



EUROPEAN COMMISSION  
DIRECTORATE-GENERAL HUMANITARIAN AID AND CIVIL PROTECTION - ECHO

**DG FOR HUMANITARIAN AID  
&  
CIVIL PROTECTION**

**MANAGEMENT PLAN 2013**

21/12/2012

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# 1. MISSION STATEMENT

The Directorate General for Humanitarian aid and Civil Protection (ECHO) aims at saving and preserving life, preventing and alleviating human suffering and safeguarding the integrity and human dignity of populations affected by natural or man-made disasters.

DG ECHO's mandate encompasses humanitarian assistance and civil protection, the two main instruments at the European Union's disposal to ensure rapid and effective delivery of EU relief assistance to people faced with the immediate consequences of disasters.

DG ECHO provides humanitarian aid to the most vulnerable victims of disasters in their immediate aftermath and also in cases of complex and protracted crisis situations, whenever needs arise that overwhelm the capacities of the governments and local authorities of the third countries concerned or when authorities in third countries affected are not willing providing assistance, for example in case of civil conflict, minorities, etc. DG ECHO's humanitarian assistance is based on the principles of humanity, neutrality, impartiality and independence, as endorsed in the European Consensus on Humanitarian Aid, and is implemented in partnership with international organisations and humanitarian NGOs. It is based on solid needs assessment conducted by DG ECHO's own network of experts present in crisis areas around the world and humanitarian actors on the ground.

In order to ensure the lasting impact of relief assistance on populations in countries affected by crisis, DG ECHO develops and implements policy frameworks aimed at maximising impact and results. In this context, maximizing the EU's contribution to resilience of population affected by disasters and conflicts, including through effective transition from relief to sustained development represents a major priority.

DG ECHO strongly supports the central and overall coordinating role of the United Nations in promoting a coherent international response to humanitarian crises and helps to make the EU's voice heard in international fora on humanitarian aid.

With regard to its civil protection mandate, DG ECHO encourages and facilitates the cooperation between the 32 States participating in the Civil Protection Mechanism and Financial Instrument (the 27 EU Member States, Norway, Iceland, Lichtenstein, Former Yugoslav Republic of Macedonia and Croatia) in order to improve the effectiveness of systems for preventing and protecting against natural, technological or man-made disasters in Europe. Through the implementation of the CP Mechanism and Financial Instrument, it ensures better protection of people, the environment, property and cultural heritage in the event of disasters.

Assistance based on resources made available by Member States is provided to Member States and third countries struck by disasters, in case of request by the government of the country concerned. Beyond disaster response, DG ECHO equally strives to enhance disaster prevention and preparedness, both within the EU and beyond.

Day by day, DG ECHO mobilises help for people in need. This help and assistance is a fundamental expression of the European value of solidarity with people in need, as endorsed and underpinned by the legal bases for both humanitarian aid and civil protection enshrined in the Treaty on the Functioning of the European Union.

DG ECHO also plays an instrumental role in contributing to a more informed and co-ordinated role for the EU in the area of humanitarian affairs, notably via the **Council Working Group on Humanitarian Aid and Food Aid (COHAFA)**. It represents a qualitative leap forward in the EU's ability to shape and react to events in the humanitarian field.

Furthermore, in order to improve the overall quality and coordination of the humanitarian system response, DG ECHO supports **enhanced response capacity** measures of its implementing partners, whether international organisations or NGOs.

In the field of **civil protection**, DG ECHO supports and complements the efforts of Participating States to minimise the impact of major natural or man-made disasters including the response to accidental marine pollution emergencies, inside or outside the European Union, where a request is made for assistance in accordance with the Mechanism.

The tasks ensured in the field of civil protection also include prevention and preparedness:

- Prevention: by implementing a range of activities contributing to the Hyogo Framework for Action and set out in the EU framework for disaster prevention contained in Council conclusions adopted in November 2009, and financing cooperation projects in that field;
- Preparedness: by managing a training programme (including courses, exercises and an exchange of expert scheme), developing the Disaster Management Training Arrangements called for in Council conclusions of November 2008, and financing cooperation projects in that field.

These activities aim at strengthening interpersonal links and enhancing operational co-operation between intervention teams from different countries. They contribute positively to the effectiveness of joint assistance interventions.

The activities in the area of international cooperation are established in order of priority with main focus on the candidate countries followed by neighbouring countries covered by the EU Neighbouring Policy. For these countries, preference is to pursue cooperation through regular support programmes rather than bilateral agreements. Another priority is to develop a limited number of bilateral working agreements with strategic partners, in particular USA, Russia and Japan.

## 2. THIS YEAR'S CHALLENGES

In 2012, the **global humanitarian context** remained challenging, and the increasing global vulnerabilities and the vast economic damages caused by disasters remained a major source of concern.

The forecast for 2013 is that humanitarian and civil protection needs will not decrease. A number of factors contribute to this **negative prospect**, including the complexity of conflict situations, the increasing disregard of international humanitarian and refugee law and the multiplication of actors appearing on the humanitarian aid scene. Furthermore, an increased challenge to the humanitarian operations is represented by the deteriorating security situation in various parts of the world where financial assistance is provided. The combined impact of continuous demographic pressure and urbanisation, climate change, access and competition for resources, high and volatile food and energy prices, security threats and poor governance contribute to exacerbate vulnerabilities and to further increase humanitarian needs. The effects of the global financial crisis further aggravate the challenge by limiting resources available for humanitarian ends.

In this context, the humanitarian and disaster management community at large needs to do more with aid budgets under pressure by increasing the **effectiveness, efficiency and quality of aid**

DG ECHO will continue placing particular emphasis on **disaster risk reduction and resilience building**, which reduce the need for response actions, as well as reinforcing **coordination** internationally, including through engaging 'non-traditional' donors in response to crises. Linking relief, rehabilitation and development (**LRRD**) and the transition from humanitarian to other policy instruments will also remain high on the list of priorities. DG ECHO will continue giving importance to further strengthening the effectiveness of humanitarian aid both at EU level (in the context of the implementation of the European Humanitarian Consensus), as well as supporting the strengthening of the **overall international humanitarian system**, including by backing the 'Transformative Agenda' and by encouraging other actors to step-up their part in humanitarian preparedness and response. This is all the more crucial since in a context of ever greater pressure on limited resources, effective coordination will be decisive to effective and efficient delivery of aid. The effectiveness of aid delivery and the synergies with other donors will be some of the aspects developed in the planned **Communication on the modernisation of the EU humanitarian aid**.

As in previous years, DG ECHO will focus on responding to the most urgent needs of people in sudden onset, protracted and forgotten crises. The five largest programmes will cover regions in Africa facing persistent humanitarian needs (Sudan/South Sudan, the Sahel and the Horn of Africa), the increasingly violent civil war in Syria and a highly complex but far less visible crisis in Asia (Pakistan). Overall, DG ECHO will continue supporting relief and resilience work in around 80 countries.

### 3. GENERAL OBJECTIVES

The aim of the humanitarian aid policy, as defined in article 214 of the Treaty on the Functioning of the European Union and the Council Regulation 1297/96 on humanitarian aid, is to provide ad hoc assistance and relief and protection for people in third countries who are victims of natural or man-made disasters, in order to meet the humanitarian needs resulting from these different situations.

On the basis of the Humanitarian Aid Regulation (Council Regulation (EC) 1257/96 of 20 June 1996<sup>1</sup>) and the European Consensus on Humanitarian Aid of 2007<sup>2</sup>, DG ECHO provides aid in a **non-discriminatory manner** and in line with the internationally agreed **humanitarian principles of neutrality, impartiality, independence and humanity**. The decisions and actions taken by DG ECHO are determined solely by the assessment of humanitarian needs and are not guided by or subject to political considerations other than the affirmation of the European Union's **solidarity** with people in need. The aid is intended to go directly to populations in distress, irrespective of race, religion or political convictions.

In delivering its assistance, DG ECHO is guided by the “*Good Humanitarian Donorship Principles and Good practice*”.

Civil Protection policy as defined in article 196 of the Treaty, aims at facilitating co-operation in civil protection assistance interventions in the event of major emergencies which may require urgent response actions and supporting and complementing Member States actions to prepare for and prevent disasters.

The European Consensus on Humanitarian Aid provided the European Union with a comprehensive and common policy framework for the EU humanitarian aid. It defines the common objective of the EU humanitarian aid, endorses the fundamental humanitarian principles and good humanitarian donorship and sets out the common framework for the delivery of humanitarian assistance.

By the very nature of its mandate, the DG ECHO operational interventions – being humanitarian aid or civil protection – are short term and mostly reactive. These interventions are supported and complemented by disaster risk reduction and resilience policy initiatives and activities. Its core objective « *to save and preserve life* » does not change over time. DG ECHO assists victims of unforeseeable new crises and of long lasting crises.

In order to do so even more effectively, DG ECHO's overarching operational priorities for 2013 would focus on the **strengthening of its disaster response capacity**, and on the **effectiveness of its aid delivery**. These priorities are reflected in the specific objectives, which cover various dimensions of these two crucial aspects.

A third element that will constitute the backdrop of DG ECHO's policies and interventions in 2013 is represented by its efforts to promote and advance disaster risk reduction and resilience policy at multiple levels, inside the EU and in the international context.

Given the reactive character of the operations for which DG ECHO is responsible, combined with the heterogeneous type of interventions, the definition of concrete targets and indicators is complicated. The successful achievement of the general objective is therefore broadly defined in relation to DG ECHO's capacity to swiftly provide assistance in such crises and those areas where its assistance is most needed. This being said, DG ECHO is endeavouring to identify pertinent and objective indicators, which would enable to monitor the achievements of its objectives at different

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<sup>1</sup> OJ L 163, 2.7.1996, p.1

<sup>2</sup> Reference: 2008/C 25/01

levels, and would provide the management with key information on the impact and quality of the assistance provided.

The general objectives of the humanitarian aid and civil protection instruments as encapsulated in the aforementioned regulatory framework are:

- European Solidarity being effectively and visibly ensured through rapid help and relief assistance to populations affected by crises.
- A coherent and integrated European disaster management capacity that reduces the risks and consequences of natural, technological and other man-made disasters.
- Projection of the EU's voice on international level in order to strengthen the international humanitarian system and to advocate for the respect of international humanitarian law as prerequisite for the delivery of humanitarian aid to people in need.

In line with best donor practices DG ECHO established an operational strategy for 2013, which sets out both the horizontal and operational priorities for achieving the above-mentioned objectives.

### 3.1 Policy priorities

**Promoting principled humanitarian** approach will remain a top priority. One of the main roles supporting operational activities is to ensure access in situations where humanitarian space is increasingly under threat, to promote adherence to **International Humanitarian Law** and to ensure the coordination of a growing number of humanitarian actors in order to bring effective and appropriate aid to those in need.

In 2013, DG ECHO will pursue work for the finalisation of revised **EU's civil protection legislation** proposed by the Commission in December 2011. Developing the European Emergency Response Capacity and strengthening the coordination of both civil protection assistance and humanitarian aid through the **establishment of the Emergency Response Centre** will feature high in DG ECHO's agenda. Mainstreaming prevention and preparedness actions in other EU policies—such as Internal Security, Nuclear Safety, Climate Adaptation, Research and Health remains an important priority.

In 2013 DG ECHO's policy priorities related to operations will increase focus on **aid effectiveness, results-orientation and impact**. The development of clear guidance on thematic and cross-cutting issues such as resilience, **DRR, WASH, gender, nutrition** and others, as well targeted dissemination, training strategies and monitoring of implementation will help us and our partners to get the best value for money. It will also help ensure that the needs of the most vulnerable crisis-affected population are addressed efficiently and effectively. In this context, the further development and roll-out of policies on specific sectoral and thematic issues that are considered crucial for DG ECHO's humanitarian interventions will remain a priority. One of the key deliverables in 2013 will be a **Communication on Nutrition**. Furthermore, concrete efforts will be undertaken to guide and foster the implementation of the Commission's Resilience Communication and the linkage between humanitarian and development actions

The anchorage of policy development in operational experience and good practice will continue to be primordial. DG ECHO will continue to test tools such as peer reviews on disaster management as a means of exchanging and encouraging take up of good practice. Particular attention will be paid to expanding the use of risk assessments both within the EU and as part of international cooperation to help underpin disaster risk reduction policies. DG ECHO will continue to work closely with other services to help prepare the Commission contribution to UN led review of the 2005 Hyogo Framework for Action including the 2013 intermediate step – the May 2013 Global Platform .

As in previous years, translating the commitments of the **European Consensus on Humanitarian Aid (the Consensus)** into practical actions will remain high on DG ECHO's agenda. Particular emphasis will be given to addressing the recommendations from the Mid-Term Review of the Action Plan. Within this vein, an independent and comprehensive evaluation of the impact achieved by the Consensus in terms *inter alia* of policy development and operations will be launched. The evaluation will cover actions of both Member States and the Commission during the period 2007-2012. The findings of the evaluation together with the results of the stakeholder consultation launched in 2012 will contribute to DG ECHO's strive to further enhance the effectiveness and impact of the Union's humanitarian assistance.

In the design of its humanitarian operations, DG ECHO pays particular attention to **disaster risk reduction** and **disaster preparedness activities**:

- (1) in the framework of the specific programmes DIPECHO, or the drought preparedness initiatives,
- (2) through mainstreaming disaster preparedness measures in relief operations, and
- (3) through advocacy.

In the framework of implementing the *Hyogo Framework for Action 2005-2015* decided in Japan (2005), DG ECHO strongly supports all international efforts, including those co-ordinated by the United Nations, to increase disaster risk reduction worldwide. More generally, DG ECHO is working with partners, both bilaterally and at the multilateral level, to strengthen **resilience** in disaster-prone countries.

The humanitarian assistance funded by the European Commission also aims at facilitating, together with other aid instruments, the return of populations to self-sufficiency wherever and whenever possible, and to permit the phasing out of DG ECHO funding in good conditions. In that perspective, the DG is actively working towards improving the **linkage between relief, rehabilitation and development** (LRRD) and in developing stronger co-operation with other Commission services and other donors.

### **Relationship with CFSP/CSDP**

Security and defence policy actors are sometimes deployed in the same theatres where humanitarian actors are active and often seek involvement in the provision of humanitarian aid or also in indirect assistance to the humanitarian community. DG ECHO, through **civil-military coordination**, seeks to ensure that this interaction is not done to the detriment of principled humanitarian aid. Coordination will continue to be carried out at strategic (e.g. exchanges in the framework of the Annual MCDA Consultative Group) and operational (in the framework of actual crises) levels.

### **Global outreach as a priority**

In the international arena, DG ECHO will continue to support the UN-led efforts to strengthen the humanitarian system through the '**Transformative Agenda**'. These efforts set out to improve the accountability on performance of the system, coordination and leadership are crucial at a time of severe budget constraints and an ever-more challenging humanitarian landscape. DG ECHO also supports the continued work towards developing a framework for common needs assessments, which are critical to bringing about a shared understanding of humanitarian needs.

Given the increasingly important role of **non-DAC donors** in providing humanitarian assistance regionally and internationally through growing financial allocations and expanding activities, DG ECHO will strive to intensify cooperation with a number of them, in particular with Arab donors and ASEAN.



Completing the legislative negotiations with Council and Parliament **for the EU Aid Volunteers** based on Article 214.5 TFEU, as proposed by the Commission in September 2012 building on the pilot projects and the preparatory actions implemented since 2011 will be carried out throughout 2013.

DG ECHO's **communication strategy** will focus on the policy priorities in humanitarian aid and civil protection as outlined above, and on the EU's operational response to meeting the needs of people facing humanitarian crises. The broad objective of the strategy is to boost awareness, understanding and support for the EU's role and actions among the EU citizens, to promote policy priorities within the EU and globally, and to support advocacy for the humanitarian principles and actions including among the donor community, international organisations and other partners.

### 3.2 Operational priorities

#### **Humanitarian aid**

##### General principles

In line with the Treaty, the Humanitarian Aid Regulation and the Consensus, the Commission, through DG ECHO, is committed to delivering aid to populations affected by natural or man-made disasters solely on the basis of need and in line with humanitarian principles.

The process leading to the allocations per individual country or region is divided into different steps.

- Firstly, DG ECHO carries out at central level a global evaluation, which has two dimensions: (i) the Global Needs Assessment (GNA), which categorises almost 140 developing countries on the basis of the existence of a recent crisis (man-made or natural disaster) and the degree of vulnerability of the country's population; (ii) and the Forgotten Crisis Assessment (FCA), which identifies crises that have been overlooked or neglected by the international humanitarian community and/or the global media and which need special attention from DG ECHO.
- Secondly, given the importance of food assistance/nutrition (which is DG ECHO's single largest aid sector), a specific food insecurity needs assessment is carried out in the countries/regions with food assistance/ nutrition interventions. The specific needs-based analysis is reinforced with reports from field missions, nutrition and food indicators, an assessment of the potential funding from other donors and the possible capacity and access limitations faced by implementing partners. The sectoral analysis is validated by and dovetailed with the Global Needs Assessment established by DG ECHO.
- Thirdly, an evaluation of needs of the specific country/region is conducted by DG ECHO field experts in coordination with the respective geographical units of DGE CHO. This analysis provides a first-hand account of crisis areas and gives an insight into the nature and the severity of needs. The Commission field experts conduct such assessments for every crisis in close cooperation with the Commission's implementing partners.
- This process results in provisional allocations for each country/region, which are further examined in the light of other factors, one of the most relevant being the amount allocated for humanitarian assistance in the EU budget for the following year. The mismatch between the available budget and the estimated needs usually leads to a substantial downsizing of the preliminary allocations.
- However the budget is not the only factor that intervenes in the fine-tuning phase of the allocation process. Other key elements are DG ECHO's operational priorities, the access to beneficiaries and the security aspects. Moreover, essential factors are constituted by the

operational capacities of partners on the ground, which include the capacity to efficiently absorb funds already allocated to the country and the presence of the other donors, which may lead to changes in the priorities (in terms of geographical coverage, sectors, etc) not to duplicate efforts and to ensure the best coverage of the needs.

- The final steps represented by the comparative analysis of proposed budget allocations, in order to ensure consistency and balance of allocations across countries and regions, taking due account of DG ECHO's operational priorities.

DG ECHO is within the first among the donor community to establish and share detailed assessments and budgetary allocations for the countries/crises in which it intervenes for the year ahead. DG ECHO also seeks to engage actively in dialogue throughout the year with other donors, both at HQ and in the field, on funding intentions in different crises, not least in the context of the Good Humanitarian Donorship initiative.

#### Global needs Assessment (GNA)

The process of collecting and calculating the data needed for the GNA/FCA is outsourced to the Joint Research Centre (DG JRC). The ranking is produced by compiling a range of internationally available indicators covering development, social as well as climate and conflict-related trends into a database. The indicators used are mainly coming from the World Bank, the UN organisations, and Research institutes. In 2012, JRC developed a dedicated web application for the creation, management and publication of the composite indicators (including interactive maps).

Using the GNA methodology, the Commission identified 68 countries or territories currently experiencing at least one humanitarian crisis, increasing from 52 and 49 in previous years.

Out of these, 15 countries are either "extremely" or "very vulnerable", and have at the same time a crisis index of 3. They are: Afghanistan, Central African Republic, Chad, Democratic Republic of Congo, Haiti, Liberia, Mali, Myanmar, Pakistan, Republic of Congo, Russian Federation (Chechnya), Somalia, South Sudan, Sudan, Yemen.

#### Forgotten crisis Assessment (FCA)

The FCA attempts to identify crises that have been overlooked or neglected by the international humanitarian community and/ or the global media and which need special attention from the Commission. The forgotten crises often concern minorities, or specific groups of people within a country. The assessment from the DG ECHO country desks and field experts serves as the main guiding feature.

The 2011-2012 FCA assessment concluded on the existence of 9 forgotten crises situations among which 8 were already identified as forgotten in 2011:

- The Rohingya refugees and the Chittagong Hill Tracts crisis in Bangladesh;
- The Rohingya crisis and inter-ethnic conflict in Myanmar (Burma);
- The populations affected by the internal armed conflict Colombia;
- The conflict in the north of Yemen as well as the refugees crisis;
- The Sahrawi refugees in Algeria;
- The internal armed conflict in the Central African Republic;
- The conflict-IDPs crisis in Northern Pakistan;
- The crisis in India: Naxalite affected regions, North-East regions and conflict in Kashmir;
- The post-conflict return process in Sri Lanka.

Many of the forgotten crises are becoming chronic. They have been identified as a forgotten crisis for several years now and for most of them, there is no solution in sight.

At this stage, 15% of the planned geographical humanitarian and food aid budget allocation is being earmarked for these forgotten crises.

### Food Insecurity Needs Assessment (FINAT)

The Food Insecurity Needs Assessment Template exercise (FINAT) is an in-depth analysis that allows the identification of countries and crises where the budget allocations for food assistance and nutrition may require adjustment (increase, decrease) based on identified and forecasted needs.

The FINAT exercise is based on two major elements, i.e. a situation analysis score, combining the measurement of the severity and magnitude of the crisis, and a composite indicator of DG ECHO's comparative advantage.

The results of the analysis for the food assistance/nutrition sector are factored into the overall allocations proposed per country/region so as to ensure coherence and be proportionate to the current level of response.

The analysis for 2013 covers 36 countries/crises indicates that, in comparison to 2012, some will have reduced or substantially reduced allocations reflecting the prognosis captured by the FINAT which includes the availability of potential funding from other donors, limitations in absorption capacity of implementing partners or phasing out of food assistance based on reduced need.

The FINAT resource allocation model thus suggests, for example, that:

- In the occupied Palestinian territory (oPt), food assistance can be clearly reduced so as to reflect the decreased needs identified.
- In Sri Lanka, food assistance can be reduced so as to meet only food and nutrition needs in identified pockets of food and nutrition insecurity.

The rebalancing of proposed assistance based on need points to 16 countries/crises requiring a modest or substantial increase in allocation. The principal countries/crises include:

- Pakistan, where the overall deteriorating situation requires important food assistance and nutrition interventions.
- Ethiopia, where food and nutrition needs keep increasing.

### Other considerations

DG ECHO aims to ensure availability of funding for as many crisis situations as possible and that there is a swift, efficient, comprehensive response. Whilst funding allocations are based on needs assessment and co-ordination with other donors, certain factors that are outside our control may reduce the volume of aid that can effectively be delivered to the beneficiaries. Such factors are in particular two: the presence and the handling capacity of the implementing organisations in the field and access restrictions.

Access restrictions faced by implementing partners are most prevalent in areas of conflict, a marked absence in the rule of law or due to political and administrative impediments (e.g. Somalia or Sudan).

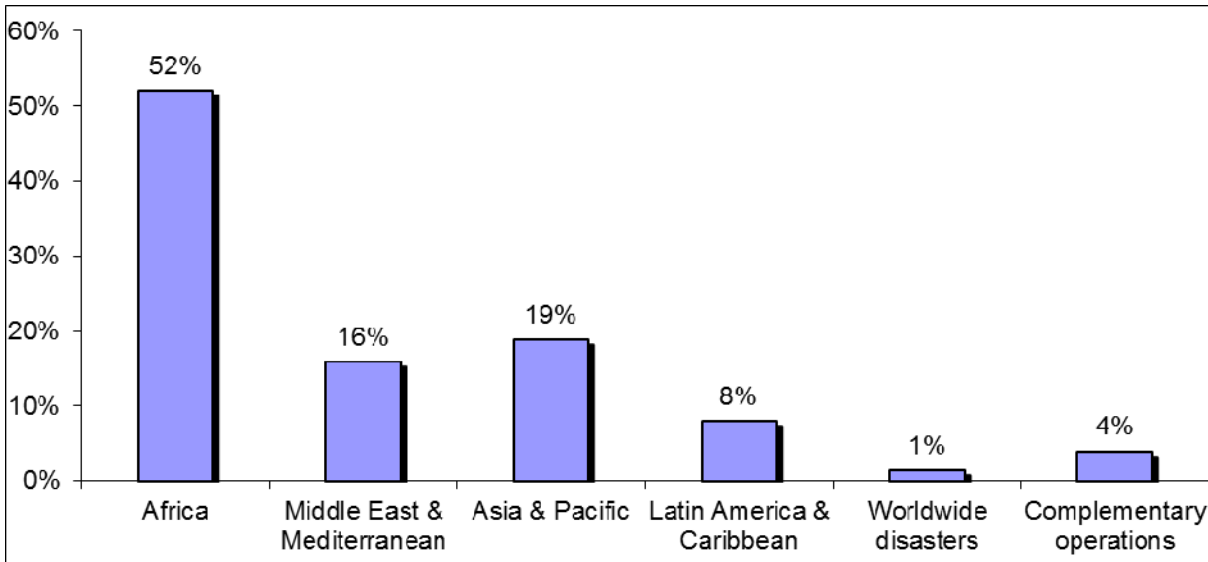
DG ECHO's funding under this operational strategy involves constant re-appraisal of humanitarian crises as they evolve. If the need for humanitarian assistance diminishes, often due to the start of rehabilitation and development activities, the Commission winds down its humanitarian work. The Commission puts a high priority on 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, then, during a mid-term review. The latter is an opportunity to review priorities for remaining funds in accordance with evolving needs.

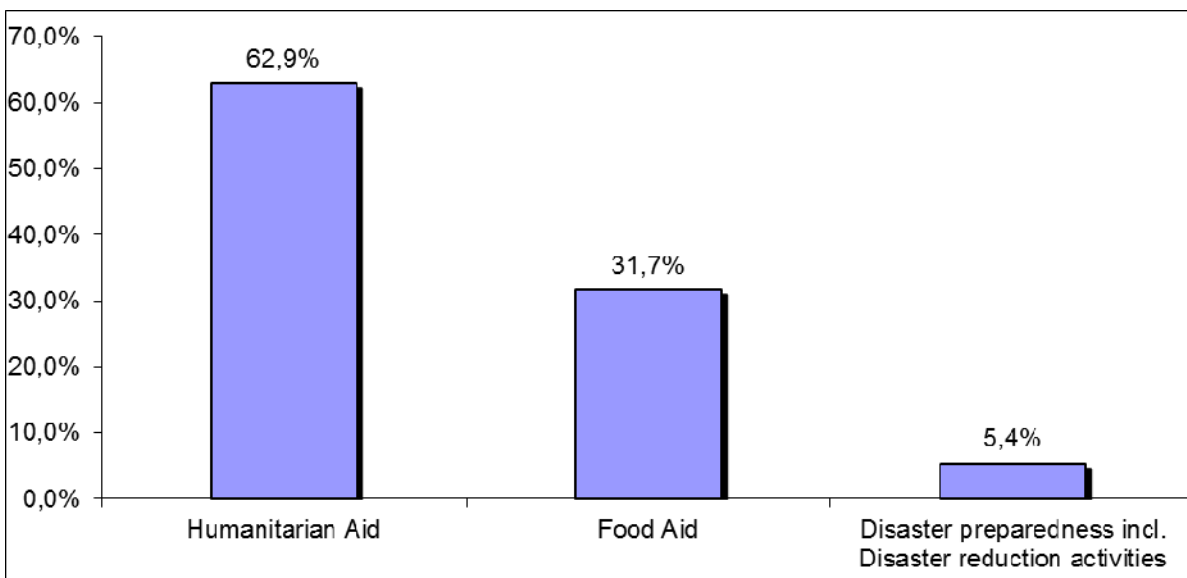
## Budget planning

The general budget for 2013 earmarked on the budget lines for humanitarian aid, food aid and Dipecho is €856 million. The graph below shows the percentage of the planned budget for each region and the instrument supporting DG ECHO's activities, based on the above considerations.

As in previous years, **sub-Saharan Africa** will be the region in which the bulk of the budget will be programmed (52%) given the consequences of natural disasters and recurrent complex emergencies in the region.

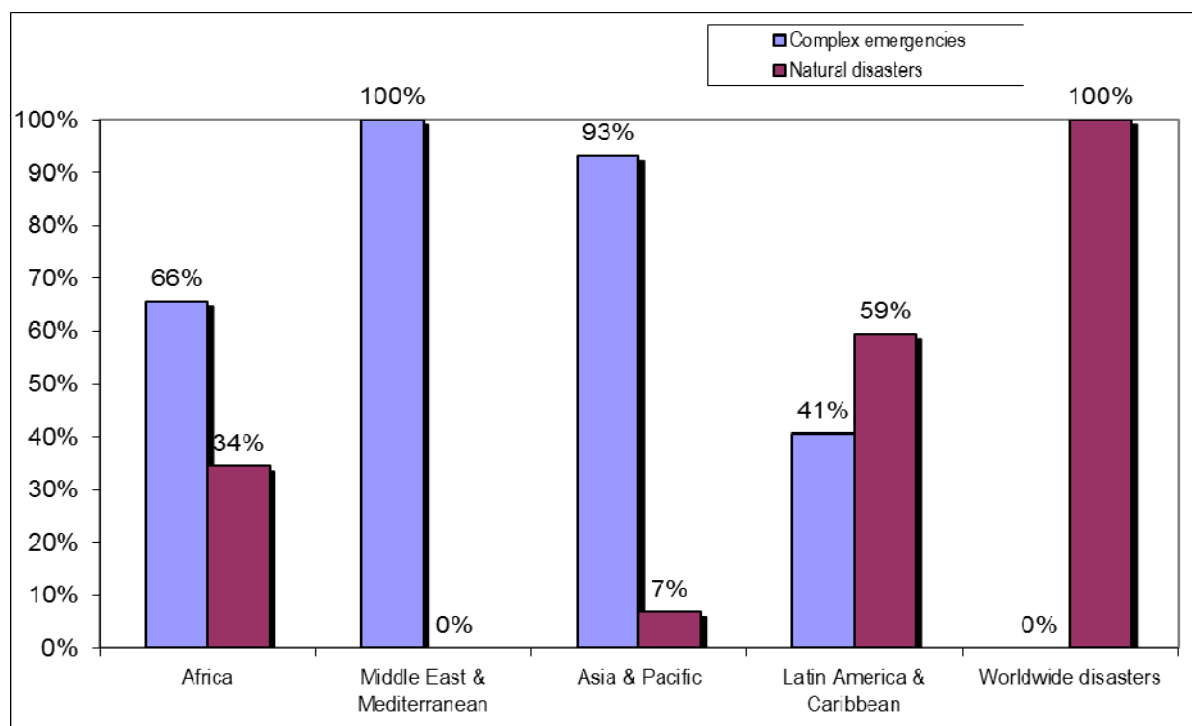


**Figure 1** — Budget planned in 2013 by region  
(1) includes technical assistance, enhanced response capacity, worldwide geographical allocations



**Figure 2** — Budget planned in 2013 by budget line

The chart below shows the response planned for complex emergencies and natural disasters based on budget per region.



*Figure 3 — Budget planning: response to complex emergencies and natural disasters*

## Civil Protection

On the **civil protection** side, the Community co-operation aims at the following objectives:

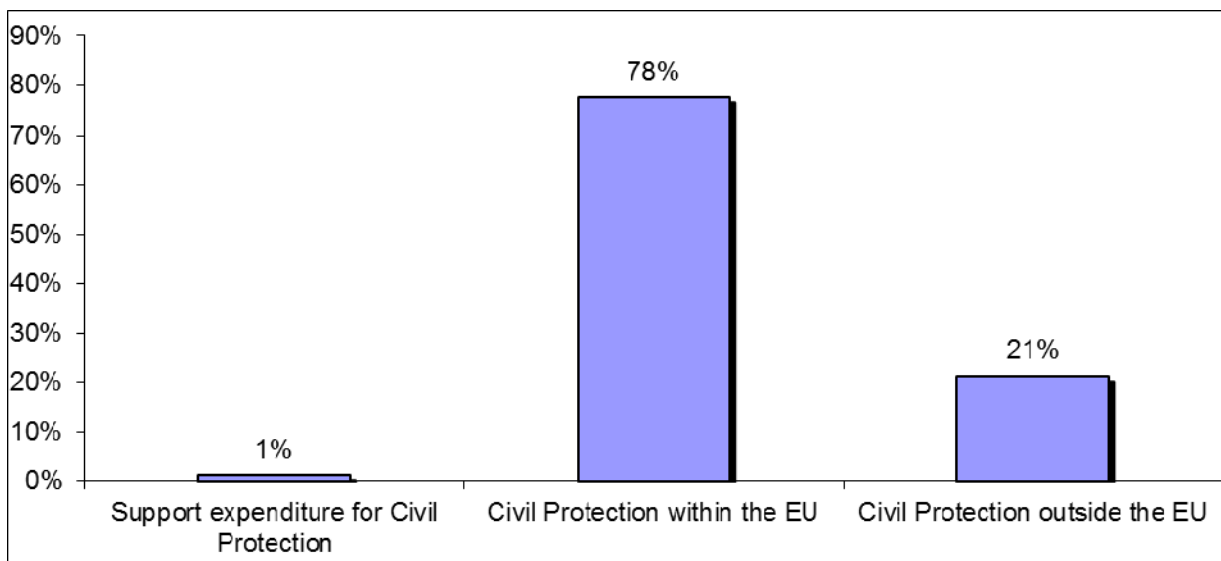
- facilitate a rapid and efficient response to all types of disasters (i.e.; natural and man-made),
- provide sufficient preparedness of civil protection actors to emergencies,
- develop measures for the prevention of disasters
- provide an adequate information and communication on the EU's disaster response capacity.

States usually do not scale their rapid response means and equipment on the basis of the worst possible scenario since this would usually exceed their financial possibilities. EU cooperation, in as much as it supports and supplements national policies in the field of civil protection, will contribute to make them more effective; pooling of experience and mutual assistance will help to reduce the loss of human life, injuries, material damage and economic and environmental damage, making the objective of solidarity more tangible. When disaster strikes within the EU or in third countries, the authorities of the affected Member States can benefit from immediate and tangible assistance through the Community Civil Protection Mechanism upon simple request.

Civil protection activities are described in the annual work programme for actions to be financed in 2013<sup>3</sup>, pursuant Council Decision n° 2007/162/EC. In compliance with Article 8 of the Civil Protection Financial Instrument, synergies and complementarity with other instruments of the Union shall be sought in implementing these actions. For emergencies occurring inside the EU, this will include consistency with Council Regulation (EC) No 2012/2002 establishing the European Union Solidarity Fund. In the case of response to disasters in third countries, DG ECHO will in

<sup>3</sup> C(2012)9518

particular continue to ensure the complementarity and coherence of the actions included in this work programme and the actions financed under the humanitarian aid regulation<sup>4</sup>.



*Figure 4 – Budget for Civil Protection*

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<sup>4</sup> OJ L 163, 2.7.1996, p.1.

## 4. SPECIFIC OBJECTIVES FOR OPERATIONAL ACTIVITIES

The general objectives of the EC funded humanitarian assistance and civil protection activities have been translated into seven specific operational objectives.

Humanitarian aid and civil protection are policies aimed at assisting victims of (unforeseeable) new crises and of short-term assistance to victims of longer-lasting crises for the duration of the crisis. The indicators and targets have, therefore, been defined in relation to DG ECHO'S capacity to swiftly provide assistance in such crises and in those areas where this assistance is most needed.

<b>SPECIFIC OBJECTIVE 1: ENSURE RAPID, EFFECTIVE AND NEEDS-BASED DELIVERY OF EU RELIEF ASSISTANCE AND HUMANITARIAN AID TO PEOPLE FACED WITH THE IMMEDIATE CONSEQUENCES OF NATURAL AND MANMADE DISASTERS AND PROVIDE ASSISTANCE TO VICTIMS OF PROTRACTED CRISES</b>		
<p>DG ECHO provides needs based assistance and relief to people in third countries who are victims of natural or man-made disasters, in order to meet the humanitarian needs resulting from these different situations. This assistance maintains a special focus on forgotten crises, i.e. high-priority areas that do not attract sufficient donor interest and/or media coverage.</p>		
Result indicators	Latest known result	Target
Share of funding directed to high priority areas (humanitarian aid and food aid)	46.4% of the planned budget (humanitarian aid + food aid) is allocated for extremely vulnerable countries and 24% for vulnerable countries <sup>5</sup>	Majority of HA and food assistance funding is to cover the humanitarian needs of high priority areas
Share of funding for forgotten crises	15% of the initial budget 2013	≥ 10% of initial budget allocated to forgotten crises
Coverage of major emergencies	In 2012, the Commission's funding allowed to intervene in the major following crises: Sahel, Sudan and South Sudan, Horn of Africa, Democratic Republic of Congo, Syria, Pakistan	All major emergencies covered
Total number of beneficiaries of ECHO's interventions (humanitarian and food aid budget lines)	105 million beneficiaries	> 100 million beneficiaries
<b>Main policy outputs in 2013</b>		
<ul style="list-style-type: none"> <li>• Focus funding on high priority areas, according to vulnerability, context and needs assessments conducted, with specific attention to uprooted people</li> <li>• Advocacy and funding with particular attention on forgotten crises (identified by the annual Forgotten Crisis Assessment)</li> <li>• Response to humanitarian needs in shortest delays</li> <li>• Coverage of food assistance and nutrition support in food and nutrition crises</li> <li>• Implementation of the new Food Assistance Convention and outreach</li> <li>• Provide assistance to IDPs, refugees and returnees according to Global Needs Assessment exercise</li> </ul>		

<sup>5</sup> Extremely vulnerable countries are those with vulnerability and crisis index at 3, vulnerable countries with one index at 3 and the other at 2

<b>Main expenditure-related outputs in 2013</b>
<p>Allocated amounts (i.e. excluding the operational reserve and DIPECHO operations):</p> <ul style="list-style-type: none"> <li>– Humanitarian and food assistance interventions in African countries (55.1% of the humanitarian and food aid operational budget), Middle East/Mediterranean/Central Asia 16.8%), South and South East Asia/Pacific (17.4%), Latin America/Caribbean (5.1%), Worldwide (1.4%) and 4.2% for complementary activities</li> <li>– Reserve for unforeseen needs (17.1%) (humanitarian aid and food aid)</li> </ul>

**SPECIFIC OBJECTIVE 2:  
FACILITATE THE CO-OPERATION BETWEEN EU MEMBER STATES FOR ENHANCED EFFECTIVENESS OF THE SYSTEMS FOR RESPONDING TO NATURAL, TECHNOLOGICAL AND MAN-MADE DISASTERS.**

The key objective of the civil protection instrument is to facilitate a rapid and effective civil protection response at EU level to all types of disasters inside and outside the EU. This involves inter alia the development, registration and deployment of civil protection intervention modules, operational coordination with relevant Commission services, and coordination of transport operations. The Commission will moreover continue work on turning the MIC into a genuine Emergency Response Centre, which will inter alia make possible greater synergies between European in-kind and humanitarian assistance.

Result indicators	Latest known result	Target
Number of modules registered	In 2012, 144 modules and 10 TAST <sup>6</sup> are registered in the CECIS <sup>7</sup> database.	All Participating States to the Mechanism to register at least one type of module in CECIS database.
Number of effective responses to Member States requesting assistance through the Civil Protection Mechanism.	In 2012, the Monitoring and Information Centre (MIC) responded adequately to 7 requests for assistance from EU countries	Responses to all requests by Member States for assistance to the MIC.
Number of effective responses to third countries requesting assistance through the Civil Protection Mechanism.	In 2012, the Monitoring and Information Centre (MIC) responded adequately to 11 requests for assistance from third countries	Responses to all requests by Third Countries for assistance to the MIC.
% of needs put in CECIS covered by the offers of the Participating States to the Mechanism.	In 2012, out of the 15 types of needs identified in 32 emergencies for which the MIC was activated, 70 % of the types of needs were covered.	100% coverage of the needs.
Number of deployments of modules in major emergencies	In 2012, 3 modules were deployed in 3 major emergencies	Deployment of at least one module for each major emergency.

**Main policy outputs in 2013**

- Establishment of the Emergency Response Centre (ERC) as a genuine 24/7 service capable to react more efficiently and rapidly to disasters inside and outside the EU
- An immediate and tangible civil protection response at EU level to requests for assistance
- Deployment of EU civil protection assessment and coordination expert teams, including MIC liaison officers
- Coordination of transport operations (pooling, evaluation of requests for transport grants, broker, liaising with EUMS and/or NATO concerning military transport options).

**Main expenditure-related outputs in 2013**

- ERC set-up and running costs, and staff recruited for the genuine 24/7 service
- Number of experts sent on missions in Member States in the framework of the Community Civil Protection Mechanism

<sup>6</sup> Technical assistants

<sup>7</sup> Common Emergency Communication and Information System



- Number of activations of the facility enabling access to transport in the EU
- Close coordination with the affected countries, with the Member States providing assistance and with the humanitarian partners, whenever they are involved in the emergency.

<b>SPECIFIC OBJECTIVE 3: DEVELOPMENT OF THE CIVIL PROTECTION POLICY FRAMEWORK IN COOPERATION WITH MEMBER STATES AND INTERNATIONAL ACTORS</b>		
DG ECHO will further develop EU civil protection policy and legislation, international cooperation, and the links with other relevant EU policies.		
<b>Result indicators</b>	<b>Latest result known</b>	<b>Target</b>
Conclude negotiations in EP and Council on proposed Union Civil Protection Mechanism	Agreements in ProCiv on disaster risk management provisions and functioning of the voluntary pool (except finance)	Negotiations completed by mid-2013
Develop civil protection policy in the fields of response planning, lessons learned, training network, exercise evaluation	Preparatory work	Draft proposals ready for discussion in comitology by end 2013
Joint Commission/EEAS proposal on Solidarity Clause adopted	Negotiations COM – EEAS ongoing	Proposal adopted and submitted to Council in first semester 2013
Integrate marine pollution policy and work into the civil protection	Overlapping requirements at EU level (Commission/ EMSA) and in regional agreements	Enhance coherence and consistency between CP and marine pollution policy by end 2013
Ex post evaluation of Civil Protection Financial instrument and Preparatory action on an EU Rapid response capability	Action plan and timeline finalized	Delivery of the Evaluation report on the Civil Protection Financial Instrument and Preparatory action on an EU Rapid response capability by mid 2013
Develop a network of training institutions and overall training strategy	Preparatory work launched	Establishment of the training network
Overall: developed strategy for international cooperation on CP and humanitarian aid	Draft strategy paper discussed with Cabinet	Coherent strategy based on clear criteria agreed in ECHO by mid 2013
Implementation of international agreements	USA, Japan, China, New Zealand, Russia, Canada, ASEAN	Agreements in place and start of implementation by end 2013
Participate in the MIC duty system	14 Duty officers	Fill in the respective quota set up for AD and AST taking part in the MIC 24/7 duty system
<b>Main policy outputs in 2013</b>		
<ul style="list-style-type: none"> <li>• Adoption of the New EU Civil Protection Mechanism in ordinary legislative procedure</li> <li>• Adoption by College of relevant implementing rules and delegated acts for implementation of the new legal basis</li> </ul>		
<b>Main expenditure-related outputs in 2013</b>		
<ul style="list-style-type: none"> <li>– Implementation of the Civil Protection Financial Instrument work programme</li> <li>– Organisation of the 4<sup>th</sup> Civil Protection Forum to raise awareness amongst relevant stakeholders on the new EU Civil Protection Mechanism</li> </ul>		

**SPECIFIC OBJECTIVE 4: ESTABLISH AN IMPLEMENTATION FRAMEWORK TO MAXIMISE IMPACT AND RESULTS OF EU RELIEF ASSISTANCE, INCLUDING A STRENGTHENED RESILIENCE POLICY, TO BOOST POST-CRISIS REHABILITATION AND TRANSITION**

<b>TOWARDS SUSTAINED DEVELOPMENT</b>		
<p>In 2013, DG ECHO will put particular emphasis on selected horizontal policy priorities, in line with the commitments of the EU's 'European Consensus on Humanitarian Aid'<sup>8</sup> and shaped in response to the field-based operational reality, as well as to EU and international developments, as defined in the operational strategy (see section 3 – general objectives).</p> <p>Furthermore a key priority will be to continue preparations for the new EU Aid Volunteers programme in parallel with the inter-institutional negotiations. The 2013 pilot projects should be focused on more experienced volunteers, and it will be necessary to develop the standards, the certification system and to establish a training procedure with the training institutions focusing on HA and CP. Sectoral policies, in many respects the backbone of humanitarian aid strategies, will continue to be a focus of DG ECHO's work. For 2013 the focus will be on resilience, LRRD, nutrition and gender, as well as the ongoing work of implementing the food assistance policy. For these areas, depending on the state of development and roll-out, appropriate tools and guidelines will be developed.</p>		
<b>Result indicators</b>	<b>Latest known result</b>	<b>Target</b>
Launch of a stakeholder consultation to identify avenues for further increasing the impact of EU Humanitarian Aid	The consultation was launched end of 2012.	Adoption of a policy initiative following the stakeholder consultation
Launch of an evaluation of the impact of the European Consensus on Humanitarian Aid and its Action Plan	The evaluation will be launched early 2013	Launch preparatory work on a possible Action Plan II to the Consensus
Preparations for launch of EU Aid Volunteers advanced	In 2012, an impact assessment was completed and a proposal for a regulation establishing the framework for the EU Aid Volunteers was adopted (COM/ 2012/514 of 19.9.2012). Negotiations in Council and EP have begun. A second set of pilot actions were initiated.	Legislative framework adoption by end 2013 (subject to agreement on MFF), with necessary preparatory action for launch of 'EU Aid Volunteers' programme in 2014.
Guidelines issued for intervention sectors in humanitarian aid	Resilience/LRRD: an action plan for the Resilience Communication is developed as well as guidelines for LRRD Gender policy: a gender marker will be rolled out in 2013 Cluster approach: preparation of a policy guidance paper	Set of guidelines for specific intervention fields completed by 2013 (Gender, LRRD, resilience and cluster approach)
Policy on Nutrition finalised	Communication and SWP on nutrition finalised (guidance specific to humanitarian aid)	By mid-2013, Communication and Council conclusions adopted
<b>Main policy outputs in 2013</b>		
<ul style="list-style-type: none"> <li>• Finalisation of stakeholder consultation. Consolidation of results. Organisation of meetings with stakeholders. Adoption of a policy initiative.</li> <li>• Launch and complete an evaluation of the implementation of the Consensus on Humanitarian Aid and its action plan.</li> <li>• Launch a reflection on the follow-up to the action plan which expires in 2012 in dialogue with the European Parliament and Partners</li> <li>• Prepare an action plan for the Resilience Communication as well as guidelines on LRRD</li> <li>• College adopts Communication on Nutrition</li> <li>• Systematic roll-out of the gender marker</li> </ul>		
<b>Main expenditure-related outputs in 2013</b>		

<sup>8</sup> Adopted by the Council, the European Parliament and the Commission on 18 December 2007 – OJ 2008/C/25/01 of 30.01.2008

- As a whole, these activities are included in the budget managed by DG ECHO
- Enhanced response capacity programme (€22 million)

#### **SPECIFIC OBJECTIVE 5:**

#### **DEVELOP AND PROMOTE DISASTER PREVENTION STRATEGIES, DISASTER RISK REDUCTION AND PREPAREDNESS**

EU cooperation in disaster management and humanitarian aid has evolved significantly shifting from response towards a balanced system covering also preparedness and prevention actions. Today disaster risk reduction and disaster risk management is an increasing priority for the Union to address the alarming disaster trends and reduce vulnerability due to inter alia increasing interdependencies across sectors and policies.

A cross sectoral EU Disaster Risk Management framework is being developed which promotes a holistic approach for all natural and man-made risks throughout all sectors. This work is based on risk assessments and planning, improving data and the knowledge base, sharing of good practices including through peer reviews, development of minimum standards for disaster prevention and integrating disaster risk management into other EU policies such as climate adaptation, cohesion policy, development, environmental impact assessment, the internal security strategy as well as research, health, nuclear safety and insurance initiatives to build resilience to disasters.

With regard to operational funding EU Humanitarian aid supports disaster preparedness actions within local communities in several regions prone to natural disasters, so as to help communities react rapidly and in an appropriate manner in case of a disaster, thus allowing many lives to be saved and livelihoods protected.

The Commission implements these activities in two ways: a) the funding of specific disaster preparedness actions in certain disaster prone regions under the disaster preparedness budget line, b) the mainstreaming of disaster risk reduction in its humanitarian response.

The Civil Protection budget provides support for (1) facilitating the training of European civil protection actors, (2) as well as the organisation and support of major simulation exercises, (3) the development and improvement of early warning systems (4) cooperation projects supporting actions aiming to improve the disaster knowledge base, risk assessments, awareness raising and capability planning.

<b>Result indicators</b>	<b>Latest known result</b>	<b>Target</b>
Number of persons benefiting from DRR actions in disaster prone countries/regions.	14 million of beneficiaries of disaster preparedness activities.	> 7 million beneficiaries
% of humanitarian aid funds allocated to DRR (including DIPECHO, DRR and capacity building)	More than 50% of the contracts signed in 2012 have a DRR component 15% of total operational	>10% of operational expenditure in humanitarian aid dedicated to DRR
% of civil protection funds allocated to DRR (preparedness and prevention activities)	In 2012 79% of civil protection funds was used for DRR (preparedness and prevention activities)	60% of the operational budget in civil protection dedicated to DRR
Number of participants to courses improving the preparedness skills of experts, managers, and administrators, at the operational and administrative level in order to reinforce and facilitate co-operation in civil protection assistance interventions.	1028 experts took part in the 48 training courses financed by the civil protection mechanism.	> 940 experts taking part in training courses
Number of countries participating in exercises aiming at improving the response capacity of civil protection teams participating in real time interventions	From 2008 until 2013, 29 out of 32 Participating States to the Civil Protection Mechanism countries have participated in Civil Protection Mechanism exercises	By the end of 2013, all Participating States to the Mechanism have participated in at least one exercise, including modules exercises
Number and type of instruments developed in order to foster best practices, training and awareness-raising in disaster prevention	19 forest fire experts trained, including with a “hands on” training in the MIC for a period of 10 weeks starting in July 2011	By the end of 2013, all Participating States to the Mechanism will have attended at least one course/module for disaster prevention

<b>Main policy outputs in 2013</b>
<ul style="list-style-type: none"> <li>• Roll-out of DRR policy guidelines and implementation of related activities</li> <li>• Prepare an action plan for the Resilience Communication</li> <li>• Prepare an overview of future risks for the EU based on national risk assessments</li> <li>• Develop a mid-term peer review programme based on the UK pilot</li> <li>• Develop guidelines on minimum standards for disaster prevention based on the results from the good practice programme and peer reviews</li> <li>• Coordinate the Commission input to the post-HFA process including the 2013 Global Platform</li> <li>• Follow up on the Rio+20 commitments in relation to disaster management</li> <li>• Contribute to the development of the 2013 Climate change adaptation strategy to ensure an integrated approach in building climate and disaster resilience and further mainstream disaster risk management into other EU policies</li> </ul>
<b>Main expenditure-related outputs in 2013</b>
<ul style="list-style-type: none"> <li>– DIPECHO programme in South Asia (€12.6M), Pacific (€2.8M), South and Central America (€12M), Caribbean (€8.5M) and implement action plans launched in 2012 in Southern Africa, Caucasus and Central Asia, South East Asia and Central America.</li> <li>– Mainstreaming of Disaster Risk Reduction and funding specific demonstrative DRR projects in HIPs such as the one for Horn of Africa</li> <li>– Co-finance simulation exercises in the field of civil protection and exercises on modules and technical assistance and support teams</li> <li>– Co-finance selected civil protection projects in the area of preparedness and prevention</li> <li>– Implementation of the EU Civil Protection training programme</li> <li>– Actions to support hazard identification, risk modelling and risk management– with research and operational funding</li> <li>– Actions to help prepare the post 2014 EU financial instruments supporting disaster risk management</li> <li>– Actions drawing lessons from past disasters to look at potential improvements to disaster risk management</li> <li>– Actions on awareness-raising of the public on disaster management</li> </ul>

<b>SPECIFIC OBJECTIVE 6:</b>		
<b>DEVELOP AND IMPLEMENT FACILITATION SOLUTIONS FOR TRANSPORT AND LOGISTIC CHALLENGES IN THE DELIVERY OF HUMANITARIAN AID AND CIVIL PROTECTION ASSISTANCE AND STRENGTHEN THE SECURITY OF PERSONS AND INSTALLATIONS</b>		
<p>ECHO has signed a service contract with a company managing the transport of assistance (ECHO Flight) service in DRC and Kenya with connections to certain neighbouring countries. The drought in the Horn of Africa and insecurity in DRC led to partners to ask for an increased level of service, in order to have access to remote destinations and vulnerable populations who would otherwise have been unreachable. In 2012, ECHO mobilised helicopters, prepositioned in Entebbe (Uganda) thanks to the Enhanced Response Capacity funding, to allow humanitarian teams and cargo to reach populations in areas inaccessible with fixed-air wings. In addition a new and improved broker contract has been signed for Civil Protection and will also be accessible for Humanitarian Assistance operations.</p> <p>Concerning logistics, the aim is to continue to improve the ability of the humanitarian community to react in emergencies in a speedy and more professional way.</p> <p>DG ECHO will improve logistics for the field network, in particular in the areas of procurement and fleet management. ECHO's logistics emergency preparedness capacity will be strengthened through standardised modules. These modules will be stored in geographically strategic locations and be rapidly deployable to support ECHO teams when being sent to disaster areas where infrastructure is highly damaged.</p> <p>From the security point of view, DG ECHO will continue to pursue its efforts to strengthen its own security management system at headquarters and in the field through improved coordination and collaboration on security issues with appropriate humanitarian partners.</p>		
<b>Result indicators</b>	<b>Latest known result</b>	<b>Target</b>
Number of transport operations carried out by ECHO FLIGHT service	At least 1,100 transport operations to 35 destinations in Kenya and R.D. Congo (4,000 hours of flight) in 2012, allowing to transport	More than 1.000 transport operations safely concluded

	17500 passengers and 370 tons of cargo by ECHO Flight service	
Develop a security network in the field	5 Regional Field Security Officers recruited and based in ECHO's Regional Offices	Security network in the field completed
Drafting of an annual Procurement Plan in each region		Annual Procurement Plan followed and purchases initiated on time
<b>Main policy outputs in 2013</b>		
<ul style="list-style-type: none"> <li>• Strengthening of security of persons and installations</li> <li>• To review security and safety procedures when needed. (Procedures as security plans, BCP and standard operational procedures have already been developed and implemented in all our offices)</li> <li>• Coordination of transport operations (pooling, evaluation of requests for transport grants, broker, liaising with EU MS and/or NATO concerning military transport options)</li> <li>• Operational cooperation with consular protection authorities/experts during emergencies involving evacuation of EU citizens</li> </ul>		
<b>Main expenditure-related outputs in 2013</b>		
<ul style="list-style-type: none"> <li>– ECHO flight (€10million)</li> <li>– Security training sessions</li> </ul>		

<b>SPECIFIC OBJECTIVE 7: ENSURE EFFECTIVE COORDINATION WITH DONORS AND RELIEF ORGANISATIONS</b>		
<p>Enhancing coherence and coordination between all stakeholders in their reply to new disasters or protracted crises is a key issue for improving the efficiency of the overall EU aid contribution. These stakeholders concern amongst other: others EC services, EU Member States, other main donors and implementing organisations and actors present in the field. Promotion of DG ECHO positions in the Council Working Groups on Humanitarian Aid and Food Aid (COHAFA) and Civil Protection (ProCiv) will also be included in DG's work. On the Civil Protection side, the MIC coordinates the in-kind contributions from Member States with the aim to make the overall European civil protection response more effective, coherent and visible.</p>		
<b>Result indicators</b>	<b>Latest known result</b>	<b>Target</b>
Number of organisations and donors with whom coordination meetings were held	<ul style="list-style-type: none"> <li>- 15 formal COHAFA meetings, 2 Informal COHAFA meetings,</li> <li>- Regular contacts with partners (VOICE, UN, Red Cross)</li> <li>US-ECHO strategic dialogue took place in November 2012;</li> <li>- Representation in fora such as the various Donor Support Groups (ICRC and OCHA) and Good Humanitarian Donorship, meetings on the Transformative Agenda</li> <li>- Chairing the OCHA Donor Support Group from July 2013/July 2014</li> <li>- Conference with representatives of humanitarian partner organisations: October 2012.</li> </ul>	The proactive organisation of coordination meetings with relevant humanitarian actors whenever necessary.

Number of countries using the information systems at EU level on humanitarian aid (EDRIS <sup>9</sup> ) and civil protection and marine pollution (CECIS)	EDRIS: all Member States regularly use the information system related to humanitarian aid (average of 140 reports on humanitarian aid/month) CECIS: all Member States and non-EU participating countries to the mechanism (Iceland, Liechtenstein, Norway, Croatia and FYRoM)	Regular use by Member States and non-EU Participating States to the Civil Protection Mechanism in the information systems on humanitarian aid, civil protection and marine pollution
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**Main policy outputs in 2013**

- Assistance to the Presidency in the organisation of meetings of the Council Working Group on Humanitarian Aid and Food Aid (COHAFA) including by providing background papers and situation reports. Attendance to all meetings.
- Ensure strong liaison with EU Member States on their bilateral aid, including continued support to the EU12 in developing their humanitarian aid approaches.
- Follow closely developments in the UN particularly with regard to the strengthening of the international humanitarian response system to improve the predictability, timeliness & effectiveness of the global humanitarian response (Transformative Agenda).
- Support the work of the IASC on ensuring better comparability of assessed humanitarian needs across crises
- Participation at the ICRC and OCHA Donor Support Groups
- Chairing the OCHA Donor Support Group from July 2013-July 2014
- Organisation of ECHO/US Strategic Dialogue
- Provision of continued support to EU multilateral delegations (in particular Geneva, New York and Rome) following the assumption of the new EU coordination responsibilities assigned to them by the Lisbon Treaty and make sure that EU co-ordinated positions, resolutions and statements reflect Commission priorities to the extent possible.
- Assure further development of EDRIS according to needs
- Provide DG ECHO users, the European Maritime Safety Agency (EMSA) and national civil protection and marine pollution authorities with a high-availability, secure, well-supported and easy-to-use common emergency communication and information system (CECIS) to facilitate the management and monitoring of civil protection/humanitarian aid and marine pollution incidents.

**Main expenditure-related outputs in 2013**

- Pursue the revision of EDRIS application in view to provide information on humanitarian aid and civil protection contributions done by Member States and ECHO
- Pursue the cooperation with the JRC with respect to the TR-AID tool (Transparency Aid)
- Gradually link CECIS to other DG ECHO systems
- Extend availability of CECIS to EMSA and marine pollution authorities in EU Member States
- Ensure the 24/7 operation, support, training and maintenance of the CECIS system

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<sup>9</sup> European Disaster Response Information System

## 5. SPECIFIC OBJECTIVES FOR HORIZONTAL ACTIVITIES

The section below provides for each of the two horizontal objectives 'Policy Strategy and coordination' and 'Administrative support' a descriptive part on the objectives and the main actions. For each specific objective there is a table with indicators, related actions and the unit in charge within DG ECHO of co-ordinating actions.

In the course of 2012, an extensive work was initiated aiming at improving the way DG ECHO works and at achieving efficiency gains through simplification and streamlining of process and procedures. This exercise, Process Review, is ongoing and will produce its results in 2013. Virtually all processes are closely looked at, touching operational, financial and policy issues.

Examples are: the harmonisation of best practices in the life-cycle project management; the responsibilities and respective roles in the relations Fields/HQ; the rationalisation of controls (risk-based controls); the improvement of indicators and methodological tools; the adaptation of the decision making process, the FPA review.

### A. POLICY STRATEGY AND COORDINATION

The ABB Activity "Policy Strategy and Coordination" covers a variety of policy development, support and coordination actions to ensure that policies developed and measures undertaken by DG ECHO are coherent with its overall mandate in general and its annual strategic priorities in particular, and that they support the delivery of quality humanitarian aid and civil protection.

The work comprises the Strategic Planning and Programming cycle (SPP) of the Commission and the implementation of the Activity Based Management cycle (ABM) in the Department. It also includes the preparation of the annual operational strategy and the work programme as civil protection is concerned (specific objective 1).

It also covers coordination with other EU institutions, notably with the Council (COHAFSA, PROCIV) and the European Parliament, Member States as well as International Organisations and major non-EU donors.

Finally, the information and communication work, is of particular importance in the field of response to disasters. The mission is to communicate within the European Union and beyond on the key role of the European Commission in providing humanitarian aid and coordinating EU civil protection assistance to crisis victims throughout the world as a concrete example of European solidarity with people in need (specific objective 3).

#### **Responsible entities:**

Unit A1 (strategy, coordination and inter-institutional relations) with contributions from Units A3 (Policy Implementation Frameworks) and A4 (specific thematic policies)

Unit A2 (information & communication)

Unit A5 (civil protection policy)

Unit B1 (Emergency response)

Unit C1 (human resources, security and document management)

Unit C2 (strategic planning, budget, external audit, informatics)

Unit C4 (field network, transport and logistics)

<b>SPECIFIC OBJECTIVE 1: IMPLEMENT THE COMMISSION PLANNING AND PROGRAMMING, INCLUDING ECHO'S ANNUAL OPERATIONAL STRATEGY, ANNUAL REPORT AND SPECIFIC WORK PROGRAMME FOR CIVIL PROTECTION, SO THAT THE DG DELIVERS ITS POLICY OBJECTIVES CONTRIBUTING THE OVERALL COMMISSION STRATEGY IN AN EFFECTIVE, TIMELY, EFFICIENT AND ACCOUNTABLE MANNER.</b>		
This objective covers both the establishment of SPP-ABM steps but also of ECHO's annual strategy, ECHO's annual report requested by the Council Regulation 1257/96 and the work programme established for civil protection activities.		
Result indicator	Latest result known	Target
Timely delivery of ECHO's annual operational strategy	2013 strategy presented to HAC in December 2012	Timely process
Timely delivery of SPP-ABM products (CWP, MP, AAR)	All documents submitted in time	Documents within the deadlines
Timely delivery of ECHO's annual report	Document adopted in Oct. 2012	Availability in the shortest delays
Timely delivery of Civil protection work programme	Work programme adopted in December 2012	Timely process of work programme
Related actions		
Co-ordinate and draft for DG ECHO the Commission Work Programme for 2014		
Co-ordinate and draft DG ECHO management plan for 2014		
Co-ordinate and draft DG ECHO operational strategy 2014 and ensure coherence with MP 2014		
Co-ordinate and draft DG ECHO annual report and annual activity report 2012		
Co-ordinate and draft the Civil Protection annual work programme for 2014		
Input for programme statement for PB 2014		

<b>SPECIFIC OBJECTIVE 2: CONSOLIDATE AND FURTHER DEVELOP COOPERATION WITH THE COUNCIL, THE PARLIAMENT, MEMBER STATES AS WELL AS INTERNATIONAL ORGANISATIONS AND MAJOR NON-EU DONORS ON POLICY ISSUES IN ORDER TO PROMOTE HUMANITARIAN PRINCIPLES AND VALUES AND PROMOTE THE EU COOPERATION IN THE FIELD OF CIVIL PROTECTION</b>		
DG ECHO will consolidate and further develop cooperation with other Institutions including the EEAS, Member States and International Organisations and will continue to promote the respect for International Humanitarian Law and humanitarian principles (humanity, impartiality, non-discrimination and neutrality). It will also advocate for the need to preserve the humanitarian space during emergencies to ensure that it is duly taken into account in the European and international debate.		
Result indicator	Latest result known	Target
Delivery of briefings, speeches, public statements on relevant issues	Delivery on time	Delivery within the targets
Reply to MEP requests within the deadlines	Reply to 67 requests as "chef de file" and 191 as "associated service"	Reply to all requests
Related actions:		
Participation in COHAFAs/PROCIV meetings and other working groups as needed		
Provision of assistance in the preparation of upcoming Presidencies and co-organisation of the DGs CP meetings, Presidency workshops, Informal COHAFAs etc.		
Promote the EU cooperation in the field of Civil Protection		
Management of CP Committee meetings 4 times per year (including votes)		
Organisation of the Civil Protection Forum		
Further consolidating cooperation with the EEAS. Further raising awareness on the specificity of humanitarian aid and on the humanitarian principles. Enhancing cooperation with EEAS Directorates dealing with Operational Coordination and Crisis Response, EUMS, CMPD and CPCC.		
Follow up of the work of the European Parliament on humanitarian aid and civil protection and other related issues. Participation at committee meetings as needed		



**SPECIFIC OBJECTIVE 3: DEVELOP, IMPLEMENT, MONITOR AND ADAPT EXTERNAL COMMUNICATION OPERATIONS TO PROMOTE THE POLICY OF THE DG ACTIVELY AND ESTABLISH AN EFFECTIVE AND REGULAR DIALOGUE WITH CIVIL SOCIETY AND SPECIFIC TARGET AUDIENCES SO THAT THESE ACTORS BETTER UNDERSTAND, ENDORSE AND APPLY THE EU HUMANITARIAN AID AND CIVIL PROTECTION POLICIES PROMOTED BY THE DG.**

The primary objective of DG ECHO's communication and information activities is to communicate within the European Union and beyond on the key role of the European Commission in providing humanitarian aid and coordinating EU civil protection assistance to crisis victims throughout the world. This is a concrete and powerful example of European solidarity with people in need and one of the central objectives of the EU's external action as laid down in Art. 21 TEU. The DG's communication also aims to raise awareness of (a) humanitarian issues, in particular highlighting the values and principles of the European Commission's humanitarian aid, and (b) the joint effort of the Commission and EU Member States in preventing, preparing for and responding to disasters through European co-operation in the field of civil protection. The communication strategy will support ECHO's priority policies, initiatives and activities in 2013, including the launch of the Emergency Response Centre and the run-up to the new EU Aid Volunteers scheme, and will aim to ensure efficient communication on EU's response in upcoming crises and disasters. Collectively, the EU is the world's largest relief donor, with the Commission managing the largest share of EU funding in this area and this is strongly supported by EU citizens. Humanitarian aid and civil protection operations and policies therefore present a continuing opportunity for the Commission to 'connect' positively with citizens.

The 20<sup>th</sup> anniversary of the creation of ECHO in 2012 has been an opportunity to further increase visibility of ECHO action and priorities and has been an underlying communication theme in the major part of 2012.

Result indicator	Latest result known	Target
Relevant numbers of communication actions with ECHO partner organisations targeting EU audiences.	Launch of three new awareness raising actions targeting EU audiences in cooperation with humanitarian partner organisations and contracting additional three ones.	In 2013, completion of six (3 ongoing from 2011 financing decision, 3 new from 2012 financing decision) and launching of new priority theme-related awareness-raising actions reaching EU target audiences (2013 budget: € 2m).
Media announcements and factsheets covering major crises, events and financing decision.	Over 80 announcements and over 200 factsheets and updates published by November 2012	Timely publication of media announcements and factsheets (number depends on number of crises, events, funding decisions, etc.)
Web-based outreach through expansion of websites and reach on social media platforms.	ECHO's website had increased traffic in 2012, recording peak moments (over 200.000 page hits) around major crises and other developments, like World Humanitarian Day and ECHO's 20 <sup>th</sup> anniversary events. On social media, the number of followers on Facebook surpassed 16.000 (ECHO is among top three Commission DGs in number of followers) in October 2012 and Twitter account gained ground with recorded 1400 tweets by mid-November.	Further outreach and strong traffic on ECHO managed websites and social media platforms with reinforced promotion and engaged approach.

**Related actions:**

Media approach: provide support and quality input for media activities (ECHO's, Commissioner's and for the needs of the Spokesperson).

Production of printed and e-publications, updates and requested new, well targeted printed material and electronic publications for the needs of ECHO and the Commissioner.

Website: continued support for Commissioner's website and engagement in social media, continued strong ECHO's web-based communication by pursuing interactive approach on its website and building on current success, by further strengthening its social media

Communication with partners: continue dialogue with partners in order to encourage them for meaningful communication about the EU as a leading global donor of humanitarian aid

Communication in crises: contribute and be part of internal workflow for more efficient communication in crises, especially in terms of quality and timely communication response.

## **B. ADMINISTRATIVE SUPPORT**

The Administrative support activity for DG ECHO consists mainly of:

- Ensuring sound and efficient management of human resources (specific objective 1) at headquarters and in the field, including training and mobility.
- Ensuring proper financial reporting and the verification of legality and of regularity of operations linked to DG ECHO's mandate and establish a comprehensive framework for the audit of humanitarian operations funded by DG ECHO (specific objective 2) including field offices, expatriate (individual experts) and local staff. DG ECHO continues to develop new tools and refine the existing ones to provide accessible information to all stakeholders on budget execution and the use of its resources.
- The IT management (specific objective 3) comprises the management of humanitarian aid and civil protection.
- Ensure efficient management of DG ECHO's field network, including sound and efficient human resources management, financial management of the offices and the related employment contracts as well as the logistic management of the offices (including ICT),
- Carry out risk analyses, perform internal audit activities within the DG and give advice to the Director General on management and control matters (specific objective 4) and implement and maintain an effective internal control system (specific objective 5).

### **Responsible entities:**

Unit C1 (Human resources)

Unit C2 (Budget, External Audit and IT)

Unit C3 (Finance, legal affairs and partners' support)

Unit C4 (Field Network, Transport and Logistics)

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<b>SPECIFIC OBJECTIVE 1: RECRUIT, TRAIN, ASSESS, MOTIVATE AND RETAIN HIGHLY QUALIFIED STAFF SO THAT EFFECTIVE AND EFFICIENT OPERATIONS OF THE DG ARE ENSURED AS WELL AS IMPLEMENTATION OF THE IV ACTION PROGRAMME FOR EQUAL OPPORTUNITIES</b>		
Besides assuming HR functions in view to support operations, the service will concentrate on the following tasks: provide support for the staffing of the European Emergency Response Capacity, implement the 2nd appraisal and promotion exercises, swiftly respond to structural and organisational changes despite the stagnation of human resources, prepare for modifications to staff regulations and planned decrease in human resources, implement the actions adopted in the Action Plan for Equal Opportunities in ECHO.		
Result indicator	Latest result known	Target
Limited average of vacancy rate of available posts	2,5% for 2012	≤ 5,7% (Commission average)
Average number of training days per staff member	5,9 (2012, November status)	>5 (Commission average)
Management positions held by women	28.6% of middle management 25 % of senior management	Middle management at 30.8% in 2014 Senior management at 26,7 in 2014
% of accepted application for flexible work arrangements	74,5% of staff practice flexitime 22,5% of workforce eligible made use of flexible work patterns Teleworking: 20 teleworkers (=7% of eligible staff). In addition, 63% of HQ staff have been allocated a token	56% flexitime use at COM level  18,2% flexible work patterns at COM level  In line with average % COM
Screening results	8,3 % local overheads	≤9,3% COM average
<b>Related actions:</b>		
Mobility inside the DG remained active in 2012 (some 177 staff moves took place of which 99 concern officials (= 45% of the total numbers of officials).		
Review and implement a strategic framework for the next 2 years in line with the Commission's strategic framework for learning and development for 2013 and beyond.		
New responsibility of training partners on the FPA/FAFA/e-tools.		
The 1st appraisal and promotion exercise has been achieved according to the deadlines set by HR. The new system for appraisal was considered positively by all actors involved. Results of the promotion round were also satisfactory but requested providing of additional quotas from JAPC.C1.		

<b>SPECIFIC OBJECTIVE 2: PLAN, PERFORM, MONITOR AND REPORT ON THE SPENDING OF FINANCIAL RESOURCES SO THAT SOUND FINANCIAL MANAGEMENT IS ENSURED THROUGHOUT DG ECHO'S ACTIVITIES</b>		
DG ECHO continues to develop new tools and refine the existing ones to provide regular, reliable and easily accessible information to all stakeholders on the budget execution and the use of its resources. The criteria for the performance of this objective involves monitoring the volume, quality and rapidity of the transactions processed. For the recording and processing of financial transactions, DG ECHO uses the central Commission tool (ABAC) and its own local system (HOPE) mainly related to contract management. Considering the audit programme, DG ECHO will promote the improvement of financial management by partners and contractors and ensure that the training of audit staff, the use of audit methodologies and audit manual remain up to date. It will also consist into plan and carry out audits, based on a risk analysis of DG ECHO's partners, at headquarters and in the field and in respect of applicants for partnership and subvention recipients in order to give an expression of the degree of assurance of sound management of Community's funds. This includes periodic assessments of Humanitarian Procurement Centres towards the HPC charter and the verifications of actions implemented in the field via the UN.		
Result indicator	Latest result known <sup>10</sup> [ <i>actual data to be included in the final MP transmitted to SG</i> ]	Target
% of budget execution (commitments)	HA, FA and DIPECHO: 99.4%	> 98%

<sup>10</sup>Estimated implementation at 31.12.2012

with respect to budget appropriations	CIVPRO: 88.1%	
% of budget execution (payments) with respect to budget appropriations	HA, FA and DIPECHO: > 99.7%	> 99%
	CIVPRO: 74.7%	
Level of abnormal RAL (+ 5years)	Abnormal RAL of 0.002%	< 0,5 %
Percentage of payments handled within contractual delay	71.3%	> 90%
Timely delivery of monthly financial reports	Within 5 working day after the closure of the month	Within 5 working days
Manage the framework contract for partner operational audits and verifications	45	Perform 40-60 audits and verifications both at HQ and in the field
<b>Related actions:</b>		
Produce weekly and monthly reports in time, including financial indicators		
Prepare year-end procedures and balance sheets		
Advise and guide DG ECHO management and staff on budget, finance and contract matters		
Advise and guide DG ECHO management and staff on finance and contract matters		
<p>The management of the audit process in accordance with the audit plan for 2013,</p> <ul style="list-style-type: none"> <li>•Manage the two framework contracts for partner headquarters audits</li> <li>•Manage the framework contract for partner operational audits and verifications</li> <li>•Leading the verifications of UN organisations with the assistance of the framework contractors</li> <li>•Carry out HPC validation audits on HPC</li> <li>•Carry out audits of ECHO offices</li> <li>•Review and keeping up-to-date of Audit Strategy and subsequent audit methodologies</li> </ul>		
The issue of audit reports which are needed by, and helpful to, the authorising officer in taking financial and operational decisions,		
Overall assessment of partners required for input into the annual activity report and the audit planning,		
Contribute to increasing the reliance on UN's internal auditors		
The process of risk assessment and operational decisions relating to grants,		
The follow-up of the audits, and the preparation and acceptance of the recovery orders to be issued.		
Annual report on the audits undertaken in 2012, and		
Preparing the Annual plan for the audits in 2014.		

<b>SPECIFIC OBJECTIVE 3: DEFINE, PLAN, SET UP, MAINTAIN AND DEVELOP HIGH QUALITY INFORMATION TECHNOLOGY (IT) INFRASTRUCTURES, TOOLS AND SERVICES SO THAT THE STAFF IS ADEQUATELY EQUIPPED FOR MANAGEMENT OF HUMANITARIAN AID AND CIVIL PROTECTION OPERATIONS</b>		
<p>DG ECHO will continue in 2013 to deliver high quality IT services to users within the DG, to DG ECHO partners and to field experts The IRM team will provide support services for Commission-wide IT tools and will implement actions resulting from the EC-wide rationalisation exercise of information systems. As far as ECHO IT systems are concerned, the 2013 priorities will be the IT adaptations resulting from the revision of the FPA, the IT adaptations resulting from the process review, the full deployment of the e-Single Form using the ADOBE eForms technology, the integration of Civil Protection data in EDRIS, and the support to internal and external users... As far as ECHO IT infrastructure is concerned, the 2013 priorities will be the move of the DG to the new building and the creation of the Emergency Response Centre, as well as the harmonisation of IT in the field.</p>		
Result indicator	Latest result known	Target
Submission of IT plan for 2013-2014	IT plan 2013-2014 is under preparation	IT plan drafted and approved

Implementation of the IT plan 2013	IT plan forecast (actions and budget) approved	Financial aspect: 98% of budget committed at year end. Operational aspect: Priority actions fully implemented at year end.
<b>Related actions:</b>		
Prepare the IT work plan 2014, promote its discussion within the IT Steering Committee and present an agreed proposal to DG ECHO Management		
Support and maintain the IT tools, provide assistance and access to the headquarters services and to the field experts		
Administrate and give support to the following systems: APPEL, EDRIS, Individual Experts, EHOSTAT, CIRCABC, Base Orange/Blue and HOPE		
Implement the actions of the IT rationalisation, in particular in the Grant Management and Document Management domains.		

<b>SPECIFIC OBJECTIVE 4: ENSURE EFFICIENT AND EFFECTIVE MANAGEMENT OF DG ECHO'S FIELD NETWORK:</b>		
<ul style="list-style-type: none"> <li>- THROUGH EFFECTIVE HUMAN RESOURCES MANAGEMENT (INCL. RECRUITMENT, TRAINING, ASSESSMENT AND MOTIVATION OF HIGHLY QUALIFIED STAFF);</li> <li>- THROUGH EFFICIENT PROCEDURES MANAGE IN A COHERENT AND TRANSPARENT WAY THE ISSUES RELATED TO THE EXPERT EMPLOYMENT CONTRACTS;</li> <li>- THROUGH EFFECTIVE FINANCIAL AND ADMINISTRATIVE PROCEDURES OPTIMIZE THE MANAGEMENT OF FIELD OFFICES FOR THE PLANNING, THE IMPLEMENTATION, THE MONITORING AND THE REPORTING ON/OFF ACTIVITIES;</li> <li>- THROUGH HIGH QUALITY INFORMATION AND COMMUNICATION TECHNOLOGY (ICT) INFRASTRUCTURES AND TOOLS SO THAT THE STAFF AND OFFICES IN THE FIELD ARE ADEQUATELY EQUIPPED (DEFINITION, PLANNING, DEVELOPMENT AND MAINTAIN);</li> <li>- THROUGH THE PREPARATION FOR DEPLOYMENT OF LOGISTICS AND OFFICES IN CASE OF EMERGENCIES</li> </ul>		
DG ECHO will endeavour to effectively manage its network of field experts, whose technical competences are crucial in the context of operations and crises, and covers essential tasks such as the identification and evaluation of need and also the supervision of on-going operations.		
<b>Result indicator</b>	<b>Latest result known</b>	<b>Target</b>
Limited average of vacancy rate of available TA posts	4 TA positions vacant by the end of October (2.8%)	≤ 5%
Regular feedback on performance	Procedures adopted in September 2012. These procedures should be implemented in all offices during the next 12 months. In October 2012, the Steering Committee re-confirmed its commitment to implement a feedback procedure, but agreed to continue the pilot exercise in order to simplify the procedure, if possible, and to delegate the tasks by downgrading the responsibility to the appropriate levels.	From 2013 onwards, once per year for national staff and at least once every 2 years for experts
Ex-post control activities	Ex-post policy under revision. New strategy should be finalised by March 2013 implemented from then onwards.	Ex post control of the monthly financial report per office done at least 4 months after having received the financial report
Timely payment of salaries of experts	All salaries are paid in time (around the 27 <sup>th</sup> each month)	> 99% of the salaries paid (at ECHO level) by the end of the month
<b>Related actions:</b>		
Implementation of the revised recruitment procedures, the set up of the system related to the publication of vacancies and the development of the database enabling to maintain quality information in the list of experts		
Management of DG ECHO field network Steering Committee		

Development of periodic performance feedback mechanism for experts and annual evaluation scheme for national staff
Advise and guide DG ECHO offices on budget, finances and contract matters
Prepare year-end procedures for the financial management of offices, including those related to imprest accounts
Revision of imprest account system in cooperation with DG BUDG
Selection and implementation of a new financial management tool for the management of offices
Revise the ex-post controls of offices, taking the procedures defined end 2011 into account
Revise the strategic training framework for staff in the field (experts and local staff)
Develop a system of career path for National Staff in order to upgrade their capabilities and increase motivation

**SPECIFIC OBJECTIVE 5: ASSESS THE COMPLIANCE, EFFICIENCY AND EFFECTIVENESS OF THE CONTROL SYSTEM IN PLACE, BY ASSISTING THE DIRECTOR GENERAL AND MANAGEMENT IN CONTROLLING RISKS AND MONITORING COMPLIANCE, PROVIDING AN INDEPENDENT AND OBJECTIVE OPINION ON THE QUALITY OF MANAGEMENT AND INTERNAL CONTROL SYSTEM AND MAKING RECOMMENDATIONS IN ORDER TO IMPROVE THE EFFICIENCY AND EFFECTIVENESS OF OPERATIONS AND TO ENSURE ECONOMY IN THE USE OF RESOURCES.**

The primary objective of the IAC is to provide the Director-General with assurance as to the effectiveness and efficiency of risk management, control, and internal governance processes in the DG, with special reference to the following aspects:

- (1) risks are appropriately and continuously identified and managed,
- (2) significant financial, managerial, and operating information is accurate, reliable, and timely,
- (3) the Commission's policies, procedures, and applicable laws and regulations are complied with,
- (4) the objectives of the DG are achieved effectively and efficiently and
- (5) the development and maintenance of high-quality control processes are promoted throughout the DG.

Result indicator	Latest result known	Target
Degree of implementation of the IAC annual work plan	100% - All audits have been finalised by the end of the year.	100%
% of accepted audit recommendations issued in year N-1 implemented within one year from their issuance	65 %	> 70%

**Related actions:**

- Check the coherence of all financial data contained in the AAR against reports of ABAC and other databases
- Check a sample of transactions of 2012
- Carry out at least one performance audit.
- Follow-up of the IAC's recommendations

**SPECIFIC OBJECTIVE 6: IMPLEMENT, MAINTAIN AND REPORT ON AN EFFECTIVE AND RELIABLE INTERNAL CONTROL SYSTEM SO THAT REASONABLE ASSURANCE CAN BE GIVEN THAT RESOURCES ASSIGNED TO THE ACTIVITIES ARE USED ACCORDING WITH THE PRINCIPLES OF SOUND FINANCIAL MANAGEMENT AND THAT THE CONTROL PROCEDURES PUT IN PLACE GIVE THE NECESSARY GUARANTEES CONCERNING THE LEGALITY AND REGULARITY OF THE UNDERLYING TRANSACTIONS**

DG ECHO continues to improve the cost effectiveness of its internal control system whilst meeting the Commission's evolving baseline requirements (internal control standards, risk assessment)

Result indicator	Latest result known	Target
Evaluate on a regular basis the IC system put in place	2012's exercise finalised in Dec. 2012	Q4/year
Degree of compliance with the Commission baseline requirements for the set of 16 ICS	100%	100%
Update on a regular basis the risk register and control measures put in place to mitigate critical and other risks	2012's exercise finalised Dec 2012	Recurrent exercise
Degree of implementation of mitigating measures for critical risks	100%	100%

Related actions:

Coordinate the risk assessment exercise

Proceed to the annual assessment of internal control and risk and report to Management, DG BUDG, SG and Commissioner

Update DG ECHO's intranet ICS' pages in conformity with the revised ICS and the latest baseline requirements