainable Development<sup>11</sup> and the international climate change negotiations (COP 21 and COP 22). At an operational level, DG ECHO focuses support to Sendai Priority 4: enhance disaster preparedness for effective response.

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<sup>10</sup> SWD(2016) 205 final/2.

<sup>11</sup> <https://sustainabledevelopment.un.org/post2015/transformingourworld>.

The 2017 Global Platform for Disaster Risk Reduction to be held in Cancun, Mexico on 22-26 May 2017 will be the first opportunity for the international community to review global progress in Sendai Framework's implementation. European Commission's engagement during the platform, coordinated by DG ECHO , will be instrumental to showcase the Sendai Action Plan and existing EU policy achievements in disaster risk reduction, both in developing countries and within the EU. DG ECHO will coordinate European Commission's involvement in the platform, and contribute to the preparation of an EU Statement and a High Level Leaders' Forum Communiqué.

As part of the implementation of the Sendai Framework Action Plan, DG ECHO will further roll out the Instrument for Pre-Accession (IPA) programmes, including on flood management and risk assessment. This will lead inter alia to the creation of multinational flood protection modules in the Balkans, which brings the cooperation to a new level of ambition and the introduction of an IPA programme on risk assessment for the enlargement countries. The main international priority will be the roll-out of the first agreements with interested Neighbourhood countries to link them more closely to the activities of the UCPM. A common understanding (so called "Administrative Arrangement") was signed on 20 December 2016 with Algeria<sup>12</sup>. At the beginning of 2017, an "Administrative Arrangement" will be signed with Tunisia. Common understandings with Eastern neighbourhood countries will also be sought in 2017. Active follow-up will ensure full implementation of six civil protection projects and five civil protection exercises in IPA II<sup>13</sup> and Neighbourhood countries. These actions will support neighbourhood countries in increasing risk and disaster prevention and preparedness, raising public awareness, and, enhance the cooperation and exchange of good practices in the field of disaster preparedness between the Member States and Partner Countries; which are all objectives pursued by the UCPM Annual Work Programme 2017<sup>14</sup>. Full implementation of these prevention actions also aim to ensure that the 20% spending target for prevention stipulated in the UCPM legislation will be met for the full 2014-2020 financing period.

### *EU Aid Volunteers*

The EU Aid Volunteers initiative brings together volunteers and organisations from different countries, providing practical support to humanitarian aid projects and contributing to strengthening the local capacity, resilience and disaster risk management of fragile or disaster-affected communities. The objectives pursued by the 2017 EU Aid Volunteers Work Programme<sup>15</sup> include, among other things, the selection, training and deployment of 525 volunteers that will support the capacity building and technical assistance for hosting and sending organisations. Emphasis

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<sup>12</sup> [http://ec.europa.eu/echo/news/new-era-cooperation-between-algeria-and-eu-disaster-risk-management\\_en](http://ec.europa.eu/echo/news/new-era-cooperation-between-algeria-and-eu-disaster-risk-management_en)

<sup>13</sup> IPA II (Instrument for Pre-Accession) sets a new framework for providing pre-accession assistance for the period 2014-2020.

<sup>14</sup> C(2016) 7805 of 06.12.2016.

<sup>15</sup> C(2016) 8989 of 06.01.2017.

will also be put on awareness raising to potential beneficiaries concerning the programme and its opportunities, thereby contributing to effective communication of the Union's humanitarian aid principles. Certification of sending and hosting organisations will continue to be facilitated along with support measures such as the maintenance of the EU Aid Volunteers Platform for registration, networking, online volunteering and learning.

<b>Relevant general objective: A stronger Global Actor</b>		
<b>Specific objective: People and countries in need are provided with adequate and effective humanitarian and civil protection assistance</b>		Related to spending programmes: Humanitarian Aid and Union Civil Protection Mechanism
<b>Main outputs in 2017:</b>		
Output	Indicator	Target 2017
Actions funded cover most pressing humanitarian needs	Initial funding allocation on the basis of INFORM, Crisis assessment, FCA and IAF: <ul style="list-style-type: none"> <li>- North, West and Central Africa: € 169.72 m</li> <li>- Sudan &amp; South Sudan, Horn of Africa, Great Lakes, Southern Africa, Indian Ocean € 173.25 m</li> <li>- Middle East: € 258.50 m</li> <li>- Eastern Neighbourhood € 91.80 m</li> <li>- South Asia &amp; Pacific: € 64.375 m</li> <li>- Central &amp; South America and Caribbean: €13.550 m</li> <li>- EU Trust Fund for Africa: € 10 m</li> <li>- Complementary operations: € 29.475 m</li> </ul>	100% of actions funded cover most pressing humanitarian needs
A portion of humanitarian aid funds is spent in forgotten crises	Humanitarian aid projects will be implemented in the following 2017 forgotten crises: Bangladesh, Colombia, India, Myanmar, Philippines, Algeria, Sudan, Cameroon, Chad, Pakistan, Yemen and Mali.	>15% initial planned budget is spent in forgotten crises
Budget is allocated to Education in Emergencies as a priority area	Percentage of the 2017 operational budget spent on Education in Emergencies worldwide	6% of initial adopted budget allocated to EiE
Actions to build the capacity of the humanitarian system to better prepare and respond to urban crises are prioritised.	Number of projects with an urban component funded under the Enhanced Response Capacity funding line	1 building capacity action funded

Cash transfers are made to people in need as a form of efficient humanitarian aid	Percentage of aid to beneficiaries in the form of cash as modality	35% cash transfers
Comprehensive evaluation of the European Commission's Humanitarian Aid actions, 2011-2016	Final evaluation completed	4 <sup>th</sup> quarter of 2017
The World Humanitarian Summit is appropriately followed up	Timely and adequate self-reporting in 2017 reporting progress	EU self-reporting covers at least 85% of the EU commitments
Grant agreements are concluded for CP budget lines: 23 03 01 02 23 03 02 02	Calls for proposals are launched	10 grant agreements 60 grant agreements
Contracts are concluded for CP budget lines: 23 03 01 02 23 03 02 02	Calls for tenders are launched	4 contracts 5 contracts
Interim evaluation of the implementation of Decision No 1313/2013/EU on a Union Civil Protection Mechanism	Final evaluation completed	2 <sup>nd</sup> quarter
Response capacities are registered in the European Emergency Response Capacity	Number of types of modules, Technical Assistance and Support Team (TAST) and other response capacities registered	30 additional types of modules/response capacities
Budget is dedicated to co-financing transport of assistance delivered via the UCPM	All transport of the assistance delivered is co-financed	€ 15.8 M (estimate)
<b>Specific objective: People and communities at risk of disasters are resilient</b>		Related to spending programmes: Humanitarian Aid, Union Civil Protection Mechanism, EU Aid Volunteers
<b>Main outputs in 2017:</b>		
Output	Indicator	Target 2017

DRR is mainstreamed in humanitarian aid operations	Percentage of humanitarian aid projects with preparedness for response and early action mainstreamed	50%
Civil Protection projects are implemented in IPA II and EU Neighbourhood countries	Implementation of IPA II and Neighbourhood programme	6 Civil Protection projects
Civil Protection exercises are implemented in IPA II and EU Neighbourhood countries	Implementation of IPA II and Neighbourhood programme	5 CP exercises
Volunteers are trained and deployed	Call for proposals will be launched 1 <sup>st</sup> of 2 <sup>nd</sup> quarter 2017	525 volunteers trained and deployed
Organisations participating in the EU Aid Volunteers initiative are provided with capacity building and technical assistance	Call for proposals will be launched 1st or 2nd quarter 2017	110 hosting and sending organisations benefit from capacity building and technical assistance
Interim evaluation of the implementation of Regulation (EU) No 375/2014 establishing the European Voluntary Humanitarian Aid Corps (the EU Aid Volunteers initiative)	Final evaluation completed	4 <sup>th</sup> quarter
First review of Sendai Action Plan completed	Implementation of Sendai Action Plan Activities	At least 20% of Action Plan activities completed

## ***General objective 2: Towards a new policy on migration***

### **Specific Objective 2.1: The humanitarian needs of the most vulnerable people in refugee crises are met**

The last few years have been marked by an unprecedented scale of forced displacement since the Second World War, reaching a peak of over 65 million refugees and IDPs (internally displaced persons) in 2016. The Commission is committed to provide support to these populations by meeting the humanitarian needs of the most vulnerable people caught in refugee crisis and creating the conditions where refugees can stay close to their home. In 2017, DG ECHO will continue to provide humanitarian assistance in countries most affected by forced displacement and ensure that the special needs of forcibly displaced persons and their hosts are recognized. Focus will also be on ensuring that migrants and refugees retain the right and possibility to receive protection and live in dignity.

Until recently, the international community's response to protracted displacement has been mainly through humanitarian aid. Nevertheless, with both, numbers of displaced people and duration of protracted displacement rising exponentially in the last decade, it has become indispensable to implement development based approaches to prevent displacement crises from becoming protracted and resolve existing protracted displacement. In this context, the Commission set out a new strategic vision in April 2016 highlighting how its external action can best support refugees and displaced people in long lasting crises. The aim of this new approach, outlined in the Communication "Lives in Dignity: from Aid-dependence to Self-reliance<sup>16</sup>", is to prevent refugees and displaced people relying only on emergency humanitarian type assistance. It looks at ways to help them become more self-reliant in the countries where they reside. Migration and forced displacement having become development and political priorities, the policy foresees a multi-actor response to forced displacement, maximizing the comparative advantages of all EU external action instruments whilst fully respecting the mandate of each instrument.

The European Agenda on Migration<sup>17</sup> adopted by the Commission in May 2015 also sets out the need for a comprehensive approach to migration management, emphasizes the need to address the root causes of migration and forced displacement for actions to be impactful in the long-term. In 2017, DG ECHO will continue to cooperate closely with DEVCO, NEAR and the EEAS on the dissemination and the operationalization of the new policy frameworks, including via joint work on focus countries and joint guidance on implementation.

On 19 September 2016, the United Nations General Assembly convened a High-Level Plenary to address large movements of refugees (UN Summit for Refugees and Migrants) in light of the need for greater international solidarity and support in response to such movements. During the Summit, the General Assembly adopted the New York Declaration for Refugees and Migrants<sup>18</sup>, a political declaration

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<sup>16</sup> COM(2016) 234 final.

<sup>17</sup> COM(2015) 240 final.

<sup>18</sup> <http://refugeesmigrants.un.org/declaration>

accompanied by two annexes which will pave the way for global compacts on refugees and migrants respectively in 2018. The framework endorses the concept of global responsibility sharing while also highlighting the need to support self-reliance of refugees, for instance by facilitating their access to livelihoods. In 2017, DG ECHO will continue to cooperate with the EEAS and other Commission services to deliver on the framework.

## **1. Syria Crisis**

DG ECHO will continue addressing the needs inside Syria as well as the needs of Syrian refugees and host communities in neighbouring countries (Turkey, Lebanon, Jordan, Egypt, Iraq). Inside Syria, where over 13 million people are in need of humanitarian assistance, focus is in particular on internally displaced persons, populations vulnerable to future displacements as a consequence of ongoing fighting and major offensives, and conflict affected civilians in hard to reach and besieged areas. At the 4 February 2016 London Conference for Syria, the EU pledged EUR 2.4 billion for 2016-17, accounting for the largest single pledge together with Germany. For 2016, the EU pledge was EUR 1.1 billion. Together with Member States, the overall pledge amounted to more than EUR 3 billion collectively. The 2017 of EUR 1.295 billion remains valid.

In Turkey, over 3.1 million refugees including Syrian, Iraqi and refugees of other nationalities have so far been registered, making Turkey the host country with the largest refugee population in the world. ECHO will continue implementing the humanitarian leg of the EU-TK facility, which includes next to the contribution from the EU budget also assigned revenues provided by the Member States under the facility. As of October 2016, the Commission in partnership with the World Food Program (WFP), the Turkish Red Crescent and Turkish authorities, rolled out the Emergency Social Safety Net (ESSN), a single card social assistance scheme that will allow at least 1 million refugees to cover their basic daily needs and the children's education. With an initial budget of EUR 348 million, funded under the Facility for Refugees in Turkey<sup>19</sup>, the ESSN represents the biggest humanitarian project in the history of the European Commission. It is foreseen to further scale-up the ESSN in 2017.

## **2. Iraq**

The Commission is at the forefront of the humanitarian response to emerging needs in Iraq. DG ECHO will continue to provide lifesaving assistance in Iraq, where 10 million people currently require humanitarian aid including 3.3 million internally displaced civilians. In the context of the Mosul operation, the European Commission increased the Humanitarian Aid to Iraq by EUR 25 million. Support will be provided on the basis of needs to the most vulnerable populations affected by the conflict including the Syrian refugees in the country.

The response to the Syria crisis is complemented by the EU Regional Trust Fund set up to help millions of Syrian refugees and overstretched host communities in Lebanon, Turkey, Jordan and Iraq through the provision of basic goods and

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<sup>19</sup> [http://ec.europa.eu/enlargement/news\\_corner/migration/index\\_en.htm](http://ec.europa.eu/enlargement/news_corner/migration/index_en.htm).



services. DG ECHO also contributes to the Emergency Trust Fund set up to tackle the root causes of irregular migration and forced displacement in Africa, with a particular focus on the crises in the Sahel and the Lake Chad area, the Horn of Africa and North Africa. DG ECHO's contribution will continue to focus on resilience related activities.

### **3. Inside EU**

The European Union is directly impacted by the refugee crisis. Between January 2015 and September 2016, more than 1.3 million refugees and migrants arrived by sea in the European Union. This is why in parallel to responding to the refugee crisis in the source and related neighbouring countries, it is crucial to channel emergency support to refugees in the European Union. Regulation 2016/369 on the provision of emergency support within the European Union was adopted by the Council on 15 March 2016. On the basis of the regulation, up to EUR 700 million will be distributed between 2016 and 2018 to address the humanitarian needs within the EU triggered by the refugee crisis. Of this funding, in 2016, EUR 191 920 000 was contracted with 14 partners to support Greece in their humanitarian response to the refugee influx they are facing. Greece is the most affected Member State with over 1 million people that have transited through the country since January 2015. The closure of the border between the former Yugoslav Republic of Macedonia and Greece in early March 2016 had the effect that more than 60 000 people have become stranded in Greece. In 2017, the priority sectors of the Emergency Support Instrument<sup>20</sup> will continue to centre around the four priorities defined by Commissioner Stylianides: shelter, increasingly based on rental schemes, education, protection, in particular for unaccompanied minors, and the roll-out of multipurpose cash programmes to cover both food and non-food needs. Health will also be an area of activity. The Emergency Support Instrument is implemented in close cooperation with the affected Member States in complement to their own programmes. Actions will also be carried out in synergy with other instruments of the Union, such as the Union Civil Protection Mechanism, the Fund for European Aid to the Most Deprived, the European Union Solidarity Fund (EUSF), the Asylum, Migration and Integration Fund (AMIF) and the Internal Security Fund (ISF).

In addition, in-kind assistance is delivered through the Union Civil Protection Mechanism to support EU Member States and other countries in facing major peaks in the migration crisis which overwhelm their immediate response capacities. The ERCC's role was further consolidated since the activation by the Presidency of the EU Integrated Political Crisis Response arrangements (IPCR) in the context of the migration crisis. The IPCR arrangements reinforce the European Union's ability to take rapid decisions when facing major crises requiring a response at EU political level. The IPCR arrangements ensure coherence and complementarity of Union and Member States action. To support the handling of the crisis DG ECHO attends IPCR round tables organised by the Presidency. Since the activation, the ERCC acts as the central 24/7 contact point at Union level with Member States' competent authorities and other stakeholders, and facilitates the production of Integrated

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<sup>20</sup> C(2016) 2214 of 15.04.2016

Situational Awareness and Analysis (ISAA) reports and the uploading of documents on the IPCR web platform. ISAA reports are published on a regular (weekly) basis to provide decision makers with a clear common picture of the latest developments in the refugee crisis. The ERCC also ensures the logistical arrangements for the organisation of meetings related to the crisis (leader's follow-up, refugee contact group, daily DG ECHO internal coordination meeting).

<b>Relevant general objective(s): Towards a New Policy on Migration</b>		
<b>Specific objective: The humanitarian needs of the most vulnerable people in refugee crises are met</b>		Related to spending programme: Humanitarian Aid
<b>Main outputs in 2017:</b>		
Output	Indicator	Target 2017
Budget is dedicated for project components targeting refugees/forced displacement situations	Budget for Syria-Iraq crises; Facility for Refugees in Turkey Support to refugees and migrants in Serbia and the Former Yugoslav Republic of Macedonia Response through Africa Trust Fund Emergency Support Instrument	€ 212.5m € 80 m  € 1 m € 10 m € 198 m
Impactful and effective implementation of the Emergency Support Instrument is ensured through a coordinated approach involving the authorities of the affected Member State and services of the Commission	Coordination activities to maximise impacts of the Emergency Support Instrument are taking place	40 coordination meetings organised with relevant Commission services, in particular HOME 10 coordination meetings organised with Greek authorities at Director Level
Communication on forced displacement and development is disseminated and implemented	Operationalization of the new approach in the identified focus countries Strengthening of the approach in other countries	2 <sup>nd</sup> quarter 2017 4 <sup>th</sup> quarter 2017
ISAA reports in the context of the refugee crisis are produced by the Commission with HOME being the lead service. DG ECHO contributes to the production of the reports.	DG ECHO provides regular analysis and maps for the reports	Regular contribution to ISAA reports (weekly basis, depending on Presidency's decision on the frequency of ISAA reports and on the continuation of the current activation of the IPCR arrangements)

### **General Objective 3: A new boost for jobs, growth and investment**

#### **Specific Objective 3.1: Populations and economic assets at risk of disasters in the EU are protected**

##### **Prevention / Preparedness Response**

The Union Civil Protection Mechanism legislation provides for an allocation of the 2014-2020 financial envelope by percentages between prevention, preparedness, and response<sup>21</sup>. For prevention actions, a 20% spending target is defined with a flexibility of +/- 8 percentage points. The legislator recognises that prevention actions are the best way to achieve the necessary protection of populations and economic assets at risk of disasters. DG ECHO implements these prevention actions in a variety of ways, financial and non-financial. The actions with budgetary relevance are in particular prevention and preparedness projects which contribute through their dissemination and replication capacity to an increased public awareness and preparedness for disasters. DG ECHO ensures the implementation of such high quality projects including small scale exercises and training promoting the joint design, planning, development and implementation of innovative civil protection activities among UCPM Participating States, including procedures, techniques, tools, etc. As highlighted in the 2017 UCPM Work Programme, actions aim at improving cross border civil protection and marine pollution cooperation, including regional cooperation, regarding preparedness for, direct response to and reducing impacts of natural and man-made disasters. Enhancing the EU's resilience to disasters, especially cross-border risks, is amongst the objectives of the Europe 2020 strategy: competitiveness and sustainability depend upon effective disaster risk management which helps to avoid economic and human losses and strengthens resilience to increasing global shocks and threats. Investing in disaster risk prevention and management is a strong driver of innovation, growth and job creation, opening also new markets and business opportunities. The 2017 target for the budget allocation to prevention will require the implementation of civil protection projects selected under the prevention and preparedness call for proposals.

In order to ensure operational effectiveness, quality criteria and a certification process are being defined for the modules, other response capacities and experts identified by the Emergency Response Coordination Centre (ERCC). In particular, modules should be capable of working self-sufficiently for a given period of time, be quick to deploy, and interoperable. In order to enhance the interoperability of modules, measures are needed at Union and Participating State levels. In 2017, DG ECHO will continue developing the European Medical Corps, which is an important political priority for Commissioner Stylianides. This involves significant policy work related to the quality requirements for different types of medical response capacities, alignment with WHO<sup>22</sup> standards and processes, the roll-out of training

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<sup>21</sup> Article 19(4) and Annex I.

<sup>22</sup> World Health Organisation.

and exercises for medical teams, and the liaison with health colleagues in Member States, other Commission departments and the European Centre for Disease Control. DG ECHO aims to finalise the quality assurance and support the technical upgrade of 20 modules, including the new modules for the European Medical Corps, with the quality and interoperability requirements defined in the framework of the European Emergency response Capacity (EERC.)

### **EU Solidarity Corps**

DG ECHO will continue to contribute to the policy, legislative and programme development of the European Solidarity Corps. The members of the European Solidarity Corps will be engaged in a broad range of activities, including the prevention of natural disasters (but excluding immediate response). For civil protection authorities, the scope of human resources support for tasks related to prevention and (in some circumstances) recovery from disaster (e.g. forest, habitat and water management, beach clean-up etc.) will be further explored to frame the scope for the Corps to complement existing capacities and help fill gaps. Relevant public authorities, NGOs, universities and private companies need to be encouraged to involve Corps participants in their projects. Possible tasks and role for young people to support these activities are to be further identified.

<b>Relevant general objective: A new boost for jobs, growth and investment</b>		
<b>Specific objective: Populations and economic assets at risk of disasters in the EU are protected</b>		Related to spending programmes: Union Civil Protection Mechanism
<b>Main outputs in 2017:</b>		
Output	Indicator	Target 2017
Budget is allocated for disaster prevention	Percentage of Civil Protection budget contributing to disaster prevention	20% of CP budget
Quality and interoperability requirements are defined for modules in the framework of the European Emergency Response Capacity	Quality criteria are reviewed and agreed	20 modules for which quality and interoperability requirements are defined

## **PART 2. MAIN ORGANISATIONAL MANAGEMENT OUTPUTS FOR THE YEAR**

### ***A. Human resource management***

The HR Modernisation project implemented according to the Communication on Synergies and Efficiencies of April 2016 makes changes to the way that HR services are delivered in the Commission. HR services will be delivered by an Account Management Centre (AMC) inside DG HR. Each DG will have an HR Business Correspondent, responsible for defining HR strategy and taking HR decisions, in consultation with the management of the DG, as well as ensuring that the DG gets the HR service it needs, in cooperation with the AMC. DG ECHO will move to the new way of working in 2017. DG ECHO will be supported by AMC4 which will serve the following group of DGs: DEVCO, ECHO, FPI, NEAR and TRADE<sup>23</sup>. DG ECHO is fully committed to making the HR modernisation process a success. A key priority will be to build from the start a seamless working relationship with the AMC in charge and to ensure business continuity of the different HR processes through appropriate hand-over mechanisms whilst the transition to the AMC takes place.

In DG ECHO, the 2017 key deliverables that will be conducive to the achievement of the effective Human Resource management objective described in the Strategic Plan 2016-2020 relate to a) a more gender-balanced Talent Management strategy, b) a more attractive working environment and c) a close follow-up to the results of the 2016 staff survey.

The second half of 2016 saw major structural changes: reorganization of the DG and increase in staff due to new priorities and escalation in number and magnitude of crises, and significant turnover of directors and heads of unit. A management retreat will be organised at the beginning of 2017 with the objective of integrating the newly appointed management staff, and brainstorming on ways to accompany DG ECHO staff in adapting to the organisational changes, all in a goal to optimize working relationships and improve motivation levels. Another important objective of the retreat is to analyse the findings of the 2016 staff survey and establish an action plan to address the issues highlighted by the survey, with a view to improving the results in future surveys and more generally DG ECHO 's staff satisfaction at work. The staff engagement index for 2016 (61%) has decreased compared to the score reached in 2014 (67%). To confront the results of the 2016 staff survey, DG ECHO has put in motion since early 2017 a series of actions: these include the consultation of staff on the concerns that were translated in the results of the 2016 exercise, the organisation of a Management Retreat to discuss the findings of this consultation and prepare the appropriate measures to be put in place, and the design of an Action Plan to reverse the current trend.

In an effort to contribute to the implementation of the goals described in the Commission's Equal Opportunities Strategy, DG ECHO will continue dedicating special attention to women applicants to middle management positions. The proactive encouragement of female candidates to several heads of unit posts that vacated in the end of 2016 is expected to increase the proportion of women middle managers in 2017. As a consequence, the target of 45% of female representation

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<sup>23</sup> for staff in Delegations only

in middle management by 2020 seems within reasonable reach. As far as senior management is concerned, DG ECHO has leaped from a 25% women representation in mid-2015 to 50% at the end of 2015 and 60% at the end of 2016. As for middle managers, the unprecedented number of vacancies between July 2016 and early 2017 – 6 in total – compared to the previously very low turnover in middle management positions has been a window of opportunity that DG ECHO has not failed to seize to increase female representation in these positions. DG ECHO will continue motivating and supporting the career development of female colleagues with a potential and interest for a management role, notably by increasing the percentage of women in deputy head of unit/head of sector positions.

A fulfilling working environment is the key to the successful motivation, engagement and well-being of staff. DG ECHO's goal in this area for 2017 is to maintain and further increase the quality of the work environment. DG ECHO has always put a special focus on staff well-being considering its specific operating context. Given that in the field, staff can be in dangerous and extremely challenging circumstances, security trainings and psychological support will continue to be provided in 2017. The results of the 2016 staff survey show a drop in the feeling of DG ECHO staff that the Commission cares about their well-being (from 25% in 2014 to 21% in 2016). DG ECHO plans to prepare a local fit@work programme that proposes well-being measures. This plan will be fed by the conclusions of the Management Retreat mentioned earlier in this section to identify the measures that will meet DG ECHO's staff expectation.

**Objective: The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.**

**Main outputs in 2017:**

Output	Indicator	Target 2017
A dedicated Talent Management strategy that encourages female employees to apply for middle management positions	<ol style="list-style-type: none"> <li>1. Share of female candidates applying for middle-management positions</li> <li>2. Percentage of female representation in middle management</li> </ol>	<ol style="list-style-type: none"> <li>1. &gt;30%</li> <li>2. 45%</li> </ol>
An assessment of the results of the 2016 staff survey and an action plan to address the issues identified	<ol style="list-style-type: none"> <li>1. Analysis of the results of the 2016 staff survey at middle and senior management level during the retreat in Q1 2017</li> <li>2. Employee Engagement Score on the 2018 staff survey</li> <li>3. Drafting of a specific</li> </ol>	<ol style="list-style-type: none"> <li>1. One (1) Management retreat addressing the 2016 staff survey results is organised in Q1 2017</li> <li>2. Employee Engagement Score 2018 staff survey &gt; 65%</li> <li>3. One (1) staff survey action plan finalised by 31/05/2017 at the latest</li> </ol>

	Action Plan with concrete actions	
Staff feel their well-being is cared for and feel engaged in their work	<ol style="list-style-type: none"> <li>1. Percentage of staff who feel that the Commission cares about their well-being</li> <li>2. Design of a local fit@work programme that proposes well-being measures such as burn-out prevention and mindfulness sessions.</li> <li>3. Security trainings provided to staff</li> </ol>	<ol style="list-style-type: none"> <li>1. &gt;30%</li> <li>2. One (1) fit@work strategy targeted to DG's needs designed by the end of 2017</li> <li>3. By end 2017, &gt;95% of relevant DG ECHO HQ and field staff have undergone security training courses (Hostile Environment Awareness Training, HEAT) prior to going on mission to high-risk areas</li> </ol>

### ***B. Financial Management: Internal control and Risk management***

The proper implementation of DG ECHO -funded operations, applicable to both management modes (direct and indirect management), is ensured through several layers of checks and controls at the various stages of the project cycle of operations. DG ECHO has set up a control architecture aimed at ensuring the adequate management of the risks relating to the legality and regularity of the underlying transactions, taking into account the nature of the payments concerned. The control objective is to ensure that the residual error rate does not exceed the European Court of Auditors' materiality criteria of 2% on both an annual and a multiannual basis. The residual risk of error is estimated by the residual error rate obtained from the implementation of the audit and control strategy after any corrections made resulting from the other supervisory and control systems in place.

The different controls should not be seen in isolation, each of them contributing to providing the overall reasonable assurance on the legality and regularity of transactions. Controls include regular and ad-hoc assessment of NGOs. The process starts with the assessment of non-governmental organisations (NGOs) who apply to become FPA (Framework Partnership Agreement) partners. NGOs can apply for the signature of the 2014 FPA with DG ECHO if they comply with the eligibility and suitability criteria established by Article 7 of the Humanitarian Aid Regulation, the Financial Regulation and on the basis of its Rules of Application. Once a partner, each NGO is assessed periodically in order to check that the conditions needed for the signature of the framework contract are still met. The methodology applied to the assessment of partners focuses on NGOs' financial robustness, the assessment of compliance of partners' procurement rules with the applicable general conditions, and a follow-up upon the audit recommendations that have been made to the partners in the framework of DG ECHO's audit strategy. Overall, DG ECHO signed an FPA with 200 NGOs. In 2016, 27 organisations applied for the signature of the FPA with DG ECHO. In the same year, 9 organisations were granted partnership following assessment of their applications (including assessments of applications



submitted in 2015). The target for 2017 is to complete all assessments within 6 months from the date of submission of the application<sup>24</sup>.

Monitoring of actions is one of the pillars of DG ECHO's control architecture and it is ensured by the geographical desks at headquarters and technical assistants in the field. Monitoring may in some cases, mostly for projects under remote management mode, not be possible due to problems of access, security and other constraints. The target for 2017 is to monitor over 95% of actions excluding projects under remote management.

The control architecture also includes ex-ante controls of all eligible expenditure claimed by the partners to ensure conformity with the applicable rules before performing the final payment. This control is done by both the operational and financial desks. In addition, ex-post controls are ensured by the implementation of the audit strategy and annual audit plans. The audit strategy ensures that every partner organisation is audited periodically, be it in the field or at headquarters. A sample of contracts with each chosen partner is selected for audit. The contract sample is designed to be a cross section of high and low value contracts, covering different countries and decision types while at the same time including any contracts judged to be higher risk (based on previous audits, specific requests or other risk assessments). Audits are then carried out on all the costs incurred on these contracts using standard audit methodologies. If any systemic errors are found, auditors are asked to audit all transactions within the same budget heading on that contract (rather than extrapolate based on a sample). In 2017, some 300 projects will be audited covering humanitarian aid and civil protection budget expenditure.

The principle of efficiency concerns the best relationship between resources employed and results achieved. The main components of the estimated cost of the control strategy are the total costs of staff whose time is, partly or entirely, dedicated to quality assurance, control and monitoring activities and the financial resources allocated to services provided by external auditors. The ineligible items that are detected and corrected through ex-ante and ex-post audits make up the quantifiable benefits of the control strategy. There are, however, a number of non-quantifiable benefits resulting from the controls operated at different control stages. The benefits of control in non-financial terms cover: better value for money, quality assurance and compliance with professional quality standards, deterrent effects, efficiency gains, system improvements and compliance with regulatory provisions.

Other indicators used to ensure sound financial management are the average time to pay a partner and the number of payments that are executed within the legal time. In 2016, the average time to pay was 28.2 days and 81.5% of payments were executed within the legal time. To maintain and improve this performance where possible in 2017, DG ECHO will continue the correlated actions e.g. raising

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<sup>24</sup> Provided the information submitted by applicants is complete and adequate. Requests for complementary information and/or clarifications will not be counted in the computation of the six-month time-line.

awareness among staff, reallocating responsibilities and improving the workflow within the DG.

DG ECHO developed its Anti-Fraud Strategy (AFS) in 2013 as foreseen in the Commission's overall Anti-Fraud Strategy (CAFS). In 2016, DG ECHO updated the strategy to cover the period 2016-2020, taking into account, among other things, the observations made by the Internal Audit Service (IAS) following their audit of the AFS. The AFS relies on a set of controls aimed at preventing and detecting fraud. They are essentially embedded in those measures intended to ensure the legality and regularity of the transactions. One of the objectives of the Anti-Fraud strategy is therefore to establish a control architecture that integrates a systematic consideration of fraud risk, especially during the monitoring of partners and actions, and during ex-post audits and verification missions.

**Objective 1: Effective and reliable internal control system giving the necessary guarantees concerning the legality and the regularity of the underlying transactions**

**Main outputs in 2017:**

Output	Indicator	Target 2017
Expenditure budget is subject to ex-ante controls	Percentage annual budget covered by ex-ante controls	> 100%
Expenditure budget is subject to ex-post controls	Percentage annual budget covered by ex-post controls	> 95%
Residual error rate is below the materiality criteria	Percentage of residual error rate	< 2%

**Objective 2: Effective and reliable internal control system in line with sound financial management**

**Main outputs in 2017:**

Output	Indicator	Target 2017
An audit plan for field and HQ audits and verifications is implemented	Degree of implementation of the audit plan	> 80% of the audit plan is implemented
Average time to pay is improved from 2015	Average number of days to execute payment	≤ 25 days
Payments are made within legal time	Percentage of payments within legal time	≥ 85 %
Assessment of candidate FPA partners is completed within 6 months (based on a complete file)	Time lapsed from submission of application to initial decision by HoU	≤ 6 months
Actions are monitored	Percentage of projects monitored in the field	≥ 95 %

	excluding projects under remote management	
Level of control costs/funds managed	Cost of controls over expenditure	< 2.7%

**Objective 3: Minimisation of the risk of fraud through application of effective anti-fraud measures, integrated in all activities of the DG, based on the DG's anti-fraud strategy (AFS) aimed at the prevention, detection and reparation of fraud.**

**Main outputs in 2017:**

Output	Indicator	Target 2017
Awareness of staff (HQ and field) on the AFS is assessed through specific surveys	Rate of responses received	> 50 % rate of responses received
The AFS is disseminated among staff via mandatory trainings and workshops. Insight of staff on the control architecture and its functioning is gained in these trainings and workshops.	Rate of staff attendance	> 50 %
Official update of the document "Follow-up of allegations concerning DG ECHO activities"	Formal approval and circulation among HQ and field staff	Document approved by senior management

### **C. Better Regulation**

*The main planned outputs linked to the Better Regulation objective in the Strategic Plan are listed in Part 1 under the relevant specific objective. They are presented in the tables under the headings "All new initiatives and REFIT initiatives from the Commission Work Programme" and "other important items".*

### **D. Information management aspects**

An effective information management culture allows the Commission to rely on complete and relevant information to support all its activities and make it a better performing organisation. DG ECHO's key actions in 2017 that will be conducive to achieving the objective of an effective information management described in the Strategic Plan 2016-2020 are detailed herein.

The first indicator of effective information management relates to the filing of registered documents in at least one official file of the Chef de File in ARES<sup>25</sup>. DG ECHO had already achieved significant progress on this aspect in 2016 – by providing targeted document management training to unit secretariats in order to responsabilise the target audience, raise awareness and provide the appropriate tools – achieving 0% of non-filed documents by the end of 2016. DG ECHO will continue its efforts in 2017 in order to maintain that result.

The second indicator detailed in the Strategic Plan 2016-2020 focuses on the ease of readability and access of HAN files<sup>26</sup> to all units throughout the DG. DG ECHO performs very well in this respect, with over 90% of HAN files that are accessible to its staff. Efforts in 2017 will aim at maintaining a range of shared HAN files from 90% to 95%, while permanently taking into consideration DG ECHO's data protection provisions regarding staff related information.

The third indicator of effective information management relates to the sharing of HAN files with other DG's. This indicator is currently low with less than 5% registered files shared outside DG ECHO in 2016. During the reorganisation of the DG in 2016, a review of the sensitivity level of certain files was carried out and resulted in a higher number of files accessible Commission wide. Actions will be implemented in 2017 to increase the number of documents shared while paying close attention to the level of confidentiality and sensitivity of the documents. Following a selection of sharable documents, guidance and instructions will be given to the staff concerned.

**Objective: Information and knowledge in DG ECHO is shared and reusable by other DGs. Important documents are registered, filed and retrievable.  
Main outputs in 2017:**

Output	Indicator	Target 2017
Registered documents are appropriately filed in at least one official file of the Chef de File in Ares	Document management trainings are implemented and lists of unfiled documents are regularly sent to concerned staff	100% of documents filed

<sup>25</sup> Advanced Records System (ARES) is a web application used by all the Commission's Services, the Cabinets, the Executive Agencies, the European External Action Service and EU Delegations to register, file and store their documents in the common repository for electronic documents.

<sup>26</sup> HAN: HERMES / ARES / NOMCOM Informatic Tools. It is a suite of tools designed to implement the [e-Domec policy rules which can be found here: https://myintracomm.ec.europa.eu/corp/sg/en/edomec/doc\\_management/Documents/recueil\\_dec\\_md\\_a\\_en.pdf](https://myintracomm.ec.europa.eu/corp/sg/en/edomec/doc_management/Documents/recueil_dec_md_a_en.pdf)

HERMES implements the rules for document management defined in the framework of the e-Domec project. Official documents are stored in ARES. NomCom manages the filing plan and the files list for the whole Commission. It also gives a single identifier to all official files.

HAN files are easily readable/ accessible by all units in the DG	Maintain the current level of HAN files that are easily accessible by all units in the DG	90% to 95% of HAN files are easily accessible by all units in the DG
HAN files are accessible to other DG's	Specific sharing instructions are sent to concerned staff for a careful selection of sharable files	5% to 10% of HAN files are shared with other DG's

### ***E. External communication activities***

DG ECHO's communication activities cover a wide range of crisis-related activities, including external humanitarian aid, civil protection, the EU Aid Volunteers programme and the new Emergency Support Instrument actions in Greece related to the EU refugee situation. The primary communication objective is effective communication in crisis and disaster situations. Communication in sudden onset and large-scale emergencies (such as Haiti, Syria, Iraq, etc. in 2016) always takes priority over other communication activities. Nevertheless, DG ECHO will continue to promote a set of overarching thematic messages through its even more strategic communication campaigns. These will support the priorities outlined in Commissioner Stylianides' mission letter and contribute to the overall priorities of the Commission, particularly "EU as A Global Actor" but also others, such as "Towards a New Policy on Migration". This will be done by means of public awareness-raising and / or advocacy actions aiming to increase the understanding of and support for DG ECHO's activities and other policy priorities, both in Europe and beyond.

#### Significant communication actions for the year

##### *Humanitarian Aid and integrated communication campaigns*

DG ECHO will make significant contributions to major corporate communication themes in 2017 including the activities led by DG COMM relating to the 60th anniversary of the Rome Treaty and the European Solidarity Corps.

Awareness-raising activities and campaigns will place emphasis on showcasing the tangible results of EU's humanitarian actions. These will be implemented, whenever possible, in close consultation and cooperation with other relevant services of the Commission<sup>27</sup>.

These actions will include one major campaign to increase awareness, the understanding of and support for humanitarian issues, funded under the Humanitarian Aid Worldwide Decision on the priority policy themes of education in emergencies. In addition a second campaign on EU crisis response, including civil protection activities, will be launched.

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<sup>27</sup> For example, the communications related to the EU Emergency Support Instrument and to the EU Civil Protection Mechanism activities in Greece must remain embedded in the Commission's larger strategy that encompasses actions by, amongst others, the Secretariat-General, the EEAS, DG DEVCO as well as by DG HOME.

Major campaigns may also be linked to recognised 'international days' and may also be carried out jointly in close collaboration with partners linked directly to project activities, as described below.

#### *2017 Wider Communication Activities*

In addition to the corporate and DG ECHO's own integrated campaigns, DG ECHO will support the following key communications' priorities for 2017:

- The EuroNews contract intends to support up to 10 programmes
- Organised media visits to the field
- Significant activities in relation to 12 priority 'International Days'
- The promotion of EU Aid Volunteers programme
- Support for and promotion of the Civil Protection Forum

<b>Main outputs in 2017</b>			
<b>Significant Actions</b>	<b>Communication</b>	<b>Indicator</b>	<b>Target</b>
Communications related to emergencies	campaign related to education in emergencies	Number of people reached	40 million
Communications related to crisis responder	campaign related to crisis response / first responder	Number of people reached	30 million
International Days' activities e.g. World Humanitarian Day		Number of people reached	20 million
Civil Protection Forum		Number of people reached	1 million
Sponsoring media visits to the field		Media coverage	100 articles
Humanitarian aid TV output (Euronews)		Reach per broadcast	1 million

#### *Project visibility*

DG ECHO will work with partner organisations on joint communications actions funded via the visibility lines in project contracts. Partnerships will be prioritised on the basis of proven communication capacity. DG ECHO will continue to encourage partners – especially those working in regions with a high media focus – to propose 'above standard' visibility plans, through which they can apply for a higher level of funding for a more significant communication outreach. As examples, the World Food Programme will roll-out major information campaigns: one in the EU and Turkey on the Emergency Social Safety Net, and the second campaign on "Saving Lives, Changing Lives, Building the Future" in Ethiopia. Several of our partners will also implement smaller-scale standard visibility actions from all regions.

Partners will also be encouraged and supported in boosting the visibility of the EU in their communication and visibility activities and products in each of the operational actions in Greece. This will be achieved through a number of initiatives

including the use of standard visibility / visual identity products, joint press releases with leading EU humanitarian aid partners in Greece and ensuring the delivery of blogs, photos, videos and stories from the field.

#### Tools and channels

Description	Indicator	Target 2017
Website	<ul style="list-style-type: none"> <li>Number of DG ECHO website unique visitors</li> </ul>	>= 700 000
Videos	<ul style="list-style-type: none"> <li>Number of views of videos financed by DG ECHO on digital platforms</li> </ul>	>= 1 500 000
Social media	<ul style="list-style-type: none"> <li>% increase in Twitter followers</li> <li>% increase in Facebook page 'likes'</li> </ul>	>= 20% (to 54 000) >= 30% (to 210 000)

#### *Media Activities*

DG ECHO will maintain its engagement with mainstream media, principally through at least 6 organised visits by European journalists to EU funded humanitarian projects and through a continuing engagement with EuroNews (started in 2016) for a regular magazine programme.

#### *Ongoing website, audio-visual and social media engagement*

The "Civil Protection and Humanitarian aid" website will continue to host high-quality stories from the field – these will continue to take the form of headlines, blog posts, photo stories and videos – which offer unique angles on ongoing projects. These products will not only be hosted on the site, but also disseminated to 3rd party sites e.g. Thomson Reuters, ReliefWeb and IRIN. DG ECHO will also aim to grow its follower base on several social media channels including Facebook, Twitter, Instagram, YouTube, Google+, and Flickr.

Annual communication spending:	
Baseline (2016)	Estimated commitments (2017)
€ 5.3 m <sup>28</sup>	€ 3.8 m

#### ***F. Example(s) of initiatives to improve economy and efficiency of financial and non-financial activities of the DG***

DG ECHO will play a leading role in driving momentum and pursuing concrete results under the Grand Bargain, the package of reform proposals launched during the 2016 World Humanitarian Summit to improve the efficiency and effectiveness and humanitarian funding. As member of the Grand Bargain Facilitation Group, DG

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<sup>28</sup> The 2016 budget was increased notably to respond to the communication activities linked to the World Humanitarian Summit in Istanbul

ECHO will be in charge of the independent annual progress report on the Grand Bargain, to be delivered ahead of the annual meeting in July. As co-convener together with UNOCHA, DG ECHO also takes a particular responsibility for improving needs assessments, which are at the base of swift, coordinate and efficient aid delivery. DG ECHO is also reviewing relevant internal procedures to make sure that these are fit for purpose in meeting the commitments of the Bargain.

Work on developing a DG ECHO Results Framework will also be taken forward in 2017. Fully implemented, a Results Framework would provide a tailored interface supporting decision-makers and practitioners with key metrics on humanitarian needs, results, performance and resources. The Results Framework will underpin the effective and efficient implementation of EU humanitarian aid through *inter alia* contributing to evidence-based decision making and policy development and assisting project monitoring, reporting, accountability, transparency and communication by availing easy to understand quantitative data.