



COMMISSION OF THE EUROPEAN COMMUNITIES

Brussels,
COM(2009) XXX final

COMMISSION DECISION

of

**on the financing of humanitarian Actions from the general budget of the European
Communities in the Caribbean**

(ECHO/DIP/BUD/2009/04000)

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on the financing of humanitarian Actions from the general budget of the European Communities in the Caribbean

(ECHO/DIP/BUD/2009/04000)

THE COMMISSION OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Community,

Having regard to Council Regulation (EC) No.1257/96 of 20 June 1996 concerning humanitarian aid¹, and in particular Articles 2 (f), 4 and 15(2) thereof;

Having regard to Council Decision 2001/822/EC of 27 November 2001 on the association of the overseas countries and territories with the European Community ('Overseas Association Decision'²), and in particular Articles 21 and 30 thereof:

Whereas:

- (1) The Caribbean Region is exposed to multiple disasters, including floods, mudslides, hurricanes, earthquakes and volcanoes, whose effects are exacerbated by socioeconomic factors such as high population density, fast demographic growth, inequality and poverty;
- (2) The Caribbean countries' capacity to cope with disaster is insufficient, and improvement of the disaster management capacity of this region is of great importance in order to save lives and livelihoods;
- (3) A coherent and coordinated approach is required to address disaster risk reduction in the Caribbean in a more sustainable manner;
- (4) The Communication on the EU Strategy Supporting Disaster Risk Reduction in Developing Countries identifies the Caribbean region as a priority and recommends the development and implementation of disaster risk reduction actions by up-scaling existing EU/EC disaster risk reduction projects and programmes and building on developing countries' strategies and priorities while fully involving the communities in the decision-making process and implementation of activities.

¹ OJ L 163, 2.7.1996, p. 1.

² OJ L 314, 30.11.2001, p.1 amended by Appendix 2 to Annex III, OJ L 324,7.12.2001, p.1

- (5) To reach populations in need, humanitarian aid should be channelled through International Organisations;
- (6) An assessment of the humanitarian situation leads to the conclusion that humanitarian aid Actions should be financed by the Community for a period of 16 months;
- (7) For the purposes of this Decision the Caribbean countries and Overseas Countries and Territories involved are Anguilla (OCT), Antigua and Barbuda, Netherlands Antilles (OCT), Aruba (OCT), Bahamas, Barbados, Belize, Cuba, Dominica, Granada, Guyana, Haiti, Cayman Islands (OCT), Turks and Caicos Islands (OCT), British Virgin islands (OCT), Jamaica, Montserrat (OCT), Dominican Republic, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Surinam, Trinidad and Tobago;
- (8) It is estimated that an amount of EUR 2,000,000 from budget article 23 02 03 of the general budget of the European Communities is necessary to support the first phase of the implementation of the disaster management multiannual strategy (2009-2014) developed by the International Federation of the Red Cross and Red Crescent Societies, taking into account the available budget, other donors' contributions and other factors. The activities covered by this Decision may be financed in full in accordance with Article 253 of the Implementing Rules of the Financial Regulation;
- (9) The present Decision constitutes a financing Decision within the meaning of Article 75 of the Financial Regulation (EC, Euratom) No 1605/2002³, Article 90 of the detailed rules for the implementation of the Financial Regulation determined by Regulation (EC, Euratom) No 2342/2002⁴, and Article 15 of the internal rules on the implementation of the general budget of the European Communities⁵;

HAS DECIDED AS FOLLOWS:

Article 1

1. In accordance with the objectives and general principles of humanitarian aid, the Commission hereby approves a total amount of EUR 2,000,000 for the financing of humanitarian Actions in the Caribbean from budget article 23.02.03 of the 2009 general budget of the European Communities.
2. In accordance with Articles 2 (f) and 4 of Council Regulation No.1257/96, the principal objective of this Decision is
 - To reduce the impact of natural disasters in the Caribbean region through enhanced preparedness in the areas most vulnerable to recurrent natural hazards.

The humanitarian Actions shall be implemented in the pursuance of the following specific objective:

³ OJ L 248, 16.9.2002, p.1.

⁴ OJ L 357, 31.12.2002, p.1.

⁵ Commission Decision of 5.3.2008, C/2008/773

- To enhance regional disaster management strategies in the Caribbean and thus: i) improve local capacities to prepare for, mitigate and respond to the adverse effects of climate change and natural disasters in the Caribbean, and ii) strategically links regional, national and community level activities with particular emphasis on complementary actions by multiple stakeholders while helping to ensure that these activities are institutionalised.

The full amount of this Decision is allocated to this specific objective.

Article 2

1. The period for the implementation of the Actions financed under this Decision shall start on 1 September 2009 and shall run for 16 months. Eligible expenditure shall be committed during the implementing period of the Decision.
2. If the implementation of individual Actions is suspended owing to force majeure or other exceptional circumstances, the period of suspension shall not be taken into account in the implementing period of the Decision in respect of the Action suspended.
3. In accordance with the contractual provisions ruling the Agreements financed under this Decision, the Commission may consider eligible those costs arising and incurred after the end of the implementing period of the Action which are necessary for its winding-up.

Article 3

1. In accordance with Article 253 of the Implementing Rules and having regard to the urgency of the Action, the availability of other donors and other relevant operational circumstances, funds under this Decision may finance humanitarian Actions in full.
2. Actions supported by this Decision will be implemented by International Organisations.
3. The Commission shall implement the budget by joint management with International Organisations that are signatories to the Framework Partnership Agreements (FPA) and which were subject to the four pillar assessment in line with Article 53d of the Financial Regulation.

Article 4

This Decision will take effect on the date of its adoption.

Done at Brussels

For the Commission
Member of the Commission



**Humanitarian Aid Decision
23 02 03**

Title: Commission Decision on the financing of humanitarian Actions from the general budget of the European Communities in the Caribbean

Description: Strengthening the Red Cross Disaster Management Strategic Framework in the Caribbean Region

Location of Action: Caribbean

Amount of Decision: EUR 2,000,000

Decision reference number: ECHO/DIP/BUD/2009/04000

Supporting Document

1 - Rationale, needs and target population.

1.1. - Rationale :

The Caribbean region is exposed to a range of natural disasters, especially tropical storms with a hurricane season lasting for six months. The 23 countries and OCT¹ in the region also experience floods, flash floods, tsunamis, landslides, mudslides, earthquakes and volcanic eruptions. The physical risk is combined with socioeconomic factors, such as high population density, fast demographic growth, inequality and poverty. The combination of these factors results in very vulnerable communities, with low coping capacities in the event of disaster.

Due to the vulnerability of this region, the Communication on the EU Strategy Supporting disaster risk reduction (DRR) in Developing Countries² specifically mentions the Caribbean as a priority for the development of a Regional Action Plan. In this respect it is worth mentioning that under the 10th European Development Fund (EDF), EUR 180,000,000 are earmarked for disaster risk reduction (DRR) activities at regional level for ACP³ countries.

¹ Overseas Countries and Territories

² COM(2009)84 final of 23.2.2009

³ Africa, Caribbean, Pacific

These funds, however, are to be channelled through regional bodies/associations for regional projects/activities,

Concerning, DG ECHO⁴ interventions in the Caribbean, already back in 1998 DG ECHO selected the region for inclusion in its DIPECHO⁵ programme. The aim has been to strengthen disaster risk reduction with a community based approach. Since then, six Disaster Preparedness Action Plans have been implemented with the help of NGOs, Red Cross, UN agencies and other regional partners. The Seventh Action Plan has recently been adopted and projects will be implemented from September 2009 to February 2011. When selecting actions for funding under the mentioned Action Plan, special attention will be paid to eliminate the risk of double funding with actions funded under this Decision.

This Decision intends to fill the gap between community-led initiatives such as DIPECHO and other disaster risk reduction processes and to work towards a cross-cutting, local-to-global disaster management system guided by a reasonable DRR approach. This will be done through supporting the regional Caribbean Disaster Management Strategic Framework, which was adopted by the International Federation of the Red Cross and Red Crescent Societies (IFRC) and outlines a structured and coordinated approach for the period 2009-2014. The aim of this strategy is to prepare for, mitigate and respond to disasters, while at the same time substantially strengthening links with government and regional disaster management agencies.

This Strategic Framework focuses on support to the activities of National Societies in the region in order to achieve the IFRC's Global Agenda Goal One, i.e. to reduce the number of deaths, injuries and impact from disasters. This framework is aligned with the Global Agenda for Disaster Risk Reduction, which aims to build community safety and resilience in the face of disaster risk.

In the Caribbean, members of the Caribbean Community (CARICOM)⁶ have endorsed a Comprehensive Disaster Management Framework (CDM) aiming inter alia at enhancing community resilience, which is in line with commitments within the Hyogo Framework for Action. National disaster management agencies in the region are well aware of the need to strengthen communities and are committed to this aim. CARICOM members established a regional inter-governmental agency, the Caribbean Disaster Emergency Management Agency –CDEMA⁷ - in order to make an immediate and coordinated response to any disastrous event affecting any participating state, once the state requests such assistance. The IFRC and the Red Cross National Societies are actively working toward the goals outlined in the CDEMA's CDM strategy and framework.

It is proposed to support the IFRC Caribbean Disaster Management Programme and Strategic Framework because it is:

⁴ Directorate – General for Humanitarian Aid - ECHO

⁵ Disaster Preparedness ECHO

⁶ Caribbean Community including Anguilla, Antigua and Barbuda, Bahamas, Belize, Barbados, Cayman islands, Dominica, Grenada, Guyana, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, MOnserrat, Surinam, Turks and Caicos islands, Trinidad and Tobago, Saint Vincent and the Grenadines, Virgin Islands

⁷ Formerly known as CDERA (Caribbean Disaster Emergency Response Agency)

- fully in line with Hyogo Framework for Action (HFA)⁸ 2005–2015: "*Building the Resilience of Nations and Communities to Disasters*"⁹
- complementary to the Seventh DIPECHO Action Plan for the Caribbean. Indeed, while the DIPECHO Action Plan will fund preparedness and small mitigation projects at community level, the IFRC Caribbean disaster management programme applies a strategic, coordinated, programme-based approach to disaster management at community, national and regional level.
- a significant contribution for improving the "DRR framework" in the region for a more efficient implementation of the Regional Action Plan (RAP) for the Caribbean (once it is elaborated under the 10th EDF). Indeed, one of the objectives of the IFRC's proposed intervention is to combine under a common approach and methodology DRR efforts by key donors, the governments of the region, civil society, local authorities and communities at risk. This is an essential element for the regional approach to DRR as defined in the EU strategy.

1.2. - Identified needs :

There is a significant need for effective disaster management in a region as vulnerable to natural disasters as the Caribbean. Effective disaster management will help better prepare the population at risk to face recurrent disasters and contribute to a reduction of loss of life and livelihood when a disaster strikes.

There is also a clear need for a more programmatic and strategic approach to ensure the sustainability of these interventions and equip each country and the entire region with the right tools and mechanisms to prepare for and respond to disasters.

An additional challenge is to understand and recognize the evolving environment, including climate change. It is also necessary to improve the coordination and cooperation with external partners at all levels.

The IFRC programme presents an opportunity to address these needs and facilitate the integration of DRR in a coherent disaster management policy at local, national and regional level.

Key areas which require attention are:

- To design a common comprehensive, structured and result-based approach to enhance impact and sustainability.
- To build sustainability around engagement and partnership with all the main stakeholders from the community level to central governments with the support of the private sector and civil society;
- To create a multi-level engagement and build capacity that facilitate advocacy and influence of main stakeholders (including Red Cross National Societies) in the decision making process;

⁸ <http://www.unisdr.org>

⁹ The 5 priorities for actions are: 1. Ensure that DRR is a national and a local priority with a strong institutional basis for implementation; 2. Identify, assess and monitor disaster risks and enhance early warning; 3. Use knowledge, innovation and education to build a culture of safety and resilience at all levels; 4. Reduce the underlying risk factors; 5. Strengthen disaster preparedness for effective response at all levels.

- To enhance internal coordination between National Societies and the IFRC Secretariat and ensure external coordination with non-Red Cross actors.
- To increase capacity and response mechanisms at community level and, subsequently, decrease vulnerability.

1.3. - Target population and regions concerned :

This Decision will contribute to improving the preparedness and capacity as well as strengthen the coordinating mechanisms of the Red Cross National Societies of the region.

The estimated number of direct beneficiaries is therefore approximately 60,000.

By extension, with this Decision, DG ECHO will contribute to an action that, once fully implemented, will benefit all people at risk of natural disasters natural disasters of the region.

From a geographical point of view, 23 countries and OCT in the Caribbean are concerned: Anguilla (OCT), Antigua and Barbuda, Netherlands Antilles (OCT), Aruba (OCT), Bahamas, Barbados, Belize, Cuba, Dominica, Granada, Guyana, Haiti, Cayman Islands (OCT), Turks and Caicos Islands (OCT), British Virgin islands (OCT), Jamaica, Montserrat (OCT), Dominican Republic, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Surinam, Trinidad and Tobago.

1.4. - Risk assessment and possible constraints :

The implementation of actions funded under this Decision could be delayed and/or disrupted in case of i) an important emergency response to epidemics, natural or man made disasters; ii) the occurrence of disasters (man-made or natural) affecting a specific country or the entire region; iii) lack of support and commitment from stakeholders at all levels; iv) lack of commitment or political interest of the public institutions/administrations involved v) weak participation by communities .

2 - Objectives and components of the humanitarian intervention proposed:

2.1. - Objectives :

Principal objective: To reduce the impact of natural disasters in the Caribbean region through enhanced preparedness in the areas most vulnerable to recurrent natural hazards.

Specific objective:

To enhance regional disaster management strategies in the Caribbean and thus improve local capacities to prepare for, mitigate and respond to the adverse effects of climate change and natural disasters in the Caribbean.

2.2. - Components :

Disaster management and strategic planning in order to strengthen the disaster preparedness and response in the region, including risk identification and response planning at community and national levels.

Development of National Disaster Response Plans and Teams including a good coordination system and standard procedures at country level.

Advocacy and Coordination including engagement with Regional Stakeholders, enhanced capacity of the Red Cross disaster management network, development and management of the regional knowledge and information sharing, promotion of regional cooperation between National Red Cross Societies, development of new partnerships.

Institutional support including strengthening IFRC's disaster management tools and systems, technical support to National Red Cross Societies in disaster response and preparedness, simulation exercises.

3 - Duration expected for Actions in the proposed Decision:

The duration for the implementation of this Decision shall be 16 months so as to provide adequate support to a larger strategic and programmatic approach.

Humanitarian Actions funded by this Decision must be implemented within this period.

Expenditure under this Decision shall be eligible from 1 September 2009

Start Date: 1 September 2009

If the implementation of the Actions envisaged in this Decision is suspended due to *force majeure* or any comparable circumstance, the period of suspension will not be taken into account for the calculation of the duration of the humanitarian aid Actions.

Depending on the evolution of the situation in the field, the Commission reserves the right to terminate the Agreements signed with the implementing humanitarian organisations where the suspension of activities is for a period of more than one third of the total planned duration of the Action. In this respect, the procedure established in the general conditions of the specific agreement will be applied.

4 - Previous interventions/Decisions of the Commission within the context of the current crisis

List of previous DG ECHO operations in ARUBA/ANGUILLA/NETHERLANDS ANTILLES/ANTIGUA AND BARBUDA/BAHAMAS/BELIZE/BARBADOS/CUBA/CAYMAN ISLANDS/DOMINICA/DOMINICAN REPUBLIC/GRENADA/GUYANA/HAITI/JAMAICA/SAINT KITTS AND NEVIS/SAINT LUCIA/MONTserrat/SURINAM/TURKS AND CAICOS ISLANDS/TRINIDAD AND TOBAGO/SAINT VINCENT AND THE GRENADINES/VIRGIN ISLANDS

Decision Number	Decision Type	2007 EUR	2008 EUR	2009 EUR
ECHO/DOM/BUD/2007/01000	Non Emergency	260,000		
ECHO/DOM/BUD/2007/02000	Prim. Emergency	1,500,000		
ECHO/DOM/BUD/2008/01000	Non Emergency		250,000	
ECHO/-CR/BUD/2007/01000 (*)	Emergency	2,500,000		
ECHO/-CR/EDF/2007/01000 (*)	Emergency	3,000,000		
ECHO/-FA/BUD/2008/02000 (*)	Non Emergency	2,000,000		
ECHO/DIP/BUD/2007/02000	Non Emergency	4,000,000		
ECHO/HTI/BUD/2007/01000	Emergency	1,000,000		
ECHO/HTI/EDF/2007/01000	Non Emergency	1,500,000		
ECHO/-FA/BUD/2008/01000	Non Emergency		3,000,000	
ECHO/-FA/BUD/2008/02000	Non Emergency		4,400,000	
ECHO/HTI/BUD/2008/02000	Prim Emergency		2,000,000	
ECHO/HTI/BUD/2008/01000	Ad Hoc		3,000,000	
ECHO/-FA/BUD/2008/08000	Emergency		6,000,000	
ECHO/CUB/BUD/2009/01000	Ad Hoc			2,000,000
ECHO/HTI/BUD/2009/01000	Global Plan			7,000,000
ECHO/DIP/BUD/2009/03000	Ad Hoc			5,000,000
	Subtotal	15,760,000	18,650,000	14,000,000
	Grand Total	48,410,000		

Dated : 19 June 2009
Source : HOPE

(*) decisions with more than one country

5 - Overview of donors' contributions

Donors in ARUBA/ANGUILLA/NETHERLANDS ANTILLES/ANTIGUA AND BARBUDA/BAHAMAS/BELIZE/BARBADOS/CUBA/CAYMAN ISLANDS/DOMINICA/DOMINICAN REPUBLIC/GRENADA/GUYANA/HAITI/JAMAICA/SAINT KITTS AND NEVIS/SAINT LUCIA/MONTserrat/SURINAM/TURKS AND CAICOS ISLANDS/TRINIDAD AND TOBAGO/SAINT VINCENT AND THE GRENADINES/VIRGIN ISLANDS the last 12 months

1. EU Members States (*)		2. European Commission		3. Others	
	EUR		EUR		EUR
Austria		DG ECHO	6,350,000		
Belgium	850,000	Other services			
Bulgaria					
Cyprus					
Czech Republic					
Denmark					
Estonia					
Finland					
France					
Germany	150,000				
Greece					
Hungary					
Ireland	150,000				
Italy	50,000				
Latvia					
Lithuania					
Luxemburg					
Malta					
Netherlands					
Poland					
Portugal					
Romania					
Slovakia					
Slovenie					
Spain	200,000				
Sweden	1,469,208				
United Kingdom	421,388				
Subtotal	3,290,596	Subtotal	6,350,000	Subtotal	0
		Grand total	9,640,596		

Dated : 19 June 2009

(*) Source : DG ECHO 14 Points reporting for Members States. <https://webgate.ec.europa.eu/hac>

Empty cells means either no information is available or no contribution.

Several donors in the region have pledged to the IFRC support to the Disaster Management Regional Framework or envisage to do so. These donors are including the US Government through their Office of Foreign Disaster Assistance (OFDA), the Canadian Government through their Canadian International Development Agency (CIDA) and the UK Government through their Department for International Development (DFID).

Close cooperation between the European Commission and all the donors in the region will be maintained to contribute to Disaster Risk Reduction in the region in a coherent and coordinated manner.

6 - Amount of Decision and distribution by specific objectives:

6.1. - Total amount of the Decision: EUR 2,000,000

6.2. - Budget breakdown by specific objectives

Principal objective: <i>To reduce the impact of natural disasters in the Caribbean region through enhanced preparedness in the areas most vulnerable to recurrent natural hazards</i>				
Specific objectives	Allocated amount by specific objective (EUR)	Geographical area of operation	Activities	Potential partners¹⁰ (joint management)
<p>Specific objective 1: To enhance regional disaster management strategies in the Caribbean and thus improve local capacities to prepare for, mitigate and respond to the adverse effects of climate change and natural disasters in the Caribbean</p>	2,000,000	<p>Anguilla (OCT), Antigua and Barbuda, Netherlands Antilles (OCT), Aruba (OCT), Bahamas, Barbados, Belize, Cuba, Dominica, Granada, Guyana, Haiti, Cayman Islands (OCT), Turks and Caicos Islands (OCT), British Virgin islands (OCT), Jamaica, Montserrat (OCT), Dominican Republic, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Surinam, Trinidad and Tobago</p>	<p>Disaster management and strategic preparedness including risk identification and response planning at community and national levels</p> <p>Development of National Disaster Response Plans and Teams, including a good coordination system and standard procedures at country level</p> <p>Advocacy and Coordination including engagement with Regional Stakeholders, enhanced capacity of the Red Cross disaster management network, development and management of the regional knowledge and information-sharing, promotion of regional cooperation between National Red Cross Societies, development of new partnerships</p> <p>Institutional support, including strengthening IFRC's disaster management tools and systems, technical support to National Red Cross Societies in disaster response and preparedness, simulation exercises</p>	- IFRC-FICR
TOTAL:	2,000,000			

¹⁰ International Federation of the Red Cross and Red Crescent Societies

7 - Evaluation

Under article 18 of Council Regulation (EC) No.1257/96 of 20 June 1996 concerning humanitarian aid, the Commission is required to "regularly assess humanitarian aid Actions financed by the Community in order to establish whether they have achieved their objectives and to produce guidelines for improving the effectiveness of subsequent Actions." These evaluations are structured and organised in overarching and cross cutting issues forming part of DG ECHO's Annual Strategy such as child-related issues, the security of relief workers, respect for human rights, gender. Each year, an indicative Evaluation Programme is established after a consultative process. This programme is flexible and can be adapted to include evaluations not foreseen in the initial programme, in response to particular events or changing circumstances. More information can be obtained at:

http://ec.europa.eu/echo/policies/evaluation/introduction_en.htm.

8 - Management Issues

Humanitarian aid Actions funded by the Commission are implemented by NGOs and the Red Cross National Societies on the basis of Framework Partnership Agreements (FPA), by Specialised Agencies of the Member States and by United Nations agencies based on the EC/UN Financial and Administrative Framework Agreement (FAFA) in conformity with Article 163 of the Implementing Rules of the Financial Regulation. These Framework Agreements define the criteria for attributing grant Agreements and financing Agreements in accordance with Article 90 of the Implementing Rules and may be found at:

http://ec.europa.eu/echo/about/actors/partners_en.htm.

For NGOs, Specialised Agencies of the Member States, Red Cross National Societies and International Organisations not complying with the requirements set up in the Financial Regulation for joint management, actions will be managed by direct centralised management. For International Organisations identified as potential partners for implementing the Decision, actions will be managed under joint management.

Individual grants are awarded on the basis of the criteria enumerated in Article 7.2 of the Humanitarian Aid Regulation, such as the technical and financial capacity, readiness and experience, and results of previous interventions.