



# **Management Plan 2016**

Directorate-General Humanitarian Aid  
and Civil Protection - ECHO

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## **PART 1. Overview of main outputs for the year**

This part highlights the key deliverables ECHO will implement in 2016 to bring reality to the achievement of the general and specific objectives defined in the multi-annual Strategic Plan.

### **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**

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.

#### *Needs Assessment*

ECHO is committed to providing adequate and effective relief and protection to populations affected by natural or man-made disasters on the basis of need. To achieve this objective, 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 2016 and serve also as the foundation for the Humanitarian Implementation Plans (HIPs) prepared by ECHO.

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, 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.

#### *World Humanitarian Summit*

ECHO pushes for strong coordinated efforts of the international community to respond to the humanitarian challenges worldwide and for better disaster risk management. The first ever multi-stakeholder World Humanitarian Summit (WHS), called by UN SG Ban Ki-moon, will take place on 23-24 May 2016 in Istanbul. The EU has been at the forefront of supporting the WHS. Above all, the Commission Communication of 2 September 2015<sup>1</sup> outlined the EU's priorities for the WHS: upholding International Humanitarian Law; ensuring effective aid delivery; closer humanitarian-development cooperation, including in protracted crises; efficient and sufficient humanitarian financing. This line was largely confirmed by Council Conclusions and a European Parliament Resolution, both in December 2015.

#### *Education in Emergencies*

Children affected by conflict are a particularly vulnerable group. This is why education in emergencies will also be at the forefront of ECHO's actions. Commissioner Christos Stylianides announced during the Oslo Summit on Education for Development (July 2015) the scale-up of related EC's support, dedicating to education 4% of the 2016 humanitarian aid budget. Additional funding for education will thus be channelled through the EU Children of Peace initiative and the mainstreaming of education in the humanitarian aid interventions. Humanitarian assistance can reduce the vulnerability of children in conflict areas. For these children, education can be lifesaving, as it can give them a sense of normalcy, safety, teach them important life skills and restore the hope for a better life. Education is often considered a priority by the affected communities themselves.

#### *Cash aid modality*

In addition to the strategic funding allocation, ECHO also pays particular attention to the modalities used to deliver adequate, effective and needs-based humanitarian assistance. In certain humanitarian disasters, the supply of food to markets and shops is sustained, yet, the affected population loses the means to buy it. In such cases, the cash aid approach ensures humanitarian aid reaches directly those with the greatest need in a timely manner. Cash transfers are quick to deliver, cost-effective and provide people in need with greater choice. Among its advantages are benefits for local economies, empowerment of the beneficiaries, and dignity and decision power to people who can choose the items they would like to buy. The cash system has shown to help the morale of those in needs and also prepares the ground for linking relief, rehabilitation and development (LRRD) activities. In 2016, ECHO aims to achieve 30% of cash transfers to people in need. This target is considered realistic given that currently approximately 30% of food assistance projects include a cash and/or voucher component. Efforts will be made in all sectors to raise awareness among operational colleagues and field staff to ensure that the choice of delivery modality is systematically

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<sup>1</sup> COM(2015) 419 final

subject to assessment when projects are contracted. The necessity to systematically evaluate alternative delivery modalities is also highlighted in the HIPs.

### *Civil Protection*

In 2016, ECHO's Civil Protection assistance 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 Mechanism 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. Civil protection expenditures in 2016 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 main innovation stemming from the 2013 EU legislation on the Union Civil Protection Mechanism<sup>2</sup>. The ERCC monitors emergencies around the globe 24/7, and coordinates the response of the Mechanism's 33 participating countries 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 will increase the coverage, quality and rapidity of response.

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. Transport grants and calls on the broker depend on emergencies and requests for assistance received.

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<sup>2</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)

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

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 over the last decades, resulting from global trends including climate change, urbanisation and population growth. The number of lives lost and the economic damages incurred have increased dramatically many-fold. 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 effective. On average, every euro spent for reduction and preparedness activities saves between four and seven euros which would be spent to respond in the aftermath of disasters.

At the international level, work on disaster risk management is drawn together under the Sendai Framework for Disaster Risk Reduction 2015-2030, adopted at the third UN world conference on disaster risk reduction in March 2015 and endorsed by the UN General Assembly. 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.

The Disaster Preparedness ECHO programme (DIPECHO) targets the enhancement of local preparedness capacities so that early action can be taken to reduce hazard impacts, assets and human losses, and humanitarian needs. DIPECHO is a core element of ECHO's Disaster Risk Reduction (DRR) global efforts and is fully integrated in the Humanitarian Aid Financing Decision. All ECHO Humanitarian Implementation Plans incorporate an analysis, using the Integrated Analysis Framework, of options and priorities for preparedness, early action and DRR. In 2016, DRR activities will be mainstreamed in 45% of all humanitarian operations.

ECHO recognises the strong link between relief, recovery and development by working closely with EU delegations in the analysis, prioritisation and design of recovery strategies in the aftermath of crises and disasters. ECHO advocates for the integration of DRR efforts into development aid in order to ensure sustainable policies, particularly in countries at high risk. By seeking complementarity and partnership in its DRR action, ECHO engages pro-actively with other services of the Commission, Member States, partners and donors to coordinate commitments to strengthening DRR and its contribution to resilience. ECHO also supports the resilience and DRR related activities of the European Union Trust Funds (EUTF). ECHO seeks the complementarity and coordination between humanitarian and longer-term interventions financed by the EUTF, in particular related to joint risk management initiatives, addressing underlying causes of vulnerability and LRRD (Linking Relief, Rehabilitation and Development) activities in West Africa (including AGIR) and the Horn of Africa (SHARE).

In an effort to contribute to the implementation of the Sendai international framework developed during the UN World Conference on Disaster Risk Reduction in March 2015, 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 Union Civil Protection Mechanism (UCPM). It is expected that 2 Southern and 2 Eastern Neighbours will sign common understandings (so-called "Associated Partnerships") in the second half of 2016. In 2016, active follow-up will ensure full implementation of 7 civil protection projects and 11 civil protection exercises in IPA II<sup>3</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 2016<sup>4</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.

The objectives outlined in the 2016 EU Aid Volunteers Work Programme<sup>5</sup> include contributing to resilience building and disaster risk management in vulnerable, fragile or disaster affected countries and providing capacity building and technical assistance for hosting and sending organisations. Actions will, among other things, focus on the selection, training and deployment of 350 volunteers in the framework of a training programme to support the capacity building and technical assistance for hosting and sending organisations. Participants will have the possibility to take part in apprenticeship placements in Europe before deployment. The target will notably be achieved by implementing the detailed EUAV Communication Action Plan<sup>6</sup> developed to promote the identity and positive contribution of EU Aid Volunteers, with a target audience of European citizens and the general public in countries where EUAVs are to be deployed. For example, "EU Aid Volunteers as Ambassadors", following deployment, will be involved in outreach activities to champion the initiative.

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<sup>3</sup> IPA II (Instrument for Pre-Accession) sets a new framework for providing pre-accession assistance for the period 2014-2020

<sup>4</sup> Commission Implementing Decision of 30.11.2015 adopting the Annual Work Programme 2016 in the framework of Decision No 1313/2013/EU on a Union Civil Protection Mechanism

<sup>5</sup> Commission Implementing Decision of 15.12.2015 adopting the Annual Work Programme 2016 and the financing for the implementation of Regulation (EU) No 375/2014 establishing the European Voluntary Humanitarian Aid Corps

<sup>6</sup> [http://ec.europa.eu/echo/files/euaidvolunteers/EUAV\\_CommunicationPlan\\_en.pdf](http://ec.europa.eu/echo/files/euaidvolunteers/EUAV_CommunicationPlan_en.pdf)

Relevant general objective: A stronger Global Actor		
Specific objective: People and countries in need are provided with adequate and effective humanitarian and civil protection assistance		Related to spending programmes: Humanitarian Aid and Union Civil Protection Mechanism
Main outputs in 2016:		
Description	Indicator	Target 2016
Actions funded cover most pressing humanitarian needs	Initial funding allocation on the basis of INFORM, Crisis assessment, FCA and IAF: - North Africa, European Neighbourhood, Central Asia and Middle East: € 334.1M - Sudan & South Sudan, Horn of Africa, Great Lakes, Southern Africa and Indian Ocean: €208.3M - West and Central Africa: €200.9M - South Asia & Pacific: €67M - Central & South America and Caribbean: €17.15M - EU Trust Fund: €10M - Complementary operations: €55.6M	100% of actions funded cover most pressing humanitarian needs
A portion of humanitarian aid funds is spent in forgotten crisis	Humanitarian aid projects will be implemented in the following 2016 forgotten crises: Bangladesh, Colombia, India, Myanmar, Philippines, Algeria, Libya, Sudan, Cameroon, Chad, Pakistan, Egypt, Yemen	>15% initial planned budget is spent in forgotten crises
Budget is allocated to education in emergencies as new priority area	Percentage of the 2016 operational budget spent on education in emergencies worldwide	4% of initial adopted budget allocated to EiE
Cash transfers are made to people in need as a form of efficient humanitarian aid	Percentage of transfers to beneficiaries in the form of cash as modality	30% cash transfers
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	2 contracts 5 contracts
Response capacities are registered in the European Emergency Response Capacity	Number of types of modules and other response capacities registered	17 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	€ 11.5 M



Specific objective: People and communities at risk of disasters are resilient		Related to spending programmes: Humanitarian Aid, Union Civil Protection Mechanism, EU Aid Volunteers
Main outputs in 2016:		
Description	Indicator	Target 2016
DRR is mainstreamed in humanitarian aid operations	Percentage of humanitarian aid projects with DRR mainstreamed	45%
Civil Protection projects are implemented in IPA II and EU Neighbourhood countries	Implementation of IPA II and Neighbourhood programme	7 CP projects
Civil Protection exercises are implemented in IPA II and EU Neighbourhood countries	Implementation of IPA II and Neighbourhood programme	11 CP exercises (1 in IPA II country, 4 in PPRD South and 6 in PPRD East)
Volunteers are trained and deployed	Call for proposals is launched	350 volunteers trained and deployed

## 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 60 million refugees and IDPs in 2015. The Commission is committed to provide support to these populations 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.

One of the priorities is to bridge the shortfall in funding for the Syria crisis. This is partly the direct cause of the increased flows of refugees in the Eastern Mediterranean, but it is also partly the result of "donor fatigue". Humanitarian aid being amongst the most flexible and swift of the tools at the EU's disposal, the related 2016 budget has been increased by €300 million compared to the level proposed in the draft budget. ECHO will provide humanitarian relief to the population in Syria, in particular to internally displaced persons, and financial support to neighbouring countries hosting the highest number of refugees. Turkey is hosting today more than 2.5 million refugees. In order to increase humanitarian operations in Turkey, ECHO will contribute to the newly established Turkey facility and will channel €165 million through the facility.

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, and will contribute to the EU Regional Trust Fund in response to the Syrian crisis (Madad Fund) which will help millions of Syrian refugees and overstretched host communities in Lebanon, Turkey, Jordan and Iraq through the provision of basic goods and services.

So far, the international community 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 is indispensable to look for development-based approaches to prevent displacement crises from becoming protracted and resolve existing protracted displacement. This is why ECHO works closely with DEVCO and NEAR to seek firm engagement of development and political actors, including governments and donors, via policy ownership and programming, advocacy and political dialogues, as early as practicable into situations of protracted displacement with the aim to avoid/reduce continued dependency on humanitarian aid, increase resilience, create self-reliance, livelihoods and durable solutions. The Commission (DEVCO and ECHO jointly, NEAR closely associated) has initiated a process for further reflection on strengthening a developmental approach to forced displacement. The purpose of this reflection is to provide the Commission with orientations on how to build a development oriented strategy in order to respond to forced displacement, in close coordination and complementarity with the humanitarian approach. Such a strategy would lead to strengthened self-reliance and livelihoods for refugees; internally displaced persons (IDPs) and returnees and a reduction in continued dependency on humanitarian aid. The ultimate objective is to draft an operational strategic paper that could be adopted as a Communication in mid-2016.

In parallel to responding to the refugee crisis in the source and related neighbouring countries, it is as crucial to channel emergency support to refugees in the European Union. For the first time in its history, the Union is facing wide ranging humanitarian consequences of the global refugee crisis on its own territory. Immediate additional coordinated action is required to complement and support the Member States' response and ensure that the EU can avert a full-blown humanitarian tragedy within its borders.

In line with the mandate received from the European Council, the measures contained in the Emergency Support Regulation, proposed by the Commission on 2 March 2016, address the gap in the EU's toolbox. The TFEU does not allow for the use of humanitarian funding to cater for needs arising within the EU, and the existing UCPM is also not suitably equipped to address the wide-ranging structural humanitarian needs resulting from the refugee crisis. The proposed Regulation foresees the possibility for ECHO to mirror the actions it normally performs in third countries inside the Union. These include assistance, relief and protection operations aimed at preserving life, alleviating suffering and safeguarding the human dignity of refugees in the Union.

These actions will support and complement the actions of the affected Member States and will be carried out in close cooperation with the latter. In this context, synergies and complementarity shall be sought with other instruments of the Union, in particular with respect to those instruments under which some form of emergency assistance or support may be offered, such as the European Union Solidarity Fund (EUSF), the Asylum, Migration and Integration Fund (AMIF) and the Internal Security Fund (ISF). The regulation is expected to be adopted in March.

The UCPM is a complementary instrument 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. 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 Situational Awareness and Analysis (ISAA) reports and the uploading of documents on the IPCR web platform. The ERCC also ensures the logistical arrangements for the organisation of meetings related to the crisis (leader's follow-up, refugee contact group, daily 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 2016:</b>		
Description	Indicator	Target 2016
Budget is dedicated for project components targeting refugees/forced displacement situations	Budget for Syria-Iraq crises; including Turkish Facility Response through Africa Emergency Trust Fund	€ 525 M € 165 M € 10 M
Communication on forced displacement and development is published	Publication of a communication providing an approach to support refugees, IDPs, returnees and host populations in partner countries	Q2 2016
ISAA reports are facilitated by the ERCC	ISAA reports are produced in collaboration with the EU Situation Room and other Union crisis centres	46 reports (weekly basis, except holidays – depending on Presidency's decision on the frequency of ISAA reports and on the continuation of the current activation of IPCR arrangements)

Meetings are organised by the ERCC for the coordination of the crisis response	Logistical arrangements are made for organisation of meetings	200 meetings (including ECHO internal coordination meetings)
Budget is dedicated to co-financing transport of assistance delivered via the UCPM for the migration crisis	All transport of the assistance delivered is co-financed	≥ €500,000

### 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**

The UCPM legislation provides<sup>7</sup> for an allocation of the 2014-2020 financial envelope by percentages between prevention, preparedness, and response. 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. 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. 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 2016 UCPM Work Programme<sup>8</sup>, 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 2016 target for the budget allocation to prevention will require the implementation of all 18 selected civil protection projects 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

<sup>7</sup> Article 19(4) and Annex I.

<sup>8</sup> [http://ec.europa.eu/echo/sites/echo-site/files/Civil\\_Protection\\_AWP\\_2016\\_en.pdf](http://ec.europa.eu/echo/sites/echo-site/files/Civil_Protection_AWP_2016_en.pdf)

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 2016, ECHO is working on the creation of 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>9</sup> standards and processes, the design of training and exercise curricula and the liaison with health colleagues in Member States and the Commission. ECHO aims to have the 17 modules required in the Commission implementing Decision of the UCPM<sup>10</sup>, plus at least 3 new modules of the European Medical Corps with quality and interoperability requirements defined in the framework of the EERC.

<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 2016:</b>		
Description	Indicator	Target 2016
Budget is allocated for disaster prevention	Percentage of Civil Protection budget contributing to disaster prevention	18% 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

<sup>9</sup> World Health Organisation

<sup>10</sup> Commission Implementing Decision of 30.11.2015 adopting the Annual Work Programme 2016 in the framework of Decision No 1313/2013/EU of the European Parliament and of the Council on a Union Civil Protection Mechanism

## **PART 2. Organisational management outputs for the year**

This part describes the key organisational outputs ECHO will deliver in 2016 intended to be conducive to the achievement of the related objectives set out in the Strategic Plan 2016-2020

### **A. Human Resource Management**

The 2016 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 and b) a more attractive working environment.

In an effort to contribute to the implementation of the goals described in the Commission's Equal Opportunities Strategy, ECHO will dedicate special attention to women applicants in case of middle management mobility. For instance, two management positions are likely to become vacant in 2016 due to retirement, for which qualified female candidates will be proactively sought. In addition, ECHO will deliver career development activities targeted to women interested in senior management positions in order to attract, develop, motivate and retain female staff in these positions.

A fulfilling working environment is the key to the successful motivation, engagement and well-being of staff. ECHO's goal in this area for 2016 is to maintain and further increase the quality of the work environment. 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 2016.

In a continued effort to follow up on the Staff Listening Exercise ECHO carried out in 2015, recommendations to senior management will be made in an effort to address the main findings of the exercise. Focus will be on those findings that have an impact on staff well-being, working relationships, motivation levels and organisational management. ECHO will also tackle staff well-being and engagement through its Learning and Development Strategy notably by providing training sessions on working methods and stress management. Increased commitment from senior management in events/workshops revolving around Human Resources management topics will be essential to ensure an improved working climate.

Overall, staff well-being is inevitably impacted by the increasing number and intensity of crises ECHO is dealing with in an environment of resources restrictions. Hence, ECHO continuously seeks opportunities for efficiency gains in ways of working and enhancement of organisational performance.

**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 2016:**

Description	Indicator	Target
A Talent Management strategy that encourages female employees to fulfil middle management positions	<ul style="list-style-type: none"> <li>- Specific attention to women applicants in case of middle management mobility,</li> <li>- Targeted career development activities for female employees</li> </ul>	<ul style="list-style-type: none"> <li>≥ 2 career development activities targeted to female employees</li> </ul>
Staff feel their well-being is cared for and feel engaged in their work	<ul style="list-style-type: none"> <li>- Analysis of the 2015 Staff Listening Exercise results focusing on issues such as staff motivation, working relationships, well-being and organisational management,</li> <li>- Stronger focus of the ECHO Learning and Development Strategy on well-being and stress management activities,</li> <li>- Security trainings provided to staff</li> <li>- A more active participation from senior management in events/ information sessions on HR management issues.</li> </ul>	<ul style="list-style-type: none"> <li>- Recommendations stemming from the Staff Listening Exercise are submitted to senior management, Q1 2016,</li> <li>- Further implementation of well-being measures (which started in 2015 as a result of the Staff Listening Exercise) focusing on improving office accommodation, logistical arrangements and burn-out prevention,</li> <li>- Availability of a well-being room for staff activities,</li> <li>- 2016 Staff Survey results are improved compared to 2015,</li> <li>- In the 2016 Commission Staff Survey, the percentage of ECHO staff who feel that the Commission cares about their well-being and the staff engagement index are above Commission average,</li> <li>- At least 40 training sessions in 2016 directly linked to ECHO strategic priority areas which includes efficient working methods and stress management,</li> <li>- 6 security training courses (Hostile Environment Awareness Training, HEAT) for HQ and field staff,</li> <li>- 3 additional security training courses on specific topics for field staff (e.g. first aid training, safe driving, armoured vehicle driving),</li> <li>- 3 lunchtime sessions on security topics (security clearance procedure, high risk country list) for HQ staff</li> <li>- 3 staff meetings with senior management participation.</li> </ul>

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

The proper implementation of 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. 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 who apply to become FPA (Framework Partnership Agreement) partners. NGOs can apply for the signature of the 2014 FPA with ECHO if they comply with the eligibility and suitability criteria established by the Article 7 of the Humanitarian Aid Regulation, the Financial Regulation and on the basis of its Rules of Application. Once a partner, NGOs are 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 ECHO's audit strategy. In 2015, 24 organisations applied for the signature of the FPA with ECHO. In the same year, 10 organisations were granted partnership following assessment of their applications (including assessments of applications submitted in 2014). The target for 2016 is to complete all assessments within 6 months from the date of submission of the application.

Monitoring of actions is one of the pillars of 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 2016 is to monitor more than 90% 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 2016, some 180 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 2015, the average time to pay was 28.2 days (45,9 days in 2015) and 83.8% of payments were executed within the legal time (70,1% in 2014). ECHO has significantly improved its performance on these indicators since 2014, by raising awareness among staff, reallocating responsibilities and improving the work flow within the DG. The goal for 2016 is to maintain this performance, or exceed it where possible. This will reflect the evolution of the end of the measures put in place to cope with the shortfall in payment credits during the period 2013-2015.

ECHO developed its Anti-Fraud Strategy (AFS) in 2013 as foreseen in the Commission's overall Anti-Fraud Strategy (CAFS). The strategy 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. For instance, assessment of the partners' approach to fraud prevention and detection is part of the audit programme followed in the implementation of the audit strategy. The AFS establishes objectives and a corresponding action plan aiming at enhancing the ability of the current control architecture to prevent and detect fraud, namely a guidance note for managing risk of aid diversion, developed early 2016, awareness raising internally and with external actors and enhancing cooperation with partners. As foreseen in the AFS, it will be reviewed and updated in 2016. The review will take into account the observations made by the Internal Audit Service (IAS) following their audit of the AFS. These include, among others, adapting the AFS by developing red flags for fraud detection in the specific context of humanitarian action. The action plan will be also updated to include staff surveys and training sessions on fraud detection.

**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 2016:**

Description	Indicator	Target 2016
Expenditure budget is subject to ex-ante controls	Percentage annual budget covered by ex-ante controls	> 95%
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 2016:**

Description	Indicator	Target 2016
Expenditure budget is covered in the estimation of cost of controls	Percentage of expenditure budget covered in estimating cost of control	94 %
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	≤ 28.2 days
Payments are made within legal time	Percentage of payments within legal time	≤ 83.8 %
Assessment of candidate FPA partners is completed within 6 months	Time lapsed from submission of application to decision by HoU	≤ 6 months
Actions are monitored	Percentage of projects monitored in the field	≥ 95 %

**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 2016:**

Description	Indicator	Target 2016
Anti-fraud Strategy is updated	Update takes into account IAS recommendations and better awareness raising	2016
Awareness of staff on the AFS is assessed through specific surveys	Number of surveys conducted	≥ 1
The AFS is disseminated among staff via trainings	Number of trainings sessions offered	> 2

## C. 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. ECHO's key actions in 2016 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>11</sup>. ECHO had already achieved significant progress on this aspect in 2015 – by providing targeted document management training to unit secretariats in order to responsabilise the target audience, raise awareness and provide the appropriate tools – achieving an impressive 8.75% of non-filed documents by the end of 2015. ECHO will continue its efforts in this direction in 2016 in order to reach the 0% target of unfiled documents by 2020.

The second indicator detailed in the Strategic Plan 2016-2020 focuses on the ease of readability and access of HAN files to all units throughout the DG. ECHO performs very well in this respect, with 91.38% of HAN files<sup>12</sup> that are accessible to its staff, against a Commission average of 78%. Efforts in 2016 will aim at maintaining a range of shared HAN files from 90% to 95%, while permanently taking into consideration 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 2.06% of registered files shared outside ECHO in 2015. Actions will be implemented in 2016 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.

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<sup>11</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>12</sup> HAN: HERMES / ARES / NOMCOM Informatic Tools. It is a suite of tools designed to implement the [e-Domec policy rules](https://myintracomm.ec.europa.eu/corp/sg/en/edomec/doc_management/Documents/recueil_dec_mda_en.pdf) which can be found here: [https://myintracomm.ec.europa.eu/corp/sg/en/edomec/doc\\_management/Documents/recueil\\_dec\\_mda\\_en.pdf](https://myintracomm.ec.europa.eu/corp/sg/en/edomec/doc_management/Documents/recueil_dec_mda_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.

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

**Main outputs in 2016:**

Description	Indicator	Target 2016
Registered documents are appropriately filed in at least one official file of the Chef de File in Ares	- Document management trainings for awareness raising and responsabilising unit secretariats	- 0% of unfiled documents
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	- A careful selection of sharable files will be followed by specific instructions to staff concerned	- 5% to 10% of HAN files are shared with other DG's

## **D. External communication activities**

DG ECHO's top communication priority is effective communication in crisis and disaster situations. Communication in sudden onset and big-scale emergencies (such as Ukraine, Syria, Iraq, etc.), also as part of the crisis management cycle, always takes priority over, and if necessary, puts aside other communication plans.

In 2016, beyond communications directly related to crises, ECHO will undertake to promote a set of thematic priorities. 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 communication actions aiming to increase understanding of humanitarian and emergency response issues, especially in Europe but also globally, thus underpinning EU's position as a leading humanitarian donor, global policy influencer and proactive emergency responder.

Awareness-raising activities and campaigns will place emphasis on showcasing the tangible results of EU's humanitarian action. These will be implemented, whenever possible, in close consultation and cooperation with other relevant services. These actions will include showcasing the impact of EU funded aid in the source countries of the refugee crisis, as well as on policy priorities such as education in emergencies and the EU Aid Volunteers programme. Targeted communication activities will cover EU's role in the World Humanitarian Summit of 2016. Where appropriate, actions will be shaped to support public advocacy on humanitarian principles and respect of International Humanitarian Law.

Under the priority theme of Education in Emergencies, ECHO will be partnering with UNICEF in a joint advocacy and communication campaign, "Against all odds". The campaign will convey inspirational stories about children and youth who have been able to pursue learning despite growing up in crises-affected areas. The campaign will build on a combination of events, media engagement and digital actions. The campaign will run for 17 months, with the emphasis in the second half of 2016 and early 2017. DG ECHO will also take steps towards a joint campaign focussing on women/girls in emergencies with a partner humanitarian organisation. The campaign will be shaped around messages related to resilience and local empowerment in EU-funded humanitarian action.

The EU Aid Volunteers initiative will develop further in 2016. A dedicated communication plan has been devised and is under implementation in close cooperation with implementing partners. The annual Volunteers Day in December is a well-suited gravity point for the main outreach and information activities linked to this EU-wide, Treaty-based initiative.

The launch of the European Medical Corps, a main novelty in EU emergency response, will be a natural communications focus in the civil protection area for 2016. Potential major Civil Protection deployments in sudden onset crises, including via the Voluntary Pool assets, will also be promoted in external communication as such operations normally constitute important outreach and visibility opportunities.

Furthermore, ECHO will boost its engagement to a strong communication strategy with mainstream media, principally through at least 6 organised visits by European journalists to EU funded humanitarian projects and through an engagement with Euronews for a regular magazine programme.

In parallel to the above described activities, ECHO will continue the best practice resulting from its wider strategic engagement 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.

Overall, ECHO's external communications will prioritise those actions that have a strong and proven impact, with the ultimate goal of contributing to the overall positive image of the European Commission. The overall planning and sequencing of actions will factor in policy and operational developments in ECHO as well as exogenous communication opportunities that may enhance outreach and momentum such as relevant "international days".

DG ECHO's area of work is characterised by possible sudden changes and crises developments. Following on to recent years' trend, 2016 is also likely to be characterised by high levels of emergencies and major, protracted crises possibly requiring reprioritisation of communications resources. Where circumstances trigger need for additional actions, these may alter or replace already programmed interventions. On the other hand, ad hoc actions, which are not directly linked to sudden crisis developments, will generally not be prioritised, as the projected communications impact of such unplanned actions is normally minimal.

**Objective: Citizens perceive that the EU is working to improve their lives and engage with the EU. They feel that their concerns are taken into consideration in European decision making and they know about their rights in the EU**

**Main outputs in 2016:**

Description	Indicator	Target 2016
Website <sup>13</sup> outreach	<ul style="list-style-type: none"> <li>Number of ECHO website unique visitors</li> <li>Number of ECHO website page views</li> <li>Number of ECHO website page views per visit</li> <li>% of ECHO website visitors referred from other social media and websites</li> </ul>	>= 800 000 >= 3.4 M >= 2.1 >= 22%
Videos outreach	<ul style="list-style-type: none"> <li>Number of views of videos financed by ECHO on digital platforms</li> </ul>	>= 900 000
Social media outreach	<ul style="list-style-type: none"> <li>Number of social media impressions (views)</li> <li>Potential fanbase ratio (reach) – for Twitter only</li> <li>% increase in Twitter followers</li> <li>% increase in Facebook page 'likes'</li> </ul>	>= 30 M >= 170 M >= 50% (to 47 565) >= 50% (to 159 823)
Print materials	<ul style="list-style-type: none"> <li>Number of ECHO materials distributed</li> </ul>	>= 60 000
Integrated communication campaigns	<ul style="list-style-type: none"> <li>Number of large scale integrated awareness raising campaigns with NGO/International Organisations on specific issues e.g. on education in emergencies and gender/women issues</li> <li>Number of integrated awareness raising campaigns on specific issues e.g. migration issues around World Refugee Day (in coordination with other relevant services such as HOME and NEAR), International Humanitarian Law and World Humanitarian Day.</li> </ul>	1  2
Participation in relevant events <sup>14</sup>	<ul style="list-style-type: none"> <li>Number of participants in events e.g. World Humanitarian summit, Aidex (Fair and Conferences)</li> <li>Participation in International Volunteers Day</li> </ul>	>= 2 500  December 2016
External media	<ul style="list-style-type: none"> <li>Launch of Euronews televised magazine (signature of contract)</li> <li>Number Euro journalist mission visits taken (through European Journalism Centre)</li> </ul>	1 contract signed and launched >= 6

<sup>13</sup> Europa Analytics (SAS) is the current corporate analytics tool. It will be phased out by 31/12/2016. Piwik Analytics is the new analytics tool which a number of services of the European Commission are currently using as pilot. ECHO is one of them. The tool is planned to become the corporate analytics tool in April 2016 – see message by COMM (Angelo Strano) of 27 November 2015 to Europa Forum members. Based on this and upon recommendation by COMM, ECHO will use Piwik as reference analytics tool for output measurement as indicated above from 2016.

<sup>14</sup> E.g. Fairs, festivals, citizens' dialogues, cultural events organised by the EC, local events, conferences, workshops, stakeholder meetings.

#### Annual communication spending of the DG (based on estimated commitments):

Baseline 2015:  
€ 3.33M

Target 2016:  
€ 5.3M

### *Initiatives to improve economy and efficiency of financial and non-financial activities*

Key Results Indicators (KRIs) were introduced by ECHO in the 2014 e-SingleForm for project proposals in the context of the Process Review. These indicators cover the Health, Shelter, Water and Sanitation, Nutrition and Food Security sectors which represents 80% of the ECHO humanitarian portfolio. The KRI have the potential to serve a number of purposes:

- Simplify the process of designing proposals by proposing a list of consensual, well-defined indicators covering the majority of (sub-)sectors;
- Facilitate the appraisal of proposals by making them comparable through common indicators;
- Strengthen project monitoring and reporting by using well defined indicators for project success and failure and align them with internationally agreed standards (Sphere, Global clusters);
- Enable the reporting on actual achievements on country, regional and global level;
- Contribute to evidence-based decision making and policy development;
- Support ECHO communication to the public by providing aggregated, easy to understand quantitative data, and strengthen transparency and accountability.

In 2014, KRI have been used in the e-SingleForms for nearly half of all approved projects. The goal in 2016 is to increase the use of KRIs by partners. Feedback from the partners has been relatively positive, however challenges in the application of the KRIs remain. ECHO will address those challenges by improving the KRIs' definition, formulation and presentation, in order to improve clarity, ease of use and strength of the evidence KRIs are likely to provide. To improve the data quality, methodological guidance on KRIs will be improved. This guidance will define acceptable data collection methods, as well as their rationale and limits.

Technological developments are also taking place since 2015 to respond to ECHO's reporting requirements and better exploit data collected by the indicators. On the one hand, the e-SingleForm has been adapted for complementary actions / capacity building projects, the list of sectors was updated to cater for new policy initiatives, and the data quality for Gender & Age markers / Resilience markers was improved. Additionally, a report on KRIs was developed and put in production (in HOPE Dashboard) last year, offering raw data on the KRI baselines, targets, progress and achieved values. And on the other hand, a web-based interactive dashboard that uses visuals to illustrate the data gathered from KRIs is under development. The tool, Echo Visual Analytics (EVA), provides analytical power that no ordinary software or spreadsheet can deliver out of the box. In addition to launching EVA in 2016, ECHO will also focus this year on further stabilising the backbone of these reporting tools.