

## ANNEX 11

to the Commission Implementing Decision on the financing of the multi-country multiannual action plan in favour of the Western Balkans and Turkey for 2021-2022

**Action Document for “Civil Protection Support – Prevention, Preparedness and Response to Natural Disasters in Western Balkans and Turkey”**

## 1. SYNOPSIS

### 1.1. Action Summary Table

<b>Title</b>	<b>Civil Protection Support – Prevention, Preparedness and Response to Natural Disasters in Western Balkans and Turkey</b> Multi-country multiannual action plan in favour of the Western Balkans and Turkey for 2021-2022				
<b>CRIS/OPSYS number</b>	IPA III/2021/NEAR>ECHO/11				
<b>Basic Act</b>	Financed under the Instrument for Pre-Accession Assistance (IPA III)				
<b>Team Europe Initiative</b>	No				
<b>Zone benefiting from the action</b>	Western Balkans (Republic of Albania, Bosnia and Herzegovina, Kosovo*, Montenegro, Republic of North Macedonia, and Republic of Serbia) and Republic of Turkey				
<b>Programming document</b>	IPA III Programming Framework				
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>					
<b>Window and thematic priority</b>	Window 3 - Green agenda and sustainable connectivity Thematic priority 1 - Environment and climate change				
<b>Sustainable Development Goals (SDGs)</b>	Main SDG: SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable Other significant SDGs: SDG 5: Gender Equality, and SDG 3: Ensure healthy lives and promote wellbeing for all at all ages				
<b>DAC code(s)</b>	74010 - Disaster Prevention and Preparedness -100%				
<b>Main Delivery Channel@</b>	Public Corporations - 11000 Private Sector Institution - 60000				
<b>Markers (from DAC form)</b>	<b>General objective@</b>	<b>policy</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Participation development/good governance		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Aid to environment		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo Declaration of Independence

	Gender equality and women's and girl's empowerment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, new born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Disaster Risk Reduction	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Inclusion of persons with disabilities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers@</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Internal markers</b>	<b>Policy objectives</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Digitalisation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Migration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	COVID-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>BUDGET INFORMATION</b>				
<b>Amounts concerned</b>	Budget line: 15 02 02 01.02 Total estimated cost: EUR 14 000 000 Total amount of EU contribution: <b>EUR 14 000 000 – year 2021</b>			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>Type of financing and method(s) of implementation</b>	Project modality <b>Direct management</b> through: - Grants - Procurement  The action will be co-delegated to the Directorate-General for European Civil Protection and Humanitarian Aid Operations (DG ECHO)			
<b>Relevant priorities and flagships from Economic and Investment Plan for the Western Balkans</b>	N/A			
<b>Final date for concluding contribution / delegation agreements, procurement and grant contracts</b>	At the latest by 31 December 2022			

**Indicative operational implementation period**

72 months following the adoption of the Financing Decision

## 1.2. Summary of the Action

The broad range of natural and man made disasters pose a high risk to the Western Balkans region and Turkey with impact across borders. In order to ensure a rapid, efficient and needs based response, it is crucial to enhance the cooperation amongst IPA III beneficiaries as well as with EU Member States and with other relevant civil protection stakeholders. The most recent emergencies experienced in the IPA III beneficiaries, including the COVID-19 pandemic and earthquakes in Albania (September and November 2019), have led to severe long-term economic and institutional effects and have further demonstrated the need to reinforce disaster risk management capacities.

The action will contribute to increase the resilience of IPA III beneficiaries to in particular earthquakes and health emergencies, including by supporting IPA III beneficiaries participation in/or cooperation with the Union Civil Protection Mechanism (UCPM) and other relevant programmes in the area of disaster risk reduction and management, reinforcing their alignment to EU standards and practices.

In particular the action will focus on three specific objectives:

1. Improved institutional and legal framework and capacities of the IPA III beneficiaries on disaster risk reduction related in particular to earthquakes and health emergencies
2. Increased preparedness and response of the IPA III beneficiaries at regional and local levels in relation to in particular earthquakes and health emergencies
3. Improved IPA III beneficiaries participation in and cooperation with the UCPM

In the long-term, the action will contribute to increased resilience of beneficiaries and communities.

As disasters have a cross-border impact, mutual assistance and international solidarity is vital. Civil protection is often seen as a potential door opener in external relations, because of its technical and non-controversial nature. It allows to build confidence between beneficiaries and actors, based on solidarity. This can only be achieved through a regional approach complementing local capacity building initiatives.

## 2. RATIONALE

### 2.1. Context analysis

The action is implemented under Window 3 – Green agenda and sustainable connectivity, Thematic Priority 1: Environment and climate change of the IPA III Programming Framework. It focuses on increasing the capacity for disaster risk reduction, disaster risk management and emergency response in IPA III beneficiaries including through enhanced participation in the UCPM.

Civil Protection and Disaster Risk Reduction are part of Chapter 27 of the EU *acquis* and the Association and Stabilisation Agreements contain dedicated chapters on civil protection, addressing alignment with EU standards. Recent emergencies including the COVID-19 pandemic have shown that IPA III beneficiaries' capacities to effectively manage disasters in line with the European perspective are still lagging behind. All IPA III beneficiaries recognise that disaster prevention, preparedness and response is a priority and that there is need to meet the necessary capacity level of the Member States in the UCPM. However, there is a lack of financial, human and/or technical resources. Moreover, the adaptation to climate change, although closely related, is still not implemented in synergy and full coordination with disaster risk management policies. The action will support disaster risk management measures to enhance prevention, preparedness and response to disaster risks, including those linked to climate change impacts. There is a clear need to reduce future impacts of disasters and support resilient communities.

A rapid, efficient and needs-based response to risks relies on enhanced cooperation in the region, with EU Member States and other relevant actors aligned and coherent with internationally recognised standards. Most of the IPA III beneficiaries have memoranda of cooperation or agreements on cooperation concerning disaster responses signed amongst each other and with other EU Member States. They are also members of different international organisations and initiatives dealing with disaster prevention, preparedness, response. However, this cooperation needs to be further enhanced and implemented also in practice.

The action is aligned with the Economic and Investment Plan (EIP)<sup>1</sup> for the Western Balkans, in particular the ambition to strengthen the preparedness and resilience of the region's public health systems, as well as the Green Agenda for the Western Balkans<sup>2</sup>. Enhanced participation in the UCPM is also in line with the 2020 Communication "Enhancing the accession process - A credible EU perspective for the Western Balkans"<sup>3</sup> which supports accelerated integration and "phasing-in" to EU programmes. In addition, in line with Article 28 of the enhanced UCPM legislation in force since March 2019, IPA III beneficiaries should be encouraged to reach the standards of the UCPM, as current or future Participating States.

## 2.2. Problem analysis by areas of support

Most of the IPA III beneficiaries have high-level risks identified to natural disasters and health emergencies. The action will work on two main disasters: earthquakes and health emergencies. It will take forward approaches which can also support the preparedness and response to other disasters and integrate climate change impacts.

### ***AREA OF SUPPORT 1: Preparedness and response to earthquakes and other natural disasters***

#### *Short problem analysis*

The Western Balkans and Turkey are characterised by a highly complex disaster profile, with a high exposure to natural and man-made disaster risks, such as floods, landslides, forest and ground fires, with a particular focus on earthquakes. There is a need to strengthen existing institutional, legislative and financial arrangements for comprehensive disaster risk management. It is necessary to strengthen prevention, preparedness and response at both domestic and local levels, as well as coordination when asking or receiving international assistance in case of earthquakes or any other disasters.

#### *Description of main stakeholders*

Direct beneficiaries are the domestic civil protection and other relevant authorities in disaster risk management including climate-related risk disasters (Ministries of environment, climate change, health etc). The final beneficiaries are the citizens. Domestic civil protection authorities are the counterparts of the UCPM and the European Commission Directorate-General for European Civil Protection and Humanitarian Aid Operations has a good long-standing cooperation with these authorities.

#### *Complementarity with strategies*

The programme supports Disaster Risk Reduction (DRR) and central strategies on civil protection including Sendai requirements. In addition, the programme is in line with the new EU Adaptation strategy setting out four objectives to make adaptation smarter, swifter and more systemic and to step up international action on adaptation to climate change, including combatting climate-related risks for health. A Climate and Health Observatory has been launched by the European Commission and the European Environment Agency. Four of the IPA III beneficiaries are already Participating States of the UCPM. The others will continue to work to progress towards membership in the UCPM, therefore the domestic legislation and strategies should correspond to the EU or UCPM standards. The EU added value in the preparedness and response to natural and man made disasters is in facilitating a coordinated approach, where regional cooperation complements existing strategies. To ensure adequate response to natural and man-made disaster risks in the Western Balkans, regional cooperation is essential as it provides the opportunity for tackling common problems and for sharing knowledge and good practice.

### ***AREA OF SUPPORT 2: Preparedness and response to health emergencies***

#### *Short problem analysis*

The current COVID-19 pandemic has shown the shortcoming of relevant legislation and procedures in place to respond to such a crisis. There is a need for strengthened cooperation and better cross-sectoral coordination between civil protection authorities and other services related to pandemic responses (e.g. health authorities, Ministry of Foreign Affairs, Ministry of Defence, etc.). The action will address support efforts to optimise the effectiveness of UCPM operations related to health emergencies while strengthening cooperation with other relevant stakeholders.

<sup>1</sup> COM(2020) 641, 6.10.2020.

<sup>2</sup> SWD(2020)223 final, 6.10.2020

<sup>3</sup> COM(2020) 57, 5.02.2020.

Sometimes civil protection authorities are not able/mandated to collect data, analyse and present the central needs/gaps due to a pandemic and thus, cannot inform accordingly the UCPM when requesting assistance. In most of the IPA III beneficiaries, the civil protection authorities have a limited role in managing cross-border health threats.

#### *Description of main stakeholders*

The main stakeholders are health, civil protection and other relevant authorities involved in addressing cross-regional health threats and emergencies (Ministry of Interior, Health and Ministry of Defence).

#### *Complementarity with strategies*

Addressing a pandemic like the COVID-19 is a challenge for the IPA III beneficiaries as well as for the EU Member States. The IPA III beneficiaries and the EU are in the process of developing relevant legislation, domestic health security strategies and respective action plans.

Overall, an important role in the programme can be played by the Disaster Prevention Preparedness Initiative for South Eastern Europe (DPPI SEE). Launched in November 2000 under the Stability Pact, DPPI has a key role in ensuring a cohesive regional development in the area of disaster preparedness and response and, given its mandate and role, has been a key supporting partner in the implementation of previous IPA regional programmes.

### 2.3. Relevance and complementarity with strategies supported by key stakeholders

Increased resilience to earthquakes and health emergencies by the IPA III beneficiaries and reinforcement in their participation in or cooperation with the UCPM is critical in order to tackle emergencies effectively as well as meet the requirements of closer EU integration. The following key legislative gaps will be addressed:

- Alignment of the legislation on civil protection with the UCPM and its implementation will be addressed;
- The domestic strategies on Civil Protection and Disaster Risk Reduction (DRR) will be addressed, as they are in many cases only available as draft documents, and are either not adopted by the governments or adopted but not in line with EU or UCPM standards; or not implemented;
- The existing institutional, legislative and financial arrangements for comprehensive disaster risk management including all-hazard approach will be addressed and strengthened;
- The DRR strategy will have to be integrated into all policies with attention being paid to environmental, land-use, climate change and health related aspects;
- There is a need to address continued progress in participating in the UCPM.

The following key operational gaps will be addressed:

- Support to the domestic civil protection authorities to increase their administrative capacities;
- Support to address the DRR measures and improve coordination systems in the response to disasters at all levels;
- Support to the appropriate emergency operating rooms to complement those managed by State Police and medical services or any other state institutions;
- Capacity of training centres for some of the DRR stakeholders from front line responders through to emergency management will be strengthened;
- The provision of training centres, including appropriate equipment and respective training will improve preparedness and response at domestic levels; comprehensive training programmes on emergency management are required;
- The existing search and rescue and medical rescue services teams will require a standardised central training programme, some equipment and/or upgrades in their equipment in order to enable them to carry out daily operations and to be better prepared to respond to larger scale emergencies;
- The civil emergency response plans will be developed or upgraded at domestic and municipal levels.

Although monitoring and reporting systems as well as coordination systems are in place and regulated by legislation, they are often too weak to meet and implement the necessary requirements. This leads to poor response during natural or health-related disasters.

Domestic civil protection authorities and relevant ministries for disaster risk management and health cross-border threats will be directly involved in the implementation of the action through inter-institutional working groups. Some

of these working groups were established during the regional IPA Floods and Forest Fires programme (and some in previous programmes). Civil Society Organisations (local and international NGOs, volunteer groups, community-based organisations, etc.), international and donor organisations (UN specialised agencies, the World Bank, NATO, etc.), as well as key local and domestic actors (such as municipal authorities, relevant Ministries and training institutions) will be indirectly involved. The local population is the final beneficiary of the programme and the importance of community awareness and involvement in preparation and mitigation activities is very important.

#### 2.4. Relevance and complementarity with EU policy and EU and other donors' assistance

Civil protection and disaster risk reduction are part of Chapter 27 of the *acquis* on environment and climate change.

The action will directly contribute to increasing resilience to climate change. The action is complementary with the UCPM requirements and supports the IPA III beneficiaries in coming closer and joining the UCPM and accomplishing the EU standards for prevention, preparedness and response to disasters.

The action is in line with the EU Green Deal<sup>4</sup> and contributes to the implementation of the Green Agenda for the Western Balkans, whereby it sets out relevant actions and recommendations, including alignment with the EU standards and the *acquis* in tackling climate changes in the region.

The programme will also deliver on the Sendai framework for Disaster Risk Reduction and the Sustainable Development Goals.

#### 2.5. Lessons learned and links with previous financial assistance

The action builds upon a number of previous IPA regional projects on prevention, preparedness and response to natural disasters (floods, forest fires) and tackling the challenges of earthquakes, health emergencies (COVID-19 pandemic).

The previous floods related actions have achieved enhanced legal and institutional frameworks to improve disaster risk informed decision-making, and supported institutional coordination among all actors: this will be the basis for this specific action including serving the needs for regional and cross border cooperation.

The recently developed post-disaster needs assessments and resilient recovery frameworks in floods - under the current Disaster risk management action by the World Bank - have identified needs and gaps that persist in tackling other natural hazard disasters and some of these will be tackled under this action. The two sectors tackled by the action will also be informed by previous action results i.e. the improved disaster risk informed decision-making at domestic and local level, the strengthened capacity for the prioritisation and the preparation of risk-informed investments, and the capacity to conduct post-disaster needs assessments and formulate resilient recovery frameworks.

In terms of dealing with the response to the COVID-19 pandemic there are currently two relevant IPA-funded regional actions.

- 1) *Strengthening health systems resilience in the Western Balkans* implemented by the World Health Organisation. This primary assists with urgent needs of IPA II beneficiaries to develop central plans, assessment tools and training in the area of public health, primary health care, and hospitals. This will identify key stakeholders in the health sector. The action also provides a regional platform for the Western Balkans to improve the readiness of their hospital and health care facilities against health emergencies. The action will not enhance the capacity of domestic and local civil protection authorities, thus ensuring complementarity with the proposed action
- 2) *The Western Balkans and Turkey: One-Health against AMR and enhanced SARI surveillance, 2020 – 2024* implemented by the European Centre for Disease Prevention and Control (ECDC). It focuses on communicable diseases and threats of unknown origin and improves knowledge of the EU *acquis* in the field of communicable diseases prevention and control and its implementation. Assessing beneficiary capacities in disease prevention and control and preparing technical assessment reports and conclusions on assessment recommendation for improvement of surveillance systems is not within the scope of the action.

<sup>4</sup> COM(2019) 640 final

The action will ensure appropriate coordination with all relevant programmes including at bilateral level and maximise synergies when relevant.

### 3. DESCRIPTION OF THE ACTION

#### 3.1. Planned results and intervention logic (describing causal links between impact, outcome(s) and output(s) and including assumptions)

*IF the following outputs are produced:*

- Improved domestic legal and institutional framework;
- Improved practices in the area of civil protection aligned to UCPM;
- Strengthened inter-institutional coordination (ministries and agencies);
- The network of civil protection volunteers strengthened;
- Improved quality assurance of building design and construction;
- Developed/upgraded and equipped emergency medical teams (EMT);
- Enhanced emergency response units/modules/teams for response to earthquakes to reach Medium Search and Rescue capability (MUSAR);
- More developed risk management and risk assessment capabilities related to earthquakes and health emergencies, including cross-border aspects, climate change impacts and economic damages;
- Enhanced institutional and operational co-ordination between the UCPM and the IPA III beneficiaries and among IPA III beneficiaries;
- Improved requesting, receiving, and offering of international assistance through UCPM; and
- Enhanced cross-border and regional cooperation among the IPA III beneficiaries and the UCPM.

*AND the following assumptions hold true:*

IPA III beneficiaries demonstrate:

- Willingness to engage and improve legal and institutional framework and practices and to ensure inter-institutional coordination;
- Willingness to engage and develop their volunteering networks;
- Accountability of local and regional authorities towards domestic authorities;
- Allocate sufficient funding resources for civil protection at domestic and local level; and
- Evidence on communication (ERCC) co-ordination among the partner beneficiaries and the UCPM Participating States in real life emergency situations

*it is expected they will lead to:*

- Improved institutional and legal framework and capacities of the IPA III beneficiaries on disaster risk reduction related to in particular earthquakes and health emergencies (outcome 1);
- Increased preparedness and response of the IPA III beneficiaries at regional and local levels in relation to in particular earthquakes and health emergencies (outcome 2); and
- Improved IPA III beneficiaries participation in and cooperation with the UCPM (outcome 3)

Together, the three action outcomes will contribute to increased resilience in the IPA III beneficiaries to in particular earthquakes and health emergencies (impact), provided that the following assumptions hold true: IPA III beneficiaries demonstrate:

- Political willingness to engage in the sector;
- Ensure sector priority in strategies and evidence based policies;
- Willingness to participate and/or join UCPM;
- Sustained commitment from IPA III beneficiaries;
- Ensure available necessary human, financial and material resources; and
- Commitment to regional cooperation in disaster preparedness and response.

Overall, the action takes a comprehensive capacity-building approach, supporting the **institutional and legal frameworks and capacities**, as well as the **concrete preparedness and response** of IPA III beneficiaries in tackling

in particular earthquakes and health emergencies. Support will be provided in such a manner as to promote disaster risk management measures that enhance preparedness and response to other disaster risks as well, including those linked to climate change impacts. The action will in all its activities aim to minimise environmental impacts of disaster risk management activities and identify possible measures and commitments to avoid and manage impacts to an environmentally acceptable level. Closer participation and cooperation with the UCMP is seen as a vehicle to strengthen disaster risk reduction capacities while supporting the European perspective of the IPA III beneficiaries and promoting international solidarity.

### 3.2. Indicative type of activities

#### **Main indicative activities:**

##### ***Related to Outcome 1:***

- Technical assistance including for developing all-hazards disaster recovery framework to better manage pre- and post-disaster planning and operations.
- Support to drafting roadmaps for adoption of building codes according to Eurocodes and for preparation of new seismic hazard maps.
- Support to enhance quality assurance of building design and construction and for drafting technical guidelines (retrofitting existing damaged building etc.).
- Support to incorporating and strengthening of existing volunteer-based organisations within the domestic and local civil protection system. Support IPA III beneficiaries in integrating them within legal framework of the beneficiary.
- Support evaluation and improvement of legislation in disaster risk management.
- Support to carrying out a systematic review of legislation, mission and budget of the stakeholders forming the DRM.

##### ***Related to Outcome 2:***

- Technical assistance missions on the basis of specific demands by the authorities in the IPA III beneficiaries and/or on the basis of needs assessment by the programme.
- Workshops and training courses for target groups outside of the Civil Protection authorities: Training courses should be complementary to the courses offered through the UCPM.
- Develop/upgrade, equip and train emergency response modules/teams for response to earthquakes, Medium Search and Rescue module (MUSAR) and Emergency Medical Teams (EMT).
- Upgrade of existing or development of the EMT and MUSAR when complementary with the other eligible activities and to serve the purpose of the action and for the benefit of the IPA III beneficiaries.
- Develop EMT and MUSAR Standard Operating Procedures.
- Design, implement and evaluate pilot training courses, technical advice coaching and mentorship programme (including scenario based discussion or table-top exercises) for the pool of disaster management / health staff as part of the EMT.
- Organise table-top and field exercises for EMT and MUSAR teams.
- Support to set up team-training curriculum. Both middle management and operational staff should be target of the action. Topics can include e.g. the European Union Civil Protection Mechanism, the UN response related standards, Host Nation Support, inter-institutional coordination, preparedness to health emergencies, pandemic preparedness, epidemic control, response to mass casualties' events. Train-the-trainer approach is recommended.
- Develop a cadre of operationally ready coordination cell personnel in the Western Balkans region and Turkey.
- Streamline coordination mechanisms linking domestic to international medical team responders.
- Capacity building activities, workshops, trainings, exercises and exchange programme.
- Exercises: At least one joint table-top and joint Full-scale Exercise(s) per each component involving the IPA III beneficiaries and at least one Member State.

- Study visits to other partners or UCPM Member and Participating States.
- Support development of strong local first response networks.

**Related to Outcome 3:**

- Workshops and conferences: Organise conference promoting regional and international cooperation, involving to the extent possible UCPM Member and Participating States.
- Support to institutional coordination.
- Developing procedures for requesting, receiving and offering international assistance through UCPM.
- Guidelines for situation updates and host nation support.
- Awareness campaign for stakeholders on UCPM tools and opportunities for collaborations.
- Exchange of experts among the beneficiaries or the Member States and Participating States.
- Support domestic public awareness/education campaigns.
- Provide access to an online knowledge base and e-learning.
- Design, implement and evaluate capacity building actions for enhancing inter-agency coordination and cross – border cooperation in case of health-related and earthquake emergencies (including scenario-based discussion or table-top exercises and operational recommendations).

**3.3. Risks and assumptions**

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
The negative impacts of the political situation in the region; Fatigue of EU enlargement process and UCPM requirements	<b>L /M</b>	Continue to consider the cooperation in civil protection sector as a technical, non-political aspect but rather aiming at preventing social and economic negative impacts. Encourage the domestic authorities to strengthen and adapt to the EU standards and practices towards the EU membership and integration; including their participation and membership to UCPM.
Inadequate coordination and lack of institutional capacity at domestic and local level	<b>M</b>	Engage all the stakeholders to committee to the cation as a precondition. Potentially, consider IPA beneficiary-specific technical assistance, trainings. Offer support by the civil protection peers; within or outside the UCPM.
Lack of financial and human resources commitment	<b>M</b>	Encourage domestic authorities to reserve and engage civil servants in the action activities; ensure illustration of the long-term benefits of the action
Potential overlaps with other donor initiatives	<b>M</b>	Ensure, active coopertion and complementarity with other recent and current donor actions.

**Assumptions (to be reflected in the Logical Framework Matrix above) – grouped by outputs and outcomes**

**It is assumed that the IPA III beneficiaries demonstrate:**

**Outcome 1:**

- Political willingness to engage in the sector;
- Ensure sector priority in strategies and evidence based policies;
- Willingness to participate and/or join UCPM.

**Outputs related to Outcome 1:**

- Willingness to engage and improve legal and institutional frameworks and practices and to ensure inter-institutional coordination;
- Willingness to engage and develop their volunteering networks.

**Outcome 2:**

- Sustained commitment from IPA III beneficiaries;
- Ensure available necessary human, financial and material resources;
- Commitment to regional cooperation in disaster preparedness and response.

**Outputs related to Outcome 2:**

- Accountability of local and regional authorities towards domestic authorities;
- Allocate sufficient funding resources for civil protection at domestic and local level.

**Outputs related to Outcome 3**

- Evidence on communication (ERCC) co-ordination among the partner beneficiaries and the UCPM Participating States in real life emergency situation.

### 3.4. Mainstreaming

**How does this Action contribute to Gender Equality and Women's and Girls' Empowerment (in line with the EU gender equality strategy 2020-2025)?** Women, in particular in civil society, have a key role to play in the disaster prevention and response. Efforts will be made to promote strong participation of women in the action. The Sendai Framework for Disaster Risk Reduction emphasises the role of vulnerable groups, including women and advocates for resilient communities and an inclusive and all-of-society approach to disaster risk management. To this effect, awareness and understanding of the different needs for gender equality and women's and girls' empowerment in society will be taken into account.

**How does this Action address Environment and Climate change?** Increasing resilience to disaster risks, in particular earthquakes also supports policies on natural resource management, land management, agriculture and rural development by protecting the environment and the people who inhabit it. The impact of natural and man-made disasters on the natural environment is evident. Therefore, environmental sustainability is considered to be a main objective rather than a cross-cutting issue. Climate change adaptation to the health sector will be targeted by the action through the implementation of concrete adaptation measures at the cross-border level strengthening the climate adaptive capacity and preparedness of the health system. The Sendai framework also stresses the importance of mainstreaming Disaster Risk Reduction into all policies and sectors as well as the preservation of ecosystem functions that help to reduce risks and integrated environmental and natural resource management approaches that incorporate disaster risk reduction.

**How does this Action address the Rights Based Approach?** The action will provide strategic focus around equal access to the services and supplies supported or delivered by developed interventions. The action will ensure integration of human rights principles, which will build resilient, inclusive and democratic societies.

**How does this Action promote the systematic engagement with Civil Society?** Some NGOs and civil society are engaged in promoting public awareness to risks and preparing communities and volunteers for disaster response actions. Their capacities (as the ones of Red Cross) should be directly involved in the implementation of the action.

The NGOs and civil society should also promote and further distribute the results of this action at local level.

**Others (such as Resilience and Conflict Sensitivity, Roma, people with disabilities and other vulnerable groups)** The Sendai Framework for Disaster Risk Reduction emphasizes also the role of vulnerable groups (including children, youth, older persons or persons with disabilities) and advocates for resilient communities and an inclusive all-of-society approach to disaster risk management. The awareness and understanding of the different needs of various groups within the society as well as the cultural specificities will be taken into account. Civil society organisations and local grassroots organisations and movements work in the field of disaster prevention and response. They focus on ensuring that emergency responses take into consideration special needs in the vulnerable situation of a disaster, for disadvantaged groups; widows, adolescent girls, children, disabled, elderly, destitute, or vulnerable because of their work/geographical location, etc.

The EU and the European Parliament have recognised environmental injustice towards vulnerable communities, **in particular Roma**, who are often relegated to living on the outskirts of society in environmentally unsafe environments<sup>5</sup>. The EU Roma strategic framework for equality, inclusion and participation sets out guidance to better

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<sup>5</sup> A Union of Equality: EU Roma strategic framework for equality, inclusion and participation COM(2020) 620 final.

**meet emerging challenges**, such as tackling the disproportionate impact on Roma of crises such as the COVID-19 pandemic, ensuring digital inclusion and delivering environmental justice.

Poverty stricken ethnic and/or vulnerable groups often live in areas particularly suffering from the effects of environmental change and/or disasters, but they are rarely considered in strategies, action plans, investment projects etc.

### 3.5. Conditions for implementation

No conditions apply to this action.

However, effective capacity strengthening requires high-level support and ownership by the beneficiaries and a concrete commitment to have in place functioning, recognised civil protection authorities and procedures for civil protection engagement at local and/or regional levels. This commitment also includes nominating and ensuring sufficient human resources in terms of civil servants and experts to be engaged in the action, putting in place the necessary infrastructure for trainings and ensuring maintenance of equipment. The Commission reserves the right to take appropriate measures, including by re-directing activities in consultation with implementing partners, if it assesses that such necessary accompanying measures by beneficiaries are not in place. The assessment of the Commission will rely on reporting by implementing partners, monitoring of the action and dialogue with beneficiaries.

3.6. Logical Framework for PROJECT MODALITY (3 levels of results / indicators / Baselines / Targets / Source of Data / Assumptions - no activities)

Results	Results chain: Main expected results (maximum 10)	Indicators (at least one indicator per expected result)	Baselines 2021	Targets 2025	Sources of data (1 per indicator)	Assumptions
<b>Impact</b>	To contribute to increased resilience in IPA III beneficiaries to in particular earthquakes and health emergencies	Level of improvement of structures and procedures in place in IPA III beneficiaries for disaster risk management and cooperation	Low level of Structures and procedures in all IPA III beneficiaries in place	Improved level of structures and procedures in all IPA III beneficiaries in place	Self-assessment by IPA III beneficiaries and European Commission  Reports and Peer-reviews  Pre-accession Sub-committees	<i>Not applicable</i>
<b>Outcome 1</b>	Improved institutional and legal framework and capacities of the IPA III beneficiaries on disaster risk reduction related to in particular earthquakes and health emergencies	a)Extent to which laws, secondary legislation, strategies and procedures of IPA III beneficiaries are approximated with EU requirements  b) Level of institutional capacities in two specific areas of disasters (earthquakes and health emergencies)	a)The institutional and legal framework of IPA III beneficiaries in the field of civil protection, in particular earthquakes and health emergencies is approximated to EU requirements in a limited manner  b) Low level of institutional capacities in the areas the area of earthquakes and health emergencies	a)The institutional and legal framework of IPA III beneficiaries in the field of civil protection, in particular earthquakes and health emergencies is increasingly approximated to EU requirements and UCPM standards  b) Higher level of institutional capacities in the areas the area of earthquakes and health emergencies	Self-assessment by IPA III beneficiaries and European Commission  Project reports	Political willingness to engage in the sector  Ensure sector priority in strategies and evidence based policies  Willingness to participate and/or join UCPM

<p><b>Outcome 2</b></p>	<p>Increased preparedness and response of the IPA III beneficiaries at regional and local levels in relation to in particular earthquakes and health emergencies</p>	<p>a)Number of response capacities in IPA III beneficiaries, which are developed/upgraded according to internationally recognised standards (e.g. Emergency Medical Teams (EMT), Medium Search and Rescue modules (MUSAR))</p> <p>b)Extent to which Host Nation Support (HNS) procedures are improved/developed</p> <p>c) Existence of updated cross border emergency response plans in line with the EU and international standards</p>	<p>a)Baseline to be set at the inception of the programme</p> <p>b)Weak or medium Host Nation Support (HNS) procedures</p> <p>c) No updated cross border emergency reponse plans in line with EU and international standards</p>	<p>a)Targets to be developed at the inception of the programme</p> <p>b)Updated/developed Host Nation Support procedures</p> <p>c) Cross border emergency reponse plans in line with EU and international standards exist</p>	<p>Self-assessment by IPA III beneficiaries and European Commission</p> <p>Project reports</p>	<p>Sustained commitment from IPA III beneficiaries</p> <p>Ensure available necessary human, financial and material resources</p> <p>Commitment to regional cooperation in disaster preparedness and response</p>
<p><b>Outcome 3</b></p>	<p>Improved IPA III beneficiaries participation in and cooperation with the UCPM</p>	<p>a)Number of times assistance provided among IPA III beneficiaries or with other beneficiaries in actual emergencies (per year) channelled through UCPM (this depends whether disasters happen or not)</p> <p>b)Number of registrations of response teams, technical equipment and other resources from IPA III beneficiaries in the Common Emergency Communication and Information System (CECIS) and into the European Civil Protection Pool (ECPP) (for Participating States)</p> <p>c)For non Participating States of</p>	<p>a)Baseline to be set at the inception of the programme</p> <p>b) Baseline to be set at the inception of the programme</p> <p>c) Baseline to be set at the inception of the programme</p>	<p>a)Increased number of times assistance is provided through UCPM</p> <p>b)Increased number of registered capacities in CECIS and the European Civil Protection Pool (ECPP)</p> <p>c) Target to be set at the inception of the programme</p>	<p>Project reports</p> <p>UCPM reports</p> <p>ERCC beneficiary statistics</p>	

		the UCPM, participation in projects, exercises, trainings, and other tools available under the UCPM				
<b>Outputs related to outcome 1</b>	<p>a)Improved domestic legal and institutional framework</p> <p>b) Improved practices in the area of civil protection aligned to UCPM</p> <p>c)Strengthened inter-institutional coordination (ministries and agencies)</p> <p>d)The network of civil protection volunteers strengthened</p> <p>e)Improved quality assurance of building design and construction</p>	<p>a)Existence of improved legal and institutional framework</p> <p>b1)Number of risk assessments and risk managements capabilities in place/submitted.</p> <p>b2)Number of road maps, guidelines, and procedures developed/improved and in use.</p> <p>c1) Extent to which beneficiary specific recommendations for inter-institutional coordination mechanisms are further developed</p> <p>c2) Number of inter-institutional and multi-stakeholder working groups developed/re-formatted/reactivate per IPA beneficiary.</p> <p>d) A functioning system of training and supporting volunteers, incl. database set up</p> <p>e) Number of legislation and guidelines incorporating quality assurance of building and design construction and technical guidelines per beneficiary.</p>	<p>a)No</p> <p>b1,2) Baseline to be set at the inception of the programme</p> <p>c1)Low extent</p> <p>c2) Baseline to be set at the inception of the programme</p> <p>d) No system set up</p> <p>e) Baseline to be set at the inception of the programme</p>	<p>a)Yes</p> <p>b1,2)Target to be set at the inception of the programme</p> <p>c1)Increased extent</p> <p>c2)Target to be set at the inception of the programme</p> <p>d) Progress in setting up system</p> <p>e)Target to be set at the inception of the programme</p>	<p>Official gazette of IPA III beneficiaries</p> <p>Project reports</p> <p>Reports from governments and local administrations</p>	<p>Willingness to engage and improve legal and institutional framework and practices and to ensure inter-institutional coordination; willingness to engage and develop their volunteering networks</p>

<p><b>Outputs related to outcome 2</b></p>	<p>a) Developed/upgraded and equipped emergency medical teams (EMT)</p> <p>b) Enhanced emergency response units/modules/teams for response to earthquakes to reach Medium Search and Rescue capability (MUSAR)</p> <p>c) More developed risk management and risk assessment capabilities related to earthquakes and health emergencies, including cross-border aspects, climate change impacts and economic damages</p>	<p>a, b) Number of enhanced EMT and MUSAR teams depending on the needs of the beneficiary(ies) identified at the inception phase</p> <p>a, b, c) Extent to which relevant staff have benefitted from trainings/exchanges/ technical assistance</p> <p>a, b) Number of joint full scale and table top exercises</p>	<p>a, b) Baseline to be set at inception phase of programme</p> <p>a, b, c) low extent</p> <p>a, b) 0</p>	<p>a, b) Target to be set at inception phase of programme</p> <p>a, b, c) Improved extent</p> <p>a, b) At least one joint table top and at least one joint field exercise for each component</p>	<p>Official documents from the governments or domestic civil protection authorities</p> <p>DG ECHO, ERCC reports</p> <p>Project reports</p>	<p>Accountability of local and regional authorities towards domestic authorities.</p> <p>Allocate sufficient funding resources for civil protection at domestic and local level</p>
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<p><b>Outputs related to outcome 3</b></p>	<p>a)Enhanced institutional and operational co-ordination between the UCPM and the IPA III beneficiaries and among IPA III beneficiaries</p> <p>b)Improved requesting, receiving, and offering of international assistance through UCPM</p> <p>c)Enhanced cross-border and regional cooperation among the IPA III beneficiaries and the UCPM</p>	<p>a,b,c)Number of times assistance is provided among IPA III beneficiaries or with other beneficiaries in actual emergencies channelled through UCPM</p> <p>a,b,c)Number of updated/developed procedures/ protocols and guidelines in place for requesting and offering assistance incl. Host nation support (HNS)</p>	<p>Baseline to be set at the inception of the programme</p>	<p>Target to be set at the inception of the programme</p>	<p>DG ECHO,ERCC reports</p> <p>Reports from civil protection authorities of IPA III beneficiaries</p> <p>Project reports</p> <p>Lessons learned from practical exercises and actual disasters</p>	<p>Evidence on communication (ERCC) co-ordination among the partner beneficiaries and the UCPM Participating States in real life emergency situations</p>
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## 4. IMPLEMENTATION ARRANGEMENTS

### 4.1. Financing agreement

In order to implement this action, it is not foreseen to conclude financing agreements with the IPA III beneficiaries.

### 4.2. Implementation modalities

#### 4.2.1. Direct Management (Grants)

##### **Grants: (direct management) Call for Proposals**

###### **(a) Purpose of the grant**

The action will be implemented through one grant. It will contribute to achieve all 3 outcomes of the action, namely:

- Improved institutional and legal framework and capacities of the IPA III beneficiaries on disaster risk reduction related to in particular earthquakes and health emergencies (outcome 1);
- Increased preparedness and response of the IPA III beneficiaries at regional and local levels in relation to in particular earthquakes and health emergencies (outcome 2); and,
- Improved IPA III beneficiaries participation in and cooperation with the UCPM (outcome 3).

###### **(b) Type of applicants targeted**

The call will target EU Member States agencies and/or EU Member States civil protection authorities. In case the call targets EU Member States agencies, the applicant(s) will be requested to team up with EU civil protection authorities and to include as a minimum requirement an expression of support from an EU Member State civil protection authority.

If negotiations with the above-mentioned entity(-ies) fail, that part of this action may be implemented in indirect management in accordance with the implementation modalities identified in section 4.2.3.

#### 4.2.2. Direct Management (Procurement)

A contract will be procured to support implementation of the action and ensure on-site expertise in the region. While the contract will support work across the three outcomes of the action, it will in particular contribute to outcome 3: Improved IPA III beneficiaries participation in and cooperation with the UCPM.

#### 4.2.3. Changes from direct to indirect management mode due to exceptional circumstances (fall back option)

This action may be implemented in indirect management with entity/ies which will be selected by the Commission's services using the following criteria:

- EU Member State agency or a consortium thereof. An international organisation could be selected in case a EU Member State agency or consortium thereof cannot be identified;
- Demonstrated technical experience in all areas covered by the action;
- Demonstrated successful administrative ability to manage and facilitate the implementation of international and European programmes;
- Demonstrated ability to work in close coordination with EU Delegations/Office and Member States/ Participating States embassies in the IPA III beneficiaries;
- Experience in the multilingual coordination of regional programmes and networks funded by the EU;
- Experience in managing and organising face to face and online meetings at short notice (invitations visas/ travels/ logistics);
- Demonstrated ability to prepare written contributions, invitation letters, and reporting in several languages;
- Ability to build a representative consortium of stakeholders/authorities involving civil protection/disaster risk management/health actors from EU Member States and IPA III beneficiaries;
- Understanding of the EU geopolitical priorities and the regional policy framework in the Western Balkans and Turkey.

The implementation by this entity entails undertaking all necessary action, including through direct implementation of activities and conducting budget implementation tasks, to achieve the expected outcomes 1, 2 and 3 and related outputs of the action.

### 4.3. Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply, subject to the following provisions:

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

### 4.4. Indicative budget

All outcomes	<b>EU contribution (amount in EUR) 2021</b>	<b>Indicative third party contribution, in currency identified</b>
<b>Direct management</b> (Grants) – total envelope under section <i>cf section 4.2.1</i>	12 800 000	N/A
<b>Procurement</b> – total envelope under section 4.2.2	1 200 000	N/A
<b>Total</b>	<b>14 000 000</b>	<b>N/A</b>

### 4.5 Organisational set-up and responsibilities

An appropriate inter-service consultation mechanism will be created to ensure the coherence of the different components and synergies with similar projects.

A Steering Committee will be established for the project implementation within the this action.

Any other stakeholders may be act as observers and will be invited to attend the various Steering Committees depending on the nature of the meetings.

## 5. PERFORMANCE/RESULTS MONITORING AND REPORTING

### 5.1. Internal monitoring

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. In addition, the action might be subject to external monitoring in line with the European Commission rules and procedures.

### 5.2. Roles & responsibilities for data collection, analysis & reporting

The implementing partner/s will continuously capture, record and track key statistical information on the implementation of activities. Particular emphasis will be placed on systematic collection of data required to track progress on indicators identified in the logical framework. The monitoring methods and sources will include the following: action records showing details about events held and actions taken; website and social media analysis showing viewership, reach, and engagement of target audiences; visibility and impact of social media campaigns; number of mainstream media stories published using material provided through the action; and feedback from participants through questionnaires designed for the action.

### 5.3. Evaluation

Having regard to the importance of the action, a final evaluation will be carried out for this action or its components via independent consultants via an implementing partner.

The Commission shall inform the implementing partner at least 4 months in advance of the dates foreseen for the

evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner beneficiary and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner beneficiary, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the action.

## 6. AUDIT

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

It is foreseen that audit services may be contracted.

The financing of the audit shall be covered by another measure constituting a financing Decision.

## 7. COMMUNICATION AND VISIBILITY

Visibility of EU funding and communication about objectives and impact of Actions are a legal obligation for all Actions funded by the EU, as set out in the EU communication and visibility requirements in force.

In particular, the recipients of EU funding shall acknowledge the origin of the EU funding and ensure its proper visibility by:

- providing a statement highlighting the support received from the EU in a visible manner on all documents and communication material relating to the implementation of the funds, including on an official website and social media accounts, where these exist; and
- promoting the actions and their results by providing coherent, effective and proportionate targeted information to multiple audiences, including the media.

Visibility and communication measures shall be implemented, as relevant, by the public administrations (for instance, concerning the reforms linked to EU budget support), entrusted entities, contractors and grant beneficiaries. Appropriate contractual obligations shall be included, respectively, in financing agreements, delegation agreements, and procurement and grant contracts.

The measures shall be based on a specific Communication and Visibility Plan, established and implemented in line with the EU communication and visibility requirements in force. The plan shall include, inter alia, a communication narrative and master messages for the Action, customised for the various target audiences (stakeholders, civil society, general public, etc.)

Visibility and communication measures specific to this Action shall be complementary to the broader communication activities implemented directly by the European Commission services and/or the EU Delegations and Office. The European Commission and the EU Delegations and Office should be fully informed of the planning and implementation of the specific visibility and communication activities, notably with respect to the communication narrative and master messages. It is the responsibility of the implementing partner(s) to keep the EU Delegations/Office and the European Commission fully informed of the planning and implementation of the specific visibility and communication activities.

Communication on this Action should also take into consideration the risks from misinformation and disinformation, and the ways of countering these in order to avoid undermining the Union's efforts and image in the Western Balkans and Turkey.

## 8. SUSTAINABILITY

The outstanding IPA beneficiaries can become Participating States of the UCPM which is a driving force for them to comply with the requirements of the UCPM legislation. This will ensure ownership by the IPA III beneficiaries even after the completion of the action. Serbia, Montenegro, North Macedonia and Turkey are already Participating States of the UCPM, nevertheless there is a need for further improvement in their civil protection systems in order to reach standards of the EU Member States.

Level of ownership is strong as there is a legal requirement under UCPM for the Participating States to provide the European Commission with the report including elements of risk assessment, risk capability assessment and prevention and preparedness measures for certain types of risk every three years. For the IPA III beneficiaries that are not yet Participating States (Albania, Bosnia and Herzegovina, Kosovo), all except Kosovo expressed a wish to join the Mechanism therefore they are very motivated to have the legislation in place and are able to interact with the UCPM in an efficient way.

Much has been done already with the two previous IPA regional assistance, IPA Floods and IPA DRAM, IPA Forest Fires where inter-institutional working groups and arrangements/procedures for inter-institutional cooperation were put in place. This will lead to further efforts to sustain the follow-up of the action.