

ANNEX 2

of the Commission implementing Decision on the 2014 special measure for the Syrian population

Action Document for "Urban information and analysis to help plan and target humanitarian and recovery interventions in Syria"

1. IDENTIFICATION

Title/Number	Urban information and analysis to help plan and target humanitarian and recovery interventions in Syria CRIS number: ENI/2014/037-727		
Total cost	Total estimated cost: EUR 4,583,746 Total amount of EU budget contribution: EUR 2,200,000. This action is co-financed in joint co-financing by: <ul style="list-style-type: none"> • Swiss Agency for Development and Cooperation (SDC) for an amount of EUR 1,972,331. • United Nations - Office for the Coordination of Humanitarian Affairs (UN-OCHA) for an amount of EUR 411,415. 		
Aid method / Management mode and type of financing	Project Approach Indirect management with United Nations Human Settlements Programme (UN-Habitat) Direct management through an administrative arrangement with Joint Research Centre (JRC)		
DAC-code	998 – Not specified	Sector	99810 – Not specified sector

2. RATIONALE AND CONTEXT

2.1. Summary of the action and its objectives

The project will contribute to improving the humanitarian and recovery responses to the Syria crisis through better urban information and analysis. This is to be done through:

- (a) Improving beneficiary identification and needs assessment through city and neighbourhood profiles.
- (b) Better linking humanitarian and recovery interventions.
- (c) Improving monitoring of conditions in cities through satellite-based and field verification.

- (d) Improving coordination between support to households of internally displaced persons and support to host communities.
- (e) Linking satellite-based analysis with field verification.

2.2. Context

2.2.1. Country context

2.2.1.1. Economic and social situation and poverty analysis

Syria is now in its fourth year of crisis and war. The gross domestic product (GDP) has contracted considerably with estimates ranging from 40% to 60%, as of early 2014. The country's economic infrastructure and capital stock have been damaged to a similar – or even larger – extent with profound urban impact: damage, destruction and displacement are concentrated in urban centres and cities. Hundreds of thousands of public facilities, homes and buildings have been damaged or destroyed. Population displacement is also massive. 6.5 to 7.6 million Syrians are internally displaced, with more than 85% living in host communities, mainly in urban areas. The UN estimates that approximately 10.8 million people are in need inside Syria. A further 3 million Syrians have sought refuge in neighbouring countries. These numbers mask a far more complicated urban reality. Patterns of destruction and displacement vary greatly, both within and between cities.

2.2.1.2. National development policy

Until 2011 Syria's national development objectives had been laid out in a series of ten 5 year plans. The 11th plan for 2011-2015 was drafted but not adopted. Due to the violence and unacceptable human rights situation, the EU Council suspended EU bilateral cooperation with the Government of Syria in May 2011. Since then, EU's economic and development assistance to cope with the Syrian crisis under the European Neighbourhood and Partnership Instrument (ENPI) and its successor the European Neighbourhood Instrument (ENI) has been used inside Syria to address the medium to longer term needs of the affected population in complementarity to humanitarian assistance. The main priorities with regard to both humanitarian and early recovery actions are outlined in the Syria Humanitarian Assistance Response Plan (SHARP) January to December 2014 prepared in coordination between the United Nations System, the Government of Syria, and humanitarian actors in Syria. This project supports a number of the activities foreseen under strategic objective n°4 of SHARP on strengthening the assessment, planning, implementation and monitoring capacities of international, national and local partners for a coherent and coordinated early recovery and livelihoods response.

2.2.2. Sector context: policies and challenges

Urban information and analysis lie at the core of understanding how communities are coping with Syria's prolonged crisis and how urban infrastructure, services and markets are functioning. The support to sharing, collecting, managing, analysing and using existing or emerging information is crucial for local decision-making but also to improve:

- Humanitarian response and by better targeting vulnerable populations, identifying “hot spots” where urban systems are under extreme stress and

"black spots" where shelter, water, education or health or other support is required, but has not been delivered.

- Recovery activities by providing accurate information to identify priority needs.

The project with the expected contribution of World Bank (WB) SIRI platform experts is a cornerstone in the concrete implementation for Syria of the 2009 memorandum of understanding between the WB, the EU and the United Nations (UN) on joint Post Conflict Needs Assessments (PCNA). Such joint PCNAs have for example been conducted in Haiti (2004), Georgia (2008), or Pakistan (2010).

2.3. Lessons learnt

This project intends to build on:

- The Study "Preliminary Assessment of Damage to Physical Structure in Syria" which was successfully carried out by the European Commission Joint Research Center (JRC) in 13 Syrian cities and towns during 2013-14 within the framework of the administrative arrangement ENPI/2013/321-100 (JRC-33270-2013).
- UN-Habitat's city profiling programme inside Syria aiming at providing technical support to the continuous assessment of critically affected cities in Syria on issues of displacement, damage, shelter, infrastructure, basic services and livelihoods. Profiles have been developed for Aleppo, Homs, Dara'a and Lattakia, as well as neighbourhood profiles in Aleppo, and Rif Damascus. A separate profile has been prepared for the "old city" neighbourhoods of Homs. Currently, UN-Habitat is developing a profile of Deir-ez-Zor.

From these 2 interventions and the difficulty to cover all impacted urban and city neighbourhood areas there appeared a clear need to exploit the complementarity between field and satellite analyses to improve the humanitarian and recovery responses.

2.4. Complementary actions

The project is clearly deemed to support all actions funded by humanitarian and recovery/development bilateral and multilateral donors.

The present action is complementary to the World Bank SIRI platform that aims at setting a portal to collect all available information regarding the Syria conflict (both pre-2011 and current). Methodological results obtained through this project could also be replicated in other crisis areas.

The project will also consider other ongoing projects in related fields, such as the mapping exercise done by the Office for the Coordination of Humanitarian Affairs (OCHA) with the involvement of the SOC-ACU (Syrian Opposition Coalition Assistance Coordination Unit), ACTED (Agence pour la Coopération Technique et le Développement) and other partners.

The project will – where appropriate and operationally necessary – be coordinated with other actions implemented by other donors, in support of – or directly by - the Interim Government or any other structure of the National Coalition of Syrian Revolutionary and Opposition Forces.

2.5. Donor coordination

Concerning Syria, due to the fact that assistance is using different delivery mechanisms ("cross-line" and "cross-border"), donor coordination is taking place in a number of different fora at different levels. These include:

- The informal "core group" on donor coordination for recovery, resilience, and development response to the Syria crisis which is chaired by the EU and includes key bilateral and multilateral donors. This group aims at improving the effectiveness of development assistance provided in response to the Syrian crisis, both inside Syria and in the neighbouring countries, but does not include humanitarian activities which are coordinated by the United Nations Office for the Coordination of Humanitarian Affairs (OCHA).
- In addition, coordination is also conducted in the frame of the Working Group on Economic Recovery and Development of the Friends of Syrian People. Here the focus is on coordination of donor support to the opposition held areas of Syria which is mainly supported from southern Turkey (cross-border), although there is also cross line support.
- The UN also co-chairs a number of sectoral coordination meetings based in Damascus.

There is very close and regular internal coordination within the European Commission between the various services involved in the response and with the European External Action Service. The Joint Communication "Towards a Comprehensive EU approach to the Syrian crisis"¹ helps provide the framework for coordinating all aspects of the EU response to the crisis.

In addition, the revised "Syria Humanitarian Assistance Response Plan" (SHARP) provides a coordinated response strategy for all UN agencies and humanitarian actors.

This project will be a crucial EU contribution to a common database and analysis for the recovery and reconstruction needs of Syria and will allow the EU to take adequate leadership in this context.

3. DETAILED DESCRIPTION

3.1. Objectives

The overall objective of this project is to contribute to better urban information and analysis in Syria in order to better plan, target and monitor humanitarian/recovery

¹ JOIN (2013) 22 final of 24.06.2013

interventions as well as to have available data and analyses for a future PCNA when conditions allow.

The specific objective is to provide technical support to the continuous analysis of critically affected cities in Syria on issues of damage, displacement, shelter, infrastructure, basic services, and livelihoods.

3.2. Expected results and main activities

Result 1: A comprehensive urban information and analysis framework for Syria is set up.

Activities: Combining the strengths of both satellite-based (JRC) and field-based (UN-Habitat) methodologies, related activities for this deliverable will include:

- 1.1 Drafting of a strategic coordination plan for the partnership between UN-Habitat and JRC including for the elaboration of the final synthesis report on "State of Syrian Cities".
- 1.2 Convening a series of technical workshops to review existing products, templates and methodologies with information users and key stakeholders (humanitarian actors, NGOs, local authorities, charities, professional associations, etc.).
- 1.2 Convening a coordination workshop, to bring together the different actors to agree on information sharing procedures and urban methodology.
- 1.3 Developing information and mapping products and info-graphics leveraging satellite and field-based analysis.
- 1.4 Producing a short summary report on the integrated approach and methodology covering also possible replication in other areas in crisis.
- 1.5 Adjusting work-plans and deliverables as required.

Result 2: 20 new or updated city profiles and 30 neighbourhood profiles, integrating damage, displacement and urban functionality analyses combining satellite-based and in-country methods.

Activities:

- 2.1 Identifying local facilitators and establishing profiling teams in each city.
- 2.2 Identifying and coordinating with humanitarian actors, charities, local community initiatives, professional networks, etc.
- 2.3 Coordinating with local and central authorities to develop baseline data and Geographic Information System (GIS) base maps.
- 2.4 Updating and coordinating data sets on the neighbourhood's level which reflects pre- and post-crisis data sets.
- 2.5 Compiling and reviewing all previous reports and analyses.

- 2.6 Compiling update information on the current humanitarian needs and services conditions in the city and neighbourhood's levels and reflect internal displaced people and host communities concerns and needs through the local facilitators.
- 2.7 Ensuring accuracy and endorsement of all collected data with the relevant local and central authorities as well as relevant international agencies.
- 2.8 Preparing preliminary drafts of city profiles with maps and conducting focus groups with local actors for input and feedback through round table meetings.
- 2.9 Peer reviewing profiles with sectoral experts.
- 2.10 Ensuring proper lay-outing of maps, graphics and illustrations.
- 2.11 Preparing final RCP reports and ensuring timely delivery and full endorsement by key layers of partners.

Result 3: An Urban Information Management and Coordination System is developed for 10 municipalities.

Activities:

- 3.1 Based on the lessons from the 2013-14 pilots in Lattakia and Rif Damascus, developing Terms of Reference for an urban information management system.
- 3.2 Conducting 10 training workshops with municipalities and partners on city profiling tools and methodology.
- 3.3 Providing technical, mapping, training and other support to municipalities to serve as hubs for local urban information management and enhance connectivity to humanitarian actors.
- 3.4 Producing up to 10 “Who is doing What, Where” maps.
- 3.5 Strengthening existing loose networks in key cities composed of civil society and professionals for improving urban information analysis.
- 3.6 Providing “on-the-job training” in 10 cities to monitor the city-level humanitarian trends through neighbourhood consultations, data collection, GIS mapping and establishing databases on needs, types of damaged properties, hosting needs, tenure situation, jobs and skills, water and sanitation and other public services.
- 3.7 Facilitating communities to conduct their respective neighbourhood profiling through technical assistance and translate them into actionable neighbourhood profiles.
- 3.8 Evaluating the effectiveness of the capacity-development and outreach approach.

Result 4: A Syria Web-based portal is set up aiming at establishing a future PCNA.

Activities:

- 4.1 Assessing the needs of stakeholders, including coordination with other initiatives such as the World Bank's SIRI platform.
- 4.2 Reviewing the portal to enhance functionality for a wider range of stakeholders, including in particular, Syria-based stakeholders.
- 4.3 Reviewing and developing "dashboards" and info-graphics.
- 4.4 Technical designing and programming to strengthen the portal, info-graphics, and explore possibilities for real-time updates.
- 4.5 Organising sensitisation and outreach sessions to promote the use of the portal.
- 4.6 Monitoring of use contributing to end-of-project evaluation.

Result 5: Final "State of Syrian Cities" Synthesis Report.

Activities:

- 5.1 Contracting local partners to support the written analysis (e.g. universities).
- 5.2 Selecting indicators and issues to highlight across cities.
- 5.3 Launching sectoral studies: water, food security, solid waste, roads, electricity, economy, housing, HLP, health, education, etc.
- 5.4 Designing the report, including tables, charts and other info-graphics.
- 5.5 Editing and compiling the chapters.
- 5.6 Peer reviewing by sectoral experts.
- 5.7 Printing and dissemination.

3.3. Risks and assumptions

The risks of operating in Syria during the conflict are clearly significant. A high degree of flexibility is necessary to ensure projects can adapt to the changing situation on the ground. The main risk is a deterioration of the already grave security situation in Syria thus requiring a temporary or permanent relocation of staff and activities.

The main assumptions include; i) that UN-Habitat and JRC are able to operate effectively in Syria; ii) that UN Habitat is able to operate in both Government and opposition held areas.

3.4. Cross-cutting issues

Issues of human rights and gender equality are taken into account. Indicators will be broken down by gender where relevant and feasible.

3.5. Stakeholders

The project will be based on a strategic partnership between UN-Habitat and JRC but all bodies interested in humanitarian, recovery and reconstruction activities like international organisations, national donors' agencies, charities, NGOs and national, regional and local authorities are potential stakeholders.

UN-Habitat Syria works with local partners including NGOs, charities, governorates, local authorities, professional and humanitarian associations.

UN-Habitat's emergency information management experts, GIS experts, and urban professionals are based in Damascus. Data collection coordinators and field teams are located within cities being profiled.

JRC is the Commission's in-house science service.

4. IMPLEMENTATION ISSUES

4.1. Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2) (b) of Regulation (EU, Euratom) No 966/2012.

4.2. Indicative operational implementation period

The indicative operational implementation period of this action, during which the activities described in sections 3.2. and 4.3. will be carried out is 36 months from the date of entry into force of the financing agreement or, where none is concluded, from the adoption of this Action Document, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements. The European Parliament and the relevant Committee shall be informed of the extension of the operational implementation period within one month of that extension being granted.

4.3. Implementation components and modules

4.3.1. Indirect management with an international organisation

A part of this action may be implemented in indirect management with UN-Habitat, with the objective to contribute to better Urban Information and Analysis in Syria in order to better plan, target and monitor humanitarian/recovery interventions as well as to have available data in accordance with Article 58(1)c of Regulation (EU, Euratom) No 966/2012. This implementation is justified because; i) bilateral aid is currently suspended and; ii) This organisation has an international mandate to implement some activities foreseen in the project.

The entrusted entity would be responsible for the award, signing and management of contracts (grants and procurement) and for making payments.

The entrusted entity is currently undergoing the ex-ante assessment in accordance with Article 61(1) of Regulation (EU, Euratom) No 966/2012. In anticipation of the results of this review, the responsible authorising officer deems that, based on a

preliminary evaluation and on the long-standing and problem-free cooperation with this entity, it can be entrusted with budget-implementation tasks under indirect management.

The Commission authorises that the costs incurred by the entrusted entity UN-Habitat may be recognised as eligible as of 1st October 2014. This authorisation is required for 2 reasons:

1. Field information and UN-Habitat analytical capacity of needs and vulnerabilities are urgently required for the preparation of the SHARP 2015 which has just been launched on 10/09/2014.
2. There is an issue of continuity. The contribution from the EU in the interim period after expiration of UN-Habitat former funding will ensure that the capacity is not only maintained but can also be used to support both SHARP and UN Resolution 2165 activities.

4.3.2. *Direct management - Administrative arrangement with Joint Research Centre*

According to the Council conclusions of 26.04.1994² on the role of the JRC and to the offer supplied by JRC to the European Commission Directorate General for Development and Cooperation (DG DEVCO) on its request for a project entitled "*An Urban Information and Analysis to help plan and target humanitarian and recovery interventions in Syria*", DG DEVCO entrusts JRC's Institute for the Protection and Security of the Citizen with the execution of the above mentioned project through an administrative arrangement.

4.4. **Scope of geographical eligibility for procurement and grants**

Subject to the following, 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 shall apply.

In accordance with the Article 9(2)(a) of the Regulation (EU) No 236/2014 and with regard to the regional nature of this action, the Commission decides that natural and legal persons from the following countries having traditional economic, trade or geographical links with neighbouring partner countries shall be eligible for participating in procurement and grant award procedures: Turkey, Iraq. The supplies originating there shall also be eligible.

The responsible authorising officer may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

4.5. **Indicative budget**

Module	Amount in EUR	Third party contribution
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² J.O.C 126 of 07.05.1994 p.1.

	thousands	(indicative, where known)
4.3.1. Indirect management with UN-Habitat	1,860	2,384
4.3.2. Administrative arrangement with JRC	310	0
4.7. Evaluation and audit	30	N.A.
TOTAL	2,200	2,384

4.6. Performance monitoring

Appropriate reporting measures indicators and quantitative targets will be incorporated into each of the two agreements foreseen. While primary responsibility for the monitoring of the performance of each of the components rests with the implementing organisation, the EU will closely monitor performance by each of the implementing organisations and reserves the right to carry out verification missions as necessary.

4.7. Evaluation and audit

Both components on the indirect management with UN-Habitat and the administrative arrangement with JRC will include a final ‘end of term’ review as part of their respective agreement and will be paid for under it.

For the administrative arrangement the EU may contract an independent evaluation to be paid from budget line 4.7.

The EU may undertake an *ad hoc* overall final evaluation covering both components at the end of implementation if considered necessary. Any such evaluation would be contracted by the EU.

The delegation agreement with UN-Habitat shall be subject to the auditing procedures laid down in the financial regulations, rules and directives of that organisation.

The EU may undertake an *ad hoc* overall final audit covering the 2 components at the end of implementation if considered necessary. Any such audit would be contracted by the EU and paid from budget line 4.7. An indicative amount of EUR 30,000 has been allocated for evaluations and audits. This is in addition to the amounts for audit and evaluations to be contracted under the specific agreements.

4.8. Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated before the start of implementation and supported with the budget indicated in section 4.5 above.

The measures shall be implemented either (a) by the Commission, and/or (b) by the partner country, contractors, grant beneficiaries and entrusted entities. Appropriate contractual obligations shall be included in, respectively, financing agreements, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.