



Interim evaluation of the Union Civil Protection Mechanism, 2014-2016

Final Report

Written by ICF
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Interim evaluation of the Union Civil Protection Mechanism 2014-2016

Final Report

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List of abbreviations

AMP	Advanced Medical Post
AMP-S	Advanced Medical Post with Surgery
CBRN	Chemical, Biological, Radiological and Nuclear
CBRNDET	CBRN detection and sampling
CBRNUSAR	Urban Search and Rescue (USAR) in CBRN conditions
CECIS	Common Emergency Communication and Information System
CF	Cohesion Fund
CMI	Union Civil Protection Introduction Course
Copernicus	European Earth Observation Programme
CPM	Civil Protection Mechanism
ECDC	European Centre for Disease Prevention and Control
ETC	Emergency Temporary Camp
DG CLIMA	Directorate General for Climate Action
DG ENER	Directorate General for Energy
DG ENV	Directorate General for the Environment
DG ECHO Operations	Directorate General for European Civil Protection and Humanitarian Aid
DG GROW SMEs	Directorate General for Internal Market, Industry, Entrepreneurship and
DG MOVE	Directorate General for Mobility and Transport
DG NEAR	Directorate General for Neighbourhood and Enlargement Negotiations
DG HOME	Directorate General for Migration and Home Affairs
DG REGIO	Directorate General for Regional and Urban Policy
DG SANTE	Directorate General for Health and Food Safety
DRM	Disaster Risk Management
DRMKC	Disaster Risk Management Knowledge Centre (under the JRC)
DRR	Disaster Risk Reduction
EAFRD	European Agricultural Fund for Rural Development (EAFRD)
EC	European Commission
ECA	European Court of Auditors
ECDC	European Centre of Disease Prevention and Control
EDM	European Disaster Management
EEAS	European External Action Service
EERC	European Emergency Response Capacity or “Voluntary Pool”
EFAS	European Flood Alert System
EFFIS	European Forest Fire Information System
EMC	European Medical Corps
EMS	Emergency Management System

EMSA	European Maritime Safety Agency
ENP	European Neighbourhood Policy
ENPI	European Neighbourhood Partnership Instrument
EoE	Exchange of experts (programme)
EP	European Parliament
EPCIP	European Programme for Critical Infrastructure Protection
ERCC	Emergency Response and Coordination Centre
ERDF	European Regional Development Fund
ETF	Ebola Task Force
EU	European Union
EUCPT	European Civil Protection Teams
EUFFTR	European Forest Fire Tactical Reserve
EUHNSG	EU Host Nation Support Guidelines
EWS	Early Warning System
FC	Flood Containment
FFFH	Aerial Forest Fire Fighting module using helicopters
FFFP	Aerial Forest Fire Fighting module using planes
FHOS	Field Hospital
FRB	Flood Rescue using Boats
GFFF	Ground Forest Fire Fighting
GFFF-V	Ground Forest Fire Fighting using Vehicles
HELCOM	The Baltic Marine Environment Protection Commission
HCP	High Capacity Pumping
HNS	Host Nation Support
HNS	Hazardous and Noxious Substances
HUSAR	Heavy Urban Search and Rescue
HSC	Health Security Committee
IASC	Inter-Agency Standing Committee
IcSP	Instrument contributing to Stability and Peace
ICT	Information and Communication Technology
IFRC	International Federation of Red Cross and Red Crescent Societies
IOM	International Organisation for Migration
IPA	Instrument for Pre-Accession Assistance
IPCR	Integrated Political Crisis Response
ISAA	Integrated Situational Awareness and Analysis
JRC	Joint Research Centre (European Commission)
KPI	Key Performance Indicator
MEDEVAC	Medical Evacuation

MEVAC	Medical aerial Evacuation of disaster victims
MIC	Monitoring and Information Centre
MODEX	Module Exercise
MUSAR	Medium Urban Search and Rescue
MS	Member State (European Union)
NCP	National Contact Point
NOHA	Network on Humanitarian Action
NRA	National Risk Assessment
NTC	National Training Coordinator
OECD	Organisation for Economic Co-operation and Development
OPC	Open Public Consultation
OPM	Operational Management Course
PDNA	Post-Disaster Needs Assessment
PPRD	Prevention, Preparedness and Response to Natural and Man-made Disasters Programme (South and East)
PS	Participating State (European Civil Protection Mechanism)
RPAS	Remotely Piloted Aircraft Systems
SOPs	Standard Operation Procedures
TAST	Technical Assistance and Support Team
TEC	Technical Expert Course
THW	German Federal Agency for Technical Relief
UCPM	Union Civil Protection Mechanism
UN	United Nations
UNDAC	UN Disaster Assessment and Coordination
UNEP	UN Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNHCR	UN High Commissioner for Refugees
UNISDR	United Nations Office for Disaster Risk Reduction
UN OCHA	UN Office for the Coordination of Humanitarian Affairs
USAR	Urban Search and Rescue
WFP	World Food Programme
WP	Water Purification
WHO	World Health Organisation

Abstract

The objective of this interim evaluation was to assess the relevance, coherence, effectiveness, efficiency, sustainability and EU added value of the application of the Union Civil Protection Mechanism (UCPM) between 2014 and 2016. Overall, the various pillars and components of the UCPM are generally proving to be effective and efficient. This observation is made despite the difficulties experienced in measuring progress due to the limited monitoring systems in place. The report presents recommendations for the prevention, preparedness and response pillars of the UCPM to address deficiencies. Several challenges are discussed: the need to build on the national risk assessments and present an EU-wide overview of risks; continuing to integrate research and science into prevention and preparedness activities; enhancing the value of the peer review programme and prevention and preparedness missions; improving the quality of the training programme; rationalising the growing pool of experts; improving the transparency of transport reimbursements; building on cooperation initiatives with other EU partners; and, further defining the role of the UCPM in responding to humanitarian emergencies.

Executive summary

Objectives and scope of the evaluation

This report presents the results of the interim evaluation of the Union Civil Protection Mechanism (UCPM), implemented by the Directorate General for Humanitarian Aid and Civil Protection (DG ECHO). The evaluation was carried out by ICF, with inputs from three external experts.

The purpose of the evaluation was to carry out an independent interim assessment of the implementation and performance of Decision No 1313/2013/EU (thereafter 'the Decision') on a UCPM. The evaluation assessed the effectiveness, efficiency, relevance, coherence, EU added value and sustainability of the UCPM and provided recommendations on how the implementation of the Decision could be improved.

The findings of this interim evaluation are intended to support the Commission in:

- Identifying the main results as well as the quantitative and qualitative aspects of the implementation of the Decision;
- Explaining the progress made in the implementation of the Decision, in particular the extent to which its objectives were achieved;
- Identifying any gaps or shortcomings in the implementation of the Decision;
- Improving the implementation of existing legislative provisions;
- Providing inputs for a possible proposal to amend the Decision or its implementing acts; and,
- Informing, if appropriate, the review of the financial breakdown of the UCPM as set out by Art. 19(5).

The interim evaluation informs the interim evaluation report which the Commission was, under Article 34 of the Decision, required to submit to the European Parliament and the Council by 30 June 2017. The scope of the evaluation encompassed activities carried out under the UCPM between January 2014 and December 2016. It has considered all horizontal activities of the UCPM and those categorised under the UCPM's three thematic pillars – disaster prevention, preparedness and response.

The Mechanism and the Financial Instrument

The UCPM is a framework for cooperation in disaster risk management among national civil protection authorities across Europe. Its predecessor was established in 2001 with the aim to ensure coordinated assistance for Participating States responding to emergencies. Through the Decision, which came into force in January 2014, disaster prevention and preparedness became key pillars of the UCPM.

Article 1(1) of the Decision sets out the mechanism's general objective and subject matter. Article 3(1) of the Decision, states that the UCPM is intended to "support, complement and facilitate coordination of Member States" action in pursuit of the following common specific objectives:

- To achieve a high level of protection against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services;
- To enhance preparedness at Member State and Union level to respond to disasters;
- To facilitate rapid and efficient response in the event of disasters or imminent disasters; and,
- To increase public awareness and preparedness for disasters.

Within the period 2014-2016, nearly EUR 131 million was allocated for the implementation of UCPM activities, of which nearly 75 per cent was allocated to the prevention and preparedness pillars. Prevention activities include: improving the knowledge base for disaster prevention; ensuring a comprehensive EU overview of civil protection risks; organising advisory missions to support and provide advice to

third countries on the implementation of civil protection measures; carrying out peer reviews; and, raising awareness and disseminating good practices. Within the preparedness pillar, the UCPM manages the Emergency Response Coordination Centre (ERCC) which ensures a coordinated and quicker response to disasters, as well as early warning, analysis and communication systems. Additionally, the Commission funds civil protection training, exercise and exchange programmes to provide European experts and national civil protection staff with relevant theoretical knowledge and to enhance field cooperation between Participating States. Through its response pillar, the UCPM coordinates the European response to disasters inside and outside the Union by deploying European civil protection experts and providing support to transport and equipment of national civil protection teams.

Methodological approach

The evaluation team reviewed documentation, data and literature, extracting relevant qualitative and quantitative information to inform the evaluation. Primary data were collected through various methods, including:

- Telephone and face-to-face interviews conducted with a broad range of stakeholders;
- Five surveys of National Contact Points and national partners, other relevant national authorities, trainers and national training coordinators, civil protection experts participating in the exchange of experts (EoE) programme, and project leads of prevention and preparedness projects;
- Three case studies, the results of which were used to triangulate information received via the consultation tools as well as to test and confirm findings; and
- Analysis of the Open Public Consultation (OPC) that ran from late November 2016 to late February 2017.

Findings concerning the horizontal activities and pillars of UCPM

Horizontal activities: In a spirit of mutual support, a peer review system was set up to invite Participating States and third countries to specify areas for improvement. Two pilot peer reviews were undertaken in the context of the Hyogo Framework for Action¹ with the United Nations Office for disaster risk reduction (UNISDR) and the Organisation for Economic Cooperation and Development (OECD). Six subsequent peer reviews focused on more specific themes or recent developments in the field of disaster risk reduction implemented in selected countries.² Stakeholders involved generally considered the peer review programme effective, although not all Participating States agreed to participate. There is more to do to improve transparency and follow up of the process and findings.

The UCPM conducted prevention and preparedness missions in emergency situations to support Participating States or third countries in implementing prevention and preparedness measures and in providing expert advice via engaging expert teams. There are some issues with the visibility, accessibility among third countries and follow up of these missions.

The Decision established a 'lessons learnt' programme. This was perceived by the stakeholders consulted as being well-implemented, with positive examples of both formal (written) identification of lessons learnt and more informal settings where lessons were identified following training, exercises or response operations. There are challenges in consistently and systematically implementing lessons learnt exercises after all response operations, training courses and table top or module exercises. The

¹ The United Nations international framework for disaster risk reduction.

² Bulgaria, 2015 - disaster management systems; Georgia, 2015 - risk assessment and early warning; Turkey, 2015 - disaster and emergency management governance and accountability; Poland, 2016 - risk assessment capabilities; Estonia, 2016 - disaster risk management capability; Malta, 2016 - risk assessment.

three case studies found that lessons learnt were not consistently identified or perceived to have been identified. Lack of follow up and taking on board lessons learnt is perceived as a problem both for the Commission and Participating States.

Disaster prevention: The UCPM has achieved a higher level of protection against disasters by preventing or reducing their potential effects. It is likely to meet the objective on disaster risk prevention when assessed in terms of the number of Participating States that submitted summaries of their national risk assessments (NRAs). The progress made is relevant to enhancing preparedness and response planning. These assessments need to fully cover related policy areas and engage other national stakeholders (e.g. ministries, private sector, and academia). Submitting NRA summaries every three years should further enhance the comprehensiveness of their coverage. The indicator specified in Decision does not, however, fully account for progress against the disaster prevention objective.

The knowledge base in the area of prevention is improving thanks to research and scientific activities. Improvements have occurred because funding for disaster risk prevention and management has expanded in recent years through the Cohesion funds. There is a low level of awareness of this knowledge and research among practitioners in Participating States. The UCPM needs to ensure good visibility of science and research results by involving national practitioners through workshops, conferences, research initiatives and other relevant activities.

Disaster preparedness: The UCPM has improved preparedness to respond to disasters at Participating State and EU level. Both the training programme and the exercises were effectively coordinated at EU level and are perceived positively by all stakeholders involved. The programme has significantly enhanced EU capacity and the stock of civil protection experts compared to 2007-2013. The training programme is on course to achieving its goal of enhancing the coordination, compatibility and complementarity between capacities of countries. Challenges lie in ensuring that the programme moves from a system focused on output (e.g. number of participants) towards a better identification of training needs, courses required, take up of lessons learnt and participant feedback. Continued access to courses should be ensured for smaller Participating States. The low proportion of people trained amongst those deployed is also an area for concern.

Good progress has been made towards achieving the European Emergency Response Capacity's (EERC) initial capacity goals. The number of different modules and other capacities have, in most cases, far exceeded initial targets. Establishing the EERC, which brings together a range of relief teams, experts and equipment from Participating States, has ensured good overall quality of the modules and improved the reliability of the system. There has been a change from a reactive and ad hoc coordination system to a more predictable, pre-planned and coherent organisation of EU disaster response. Key challenges remain in establishing capacity needs and setting appropriate capacity targets and quality standards.

The Exchange of Experts programme (EoE), which provides for the secondment of civil protection experts from one Participating State to another, is positively perceived, but the ability of participants to pass-on the skills and knowledge gained is constrained. While this knowledge acquisition and transfer process is encouraged by the programme it relies on the willingness of the individual participants. There are currently only limited means for assessing the cascading effects of such knowledge at the national level.

Disaster response: The UCPM has made progress towards achieving a rapid and efficient response to disaster or imminent disaster. The evaluation corroborates overall findings from the European Court of Auditors (ECA) report for response operations. The Emergency Response and Coordination Centre (ERCC) – the successor to the Monitoring and Information Centre (MIC) – has enhanced the coordinating capacity for

response operations, and the establishment of National Contact Points has further improved coordination and information exchange.

For example, the ERCC helped strengthen the preparedness of the civil protection sector both at EU and national level. It was effective in responding to disasters inside and outside the EU, benefitting from the interlinked UCPM activities. Activities implemented under the preparedness pillar have a positive impact on those activities in the response pillar.

There has also been progress with the Copernicus programme, the EU's earth observation programme for real-time observation and monitoring through satellites and ground-based measurement systems. This includes early warning tools such as the European Flood Awareness System (EFAS) for forecasting floods and the European Forest Fire Information system (EFFIS) for up-to-date information about forest fires. These systems became fully operational in 2012 and were integrated in an Emergency Management System (EMS). The continued growth and use of these tools can be ascribed to the cooperation of DG ECHO, the European Commission Joint Research Centre (JRC) and DG GROW.

The Common Emergency Communication and Information System (CECIS) is an online application used for real-time exchange of information and communications between civil protection authorities in Member States and the ERCC used for requesting assistance. It is appreciated by civil protection authorities as a useful tool for information sharing, but needs to improve its functionality to enhance its impact. In particular the presentation of information and the efficiency in compiling information need to be improved. Current limitations of the system, which have become more apparent as UCPM has grown, make monitoring the indicators in the Decision (including the response speed of individual operations) more difficult.

In the area of transport, the UCPM foresees cooperation between Member States in the form of pooling resources during emergencies in the form of possible joint use of flights or trucks. There are, however, very few cases of transport pooling between Participating States for response operations. There is also a transport broker contracted by the European Commission to organise transport of in-kind assistance during emergencies. This is an important resource for facilitating transport and was particularly effective during the 2015-2016 refugee emergency for some Participating States. However, the resource is generally under-used.

Other key findings on the UCPM

EU added value: The evaluation found that the mechanism has clear EU added value for Participating States under all three pillars. The development of NRAs benefits the EU as a whole as it enables a better overview of risks and capacity gaps in the Union. The addition of new capacities via the Voluntary Pool has been instrumental in enhancing overall preparedness at EU level and allowed for immediate deployable resources. In the area of response, EU added value was most evident in the comprehensive overview of capacities available at the EU level and the possibility to request coordinated EU wide response through a single platform.

Relevance: The general and specific objectives of the Decision are relevant to needs within the EU. The evaluation findings indicate that the general and specific objectives of the Decision currently correspond to the needs of the civil protection sector and of different stakeholder groups. An area of concern, however, is how to enhance the relevance of the UCPM for response operations in the context of humanitarian crises.

Public awareness and preparedness: The UCPM has not been very effective in raising public awareness and preparedness to disasters. Limited monitoring arrangements, tools and resources to fully extract monitoring information constrain the measurement of progress against the objectives and the efficiency of UCPM in the event of a disaster.

Adaptability: The Decision facilitates the ability of the mechanism to be flexible in addressing and adapting to new developments in disaster risk management, though there are challenges related to different types of disasters, as shown by the refugee emergency in 2015-2016. The UCPM increasingly operates in a wider international context. It has boosted its cooperation with international partners, via, *inter alia*, memoranda of understanding and/or working arrangements with key international partners. The increasing role of the UCPM inside and outside the EU is recognised, though there is room for improvement in operational coordination with international partners, neighbouring countries and other third countries. Response operations in complex emergencies, such as humanitarian interventions and response to the refugee emergency, led to debate around the role and scope of the UCPM and the adaptability of the civil protection community to operate effectively in such circumstances.

Cooperation: Continuous inter-institutional cooperation, via established communication channels, is crucial to ensure the complementarity of action of respective Commission DGs in the area of civil protection. The UCPM considerably strengthened links to other policy areas through cooperation between DG ECHO and other Directorate Generals and Executive Agencies. This includes cooperation with the JRC (in particular the Disaster Risk Management Knowledge Centre (DRMKC)), DG GROW on Copernicus, DG Regional Policy (in particular via the inclusion of *ex ante* conditionality on disaster risk prevention and management in Cohesion policy projects), DG Environment (particularly via the Flood Directive and Seveso Directive), DG Climate Action on climate change adaptation, DG Health and Food Safety and the European Centre for Disease Prevention and Control (ECDC) on health-related activities (including the European Medical Corps) and DG NEAR for Neighbourhood and Enlargement countries. There remain challenges in enhancing synergies with some Commission DGs and Agencies for specific *ad hoc* needs. There is further scope for improving the complementarity of funding and strategic coherence with DG Regional Policy, and synergies with DG Migration and DG Home Affairs on security and terrorism threats.

Sustainability: Participating States are conducting activities to ensure the sustainability of UCPM funded actions. Knowledge sharing and awareness raising activities are part of the Participating States' usual practices, evidenced by the dissemination of results and knowledge from prevention and preparedness projects, the EoE programme and training and exercises activities. There are, however, concerns that in the absence of institutionalised structures (as opposed to *ad hoc* initiatives and relationships) specific actions, such as projects, training, exercises and exchange, are less likely to be sustainable, and institutional capacity may be lost when individuals change jobs or retire.

Main recommendations

Recommendations pertinent to the three pillars:

The precise scope of civil protection interventions outside the EU should be better defined.

Improved monitoring tools and systems should be developed and implemented to consistently and more accurately measure the effectiveness of UCPM activities.

Recommendations for horizontal activities

There should be better visibility and follow-up of the peer review programme.

There should be improved access to and information about the prevention and preparedness missions in third countries, and consistently lessons learnt events after every single activity.

Recommendations concerning prevention

The relevance of prevention (and preparedness) projects should be improved by: undertaking joint kick-off and closure meetings and more precise follow-up of results;

raising awareness of the knowledge centre and its activities among national practitioners; and, helping Participating States to create more comprehensive NRA summaries through workshops and additional guidance on related policy areas.

Recommendations concerning preparedness

The capacity goals in the Voluntary Pool should be set more precisely on the basis of set criteria.

The information in the database of experts and its value should be enhanced by: defining expert profiles; evaluating individual performance following all training, exercises and deployment; establishing a search interface for experts; and, mapping national training practices.

Recommendations concerning response

For certain EU delegations around the world, civil protection expertise could be enhanced by designating civil protection advisors.

The CECIS should be improved by adding a search tool and allowing for easier selection of criteria for filtering large amounts of information.

The speed of response should be assessed in detail after every response operation.

Information about transport grants should be recorded in greater detail to facilitate establishment of cost benchmarks, with lower and upper ranges of expected costs (such as for planes and flight hours).

1 Introduction

This is the Final Report for the interim evaluation of the Union Civil Protection Mechanism (UCPM) between 2014 and 2016. The evaluation was launched by the Directorate-General European Civil Protection and Humanitarian Aid Operations (DG ECHO) in November 2016. It was carried out by ICF.

1.1 Objectives and scope of the evaluation

This is an independent interim evaluation of the implementation and performance of Decision No 1313/2013/EU on a UCPM (the 'Decision'). The evaluation assessed the effectiveness, efficiency, relevance, coherence, EU added value and sustainability ('evaluation criteria') of the UCPM and provided recommendations on how to improve the implementation of the Decision.

The findings of this interim evaluation are intended to support the Commission in:

- Identifying the main results including the quantitative and qualitative aspects of the implementation of the Decision;
- Explaining the progress in the implementation of the Decision, in particular how far its objectives were achieved;
- Identifying any gaps or shortcomings in the implementation of the Decision;
- Improving the implementation of existing legislative provisions;
- Providing inputs for a possible proposal to amend the Decision or its implementing acts; and,
- Informing, if appropriate, the review of the financial breakdown of the UCPM set out by Art. 19(5).

The study was intended to inform the interim evaluation report that the Commission is, under Article 34 of the Decision, required to submit to the European Parliament and the Council.

Scope of the UCPM Interim Evaluation 2014-2016 and the European Court of Auditors (ECA) special report on the UCPM³

This interim evaluation considers all activities of the UCPM under its three thematic pillars – prevention, preparedness and response. Horizontal activities such as peer reviews, prevention and preparedness missions, and other as actions financed under the UCPM are also considered.

The ECA special report on the UCPM, published in 2016, assessed whether DG ECHO was effective in facilitating the coordination of the responses to disasters outside the EU. It examined DG ECHO activities with respect to three international disasters: the Bosnia floods of 2014; the Nepal earthquake of 2015; and, the Ebola virus outbreak in West Africa from March 2014 to January 2016. The audit was conducted via interviews with Commission representatives, agencies and international partners. The scope of the audit did not include prevention and preparedness activities.

1.2 Intervention and state of play

The UCPM is a framework for cooperation in disaster risk management amongst national civil protection authorities across Europe. Its predecessor was established in 2001 with the aim to ensure coordinated assistance for Participating States responding to

³ European Court of Auditors, Special Report (2016), Union Civil Protection Mechanism: the coordination of responses to disasters outside the EU has been broadly effective:
http://www.eca.europa.eu/Lists/ECADocuments/SR16_33/SR_DISASTER_RESPONSE_EN.pdf

emergencies. Through Decision 1313/2013/EU, which came into force in January 2014, disaster prevention and preparedness became pillars of the UCPM. Specific objectives are laid out in Article 3(1) of the Decision, which states that the UCPM is intended to “support, complement and facilitate coordination of Member States” action in pursuit of the following common specific objectives:

- A high level of protection against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services;
- Enhanced preparedness at Member State and Union level to respond to disasters;
- Facilitation of rapid and efficient response in the event of disasters or imminent disasters; and
- Increased public awareness and preparedness for disasters.

The interim evaluation considered all activities of the UCPM under the three thematic pillars – prevention, preparedness and response. In addition, **peer reviews, prevention and preparedness missions** and **actions financed under the UCPM**⁴ were also subject to evaluation as cross-cutting activities relating to all pillars.

Figure 1 illustrates the intervention logic for the UCPM. It indicates the expected inputs, activities, outputs, outcomes and impacts.

⁴ The **prevention** work which is funded relates to the Commission's role in helping Participating States develop an integrated response to disaster management, facilitate knowledge exchange between Participating States, and co-operation projects on disaster preparedness (see Art. 5, 20 and 21). The **preparedness** share of the funds can be used to support Participating States in improving national disaster response capacity as well as training costs. The **response** funds support the ERCC and also co-finance up to 85% of transport costs for personnel and in-kind in an emergency. Emergency assistance is voluntary and short term and Participating States determine how much to give.

Figure 1. Intervention logic

Rationale:						
<ul style="list-style-type: none">• Need to foster a culture of prevention• Increasing frequency and intensity of disasters• Need to respond to emergencies in quicker, more effective and efficient manner• Need to improve cooperation• Increased costs and impacts of disasters						
Objectives		Inputs	ECHO activities	Outputs	Outcomes	Impacts
UCPM Specific Objectives <ul style="list-style-type: none">• To achieve a high level of protection against disasters• To enhance preparedness at Member State and Union level to respond to disasters• To facilitate rapid and efficient response in the event of disasters or imminent disasters• To increase public awareness and preparedness for disasters	PREVENTION	<p>EUR 21.5 mil</p> <p>Financial:</p> <ul style="list-style-type: none">• Prevention projects: EUR 20.4 mil (2014-2016)• Improving the knowledge base for disaster prevention: EUR 1.0 mil (2014-2016) <p>Non-financial:</p> <ul style="list-style-type: none">• National capacities	<ul style="list-style-type: none">• Improving knowledge base• Mapping activities• Capacity building on national risk management capabilities• Awareness raising activities• Expert team deployment• Prevention projects <p>Cross-pillar activities:</p> <p>Peer reviews</p> <p>Advisory missions (Prevention and Preparedness missions)</p> <p>Lessons learned programme</p>	<ul style="list-style-type: none">• 40 prevention projects selected• National risk assessments developed and dissemination of relevant experiences• Good practices shared• Type of prevention activities carried out with support of other EU funding• Nr of beneficiaries of awareness-raising/ education activities	<ul style="list-style-type: none">• Improved cooperation, exchange of good practices and support for capacity building• Improved knowledge base and awareness of disaster prevention• Improved links between relevant actors and policies throughout the disaster management cycle• Improved effectiveness of existing policy and financial instruments with regard to disaster prevention• EU contribution to the implementation of Hyogo and Sendai frameworks	<ul style="list-style-type: none">• Reduced impact of disasters on human life and physical assets• People and environment (including cultural heritage) protected against all kind of natural and man-made disasters occurring inside and outside of the EU
	PREPAREDNESS	<p>EUR 74.9 mil</p> <p>Financial:</p> <ul style="list-style-type: none">• ERCC (EUR 2.4 mil), CECIS (EUR 0.4 mil) costs• Up to 85% of eligible costs for exercises (EUR 26.6 mil)• 100% of costs of training courses (EUR 13.4 mil) + training network• 100% of costs of exchange of experts (EUR 2.2 mil)• Lessons learned programme• Preparedness projects (EUR 18.9mil) <p>Non-financial:</p> <ul style="list-style-type: none">• Coordination• National capacities	<ul style="list-style-type: none">• ERCC: comm 24/7 on call coverage and coordination of support, development and monitoring of Early Warning and Analysis<ul style="list-style-type: none">• oCECIS: communication and monitoring• EERC: brings together a range of relief teams, experts and equipment• Training: full scale exercises, module exercises – field and table-top, exchange of experts, lessons learned workshops, skill gaps analysis• Preparedness projects	<ul style="list-style-type: none">• Cooperation with other EC services and international partners• 53 modules registered in ERCC• 180 modules registered• Activation of CECIS: 64 RfA, 14 prealerts, 15 monitorings• 4459 experts trained in at least 1 course• Over 20 exercises organised, 46 experts participated• 33 preparedness projects selected• Common understanding for cooperation in CP interventions• Improved assessment, coordination and intervention	<ul style="list-style-type: none">• Rapid and efficient follow up on emergencies• Provision of technical support• Development of EWS covering the full spectrum of hazards• Enhanced response capacities• Rapid and efficient coordination• Cooperation strengthened between EU and MS• Enhanced preparedness at the EU and MS level• Solidarity promoted	
	RESPONSE	<p>EUR 32.2 mil</p> <p>Financial:</p> <ul style="list-style-type: none">• Contribution to the costs of equipment and transport <p>Non-financial:</p> <ul style="list-style-type: none">• National capacities – equipment and experts	<ul style="list-style-type: none">• Activation of the Mechanism• Coordination of response in and out of the EU• Providing recommendations for response, liaising with int org, third countries• Transport of assets: coordination of transport and equipment resources• Deployment of expert teams	<ul style="list-style-type: none">• Coordination and cooperation• 49 missions, 171 experts and 37 ERCC LO deployed• Access to transport resources necessary for ensuring a rapid response to emergencies• EUR 28.4 mil in transport grants provided	<ul style="list-style-type: none">• Rapid and efficient coordination of response and support• Effective deployment• Provision of technical support	
GEO scope: all EU Member States and Participating States, namely Iceland, Norway, Serbia, the Former Yugoslav Republic of Macedonia, Montenegro and Turkey. Actions performed in relation to third countries, including in accordance with Article 28(2)						

The evaluation assessed all activities implemented under the three pillars over the period 2014-2016. It covered:

Prevention

- **Improving the knowledge base for disaster prevention:** the Decision emphasised the implementation of activities to improve the knowledge base on disaster risks and to facilitate the sharing of knowledge (Article 5(1)(a)). The latter encompasses the sharing of best practices on prevention-related issues and information amongst relevant authorities of the Participating States through the organisation of meetings, seminars, conferences and peer reviews. Between 2014 and 2016:
 - Prevention activities contributed to improving the knowledge base on disaster risks and disaster prevention policies and to raising awareness of disaster prevention;
 - Cooperation with the JRC's Disaster Risk Management Knowledge Centre (DRMKC) and DG GROW (Copernicus), resulted in numerous research outputs.
- **EU overview of risks:** Compared to the Decision of the 2007-2013 Civil Protection Mechanism, the Decision for the UCPM 2014-2020 emphasised the development of National Risk Assessments (NRAs) by the Participating States. These NRAs identify risks that are addressed at national or sub-national level, and which are sufficiently serious to trigger response from national authorities, such as civil protection authorities. Article 5(1)(c) of the 2013 Decision underlines the importance of a cross-sectoral overview and links to other policy sectors, to detect 'cascade effects'. The Decision also emphasised more strongly the development and implementation of Participating States' risk management activities, as compared to 2007-2013. According to Article 6 of the Decision, Participating States are to develop and refine their disaster risk management planning and to make these available to the Commission every three years. The NRAs are expected to improve the understanding of risks and to develop disaster risk reduction (DRR) strategies at national level. The UCPM was to create a cross-sectoral overview of risks.
- **Prevention projects** aim to support and complement the efforts of Participating States in disaster prevention. They also support projects in this area in neighbouring countries outside of the UCPM:⁵
 - 40 prevention projects were selected, EUR 20.4 million was committed;
- **Advisory missions** (Articles 5(2) and 13(3)) support third countries in both prevention and preparedness measures, and provide expert advice through the deployment of an expert team (e.g. advice on capacity building, transfer of know-how and expertise). An expert mission is deployed following a request by a third country:
 - EUR 154,000 was committed for advisory missions (9 missions in 2014 , 2 in 2015, 2 in 2016);
- **Peer reviews:** in 2014, DG ECHO launched a call for tenders to develop a peer review programme in the framework of EU cooperation on civil protection and disaster risk management for carrying out six peer reviews in UCPM Participating States and eligible third countries during 2015 and 2016. These followed pilot peer reviews conducted in the UK and Finland in 2013 and 2014. Between 2014 and 2016:

⁵ UCPM Annual Working Programmes, 2014-2016.

- EUR 648,000 was committed for peer reviews.
- Six peer reviews were carried out in Bulgaria, Georgia, Turkey (2015), Poland, Estonia and Malta (2016).
- **Awareness raising and dissemination of good practices:** the Decision stressed the importance of organising awareness raising, public information and education activities in Participating States in order to raise public awareness on the importance of risk prevention:
 - EUR 1.1 million was committed for awareness raising activities. Activities included two Eurobarometer surveys on civil protection (2015 and 2017).

Preparedness

- **The Emergency Response Coordination Centre (ERCC)** was set up in 2013 to support a coordinated and quicker response to disasters both inside and outside Europe, using resources from the Participating States. The ERCC replaced the previous Monitoring and Information Centre (MIC). Between 2014 and 2016:
 - The ERCC was tasked with strengthening the preparedness of the civil protection sector both at EU and national level and responded to disasters inside and outside the EU;
 - Progress was made in regard to the Copernicus programme, with the early warning tools European Flood Alert System (EFAS) and the European Forest Fire Information System (EFFIS), as well as for the Emergency Management System (EMS) and a growth in rapid mapping requests.
- **Early warning and analysis:** detection and early warning systems aim to reduce the impact of disasters by ensuring timely and effective provision of information as well as enabling rapid action. The Decision⁶ requires the Commission to contribute to the development and better integration of transnational detection and early warning/alert systems. DG ECHO also promotes the inter-linkage of national early warning systems (EWS) and their links to the ERCC and the Common Emergency Communication and Information System (CECIS). The number and types of EWS have increased since 2007.
- **Preparedness projects:** according to Article 21 of the Decision, the Commission shall co-finance a number of preparedness projects aimed at enhancing preparedness and awareness of civil protection professionals and volunteers, exchange of information, experiences, good practices and enhancing cooperation with the mechanism and its Participating States:
 - 33 preparedness projects were selected with a commitment of EUR 18.9 million.
- **Training:** since 2004, the training programme for civil protection and emergency management staff has aimed to improve prevention, preparedness and disaster response by enabling compatibility and complementarity between intervention teams and other intervention support, and to improve the competence of the experts involved. Between 2014 and 2016:
 - 1,680 experts participated in at least one UCPM course;
 - EUR 13.4 million was committed to cover 100 per cent of costs of training courses.
- **Training Network:**

⁶ Article 8(c)

- A European Disaster Management (EDM) training network was set up to enhance all phases of disaster management, create synergies and develop guidance on Union and international civil protection training.
- **Civil Protection Mechanism Exercises:** DG ECHO funds a number of civil protection exercises every year. These help stakeholders identify further training needs for their staff. Lessons-learned workshops are organised in parallel and provide forums in which to identify how response and related activities can be improved:
 - 46 experts participated in exercises;
 - EUR 26.6 million was committed for up to 85 per cent of eligible costs for exercises.
- **Exercises on civil protection modules, technical assistance and support teams and EU civil protection teams (EUCPT)** are module exercises aimed to design, plan, conduct and evaluate exercises for the personnel and equipment of registered civil protection modules, technical assistance and support teams (TAST) and the Voluntary Pool and EU Civil Protection Teams:
 - 117 experts were deployed over 2014-2016;
- **The European Emergency Response Capacity (EERC) Voluntary Pool:** the EERC (or 'Voluntary Pool') was a new component introduced by the Decision in October 2014. It has brought together relief teams, experts and equipment from Participating States. These assets are kept on standby and made available as needed for UCPM missions in and outside the EU. During the period 2014-2016:
 - 77 response capacities were committed by 16 Participating States to the EERC.
- Maintenance and further development of the **Common Emergency Communication and Information System (CECIS)**: CECIS is a web-based alert and notification application enabling real-time exchange of information between Participating States and the ERCC. It was established through Council Decision on 23 October 2001, creating a Community Mechanism to facilitate reinforced co-operation in civil protection assistance interventions:
 - Activation of CECIS: 64 requests were made for assistance (RfA), 14 pre-alerts, 15 monitoring;
 - Further improvements to facilitate extraction of data (via search tool) allowing for enhanced monitoring are planned over 2017-2019).
- **Exchange of experts (EoE):** the EoE programme allows for the secondment of civil protection experts from one Participating State to another. Some third countries are also eligible to participate. This exchange gives participants knowledge and experience of all aspects of an emergency intervention and the different approaches of national systems:
 - EUR 2.2 million was committed to cover 100 per cent of the costs of the exchange of experts.

Response:

The main components of the Response pillar concern response operations, deployment of experts and EU Civil Protection Teams, and grants for transport and related logistics within and outside the EU.

- **Grants for transport and related logistics**, inside the Union:
 - EUR 28.4 million was committed to 48 transport grants;

- **Grants for transport and related logistics**, outside the Union:
 - EUR 28.4 million was committed for 247 transport grants;
- **Coordination of response in and out of the EU:**
 - 49 operations, 171 experts and 37 ERCC Liaison Officers deployed;
 - Memorandum of Understanding (MoU) between DG ECHO and WFP and UN OCHA;
 - Dialogue processes between DG ECHO and IOM, UNHCR and IFRC.

1.3 Methodological approach

The evaluation covers activities conducted under the UCPM between January 2014 and December 2016. The evaluation process research five surveys, nearly 100 interviews, three case studies (a 2016 response to forest fires in Cyprus, a module exercise in Estonia, and the refugee emergency in 2015-2016), an examination of UCPM activations in four Participating States and extensive desk research and review of data.

Literature review

Information from a number of secondary sources was collected and analysed. The evaluation considered documentation, data and literature, as well as project-related documentation. Relevant qualitative and quantitative information was extracted and used in the analysis.

Interviews

Just under 100 telephone and face-to-face interviews were conducted with stakeholders that included: DG ECHO officers; European Commission officials; DG ECHO international partners; national authorities from Participating States; professional organisations (e.g. EoE programme Manager Exercise provider, Transport provider); and evaluators of related programmes such as Prevention, Preparedness and Response to natural and man-made Disasters (PPRD) in the Southern Neighbourhood (PPRD South II).

Although 40 interviews were originally planned, nearly 100 were completed. Additional interviews were held with DG ECHO officers, officials from other DGs of the European Commission, representatives of EU Agencies, and other stakeholders.

Surveys

Five surveys, one more than originally planned, were conducted as part of the evaluation. These targeted:

1. National Contract Points and national partners (national civil protection agencies, National Contact Points);
2. Other relevant national authorities;
3. Trainers and National Training Coordinators;
4. Civil protection experts participating in the EoE programme; and
5. Project leads of prevention and preparedness projects.

The surveys were launched mid-December 2016 and remained open for six weeks.

Case studies

Three case studies were completed. One examined on forest fires in Cyprus, one a module exercise (MODEX) in Estonia and one on response to the migration emergency on the Balkan route.

Open Public Consultation (OPC)

The evaluation extracted and analysed the results of the OPC. Information was triangulated against data received from other elements of the research programme.

Methodological limitations

Methodological limitations to be considered are:

- There were difficulties in measuring progress against the Decision due to monitoring systems that did not allow for a comprehensive follow-up of actions undertaken as part of the mechanism.
- Accessibility of data, particularly the time needed to collect and process information, presented a challenge. While relevant information could be collected for all components of the UCPM, a full overview of data on human resources, on experts registered in CECIS and on the timeline of response operations was not available. This has not limited the overall findings of the evaluation, but did mean that a comprehensive comparison across activities or years was not possible for several UCPM components.
- Evidence was collected via surveys, interviews, case studies and desk research. While response rates to the surveys and to invitations to participate in stakeholder interviews were satisfactory, not all those contacted were willing to engage in the evaluation. This has not had an impact on the overall quality of findings. The response rate among project coordinators was a slightly lower than expected and the survey in itself was not sufficient for drawing conclusions on prevention and preparedness projects.
- Statistics, reports and other documentation were obtained throughout the study. While efforts were made to access as much information as possible, specific details relevant for assessing transport reimbursements (invoices) were not available. Financial information on actual expenditure and human resource data in DG ECHO could not be obtained within the timeframe of the evaluation. Despite these limitations, sufficient information was generally available from public sources, internal DG ECHO documents and via stakeholder consultations to report on findings or to draw sufficiently robust conclusions on all components of the UCPM.
- Stakeholder consultations mainly provided further insights into findings that already emerged from desk research and surveys. Consultations with Participating States focused on gaining an understanding of key success factors, lessons learnt, points of concern and recommendations for the future of the UCPM. Within the time usually available for such interviews (between one and two hours) it was not possible to cover all components of the UCPM. The views expressed by interviewees were corroborated through triangulation with other sources (surveys, desk research). The number of instances that a point was highlighted by stakeholders did not necessarily reflect its importance.

Interviews with other European Commission DGs and EU Agencies primarily served to corroborate findings identified via desk research or to point to new evidence subsequently backed up by desk research. Within the scope of the evaluation it was not possible to cover all related policy areas with several interviews. As findings have been backed up with evidence from desk research this limitation has not had an impact on the quality of the overall findings.

- The short time frame of the evaluation impacted on the evaluation process, though not its overall outcome. While the higher-than-anticipated number of surveys and interviews, and the rather slow pace at which certain data could be accessed, processed and analysed, meant that the consultation and analysis phase extended beyond the initially foreseen two months, this did not impact on the ability to synthesise all relevant evidence for the purposes of this report.
- The case studies took considerably more time to plan and execute than initially foreseen. Two case studies were carried out as field visits. The third case study (on the refugee emergency) was carried out via telephone interviews with

Participating State authorities and other stakeholders as it was not feasible to arrange field visits at short notice in four different countries. The absence of a field visit in one case study has not impacted on the development of findings.

1.4 The structure of the report

The report is structured as follows:

- The main findings of the evaluation are provided in Section 2, in the following order:
 - Effectiveness (Section 2.1)
 - Monitoring arrangements (Section 2.2)
 - Efficiency (Section 2.3)
 - Relevance (Section 2.4)
 - Coherence (Section 2.5)
 - EU added value (Section 2.6)
 - Sustainability (Section 2.7)
- Conclusions and recommendations are set out in Section 3;
- Annexes 1 to 12 supply supplementary information; and
- Annexes 13 and 14 provide executive summary in French and German.

2 Main findings of the evaluation

This section addresses the evaluation questions in the analytical framework of the study.

2.1 Effectiveness of the UCPM in achieving the general and specific objectives of the Decision

Effectiveness concerns the extent to which the UCPM has achieved and/or is on track to achieving its general and specific objectives. Key achievements and areas for improvement with regard to the specific activities implemented under the mechanism are considered in this section. It also discusses how far the UCPM's monitoring, evaluation and reviewing mechanisms enabled an effective assessment of progress made in achieving the objectives of the Decision.

2.1.1 Effectiveness of the UCPM in meeting its general objective

The general objective of the UCPM is to strength cooperation and coordination between stakeholders and to improve the effectiveness of systems for preventing, preparing for and responding to disasters. The UCPM is on its course to achieve its general objective. The assessment of effectiveness of the UCPM in contributing to its general objective considered four areas:

- Policy cooperation between stakeholders;
- Coordination of efforts in preventing, preparing and responding to disasters;
- Improving the systems for preventing, preparing and responding to disasters; and
- The protection ensured by the UCPM and the promotion of solidarity between Member States.

2.1.1.1 Policy cooperation between stakeholders

The UCPM has been effective in strengthening policy cooperation between stakeholders through the following components:

- The NRAs fostered cooperation across authorities, and with the non-public sector at national and transnational level. This has helped to embed the civil protection communities in national contexts, ultimately benefiting the UCPM in strengthening overall prevention and risk reduction capacities and enhancing the quality of the communities.
- Prevention projects have improved cooperation in the field of disaster prevention. Prevention projects have consolidated the links between relevant stakeholders and policies throughout the disaster management cycle (prevention-preparedness-response-recovery) and heightened effectiveness of existing policy and financial instruments in disaster prevention.

2.1.1.2 Coordination of efforts in preventing, preparing and responding to disasters

The UCPM has been effective in the coordination of efforts for preventing, preparing and responding to disasters through the following UCPM components:

- The introduction of the EERC resulted in a shift away from a reactive and *ad hoc* coordination system to a more predictable, pre-planned and coherent organisation of EU disaster response because of better organisational strength and staffing than its predecessor, the MIC.
- The training programme was expected to enhance the coordination, compatibility and complementarity between capacities of countries via training courses. There is little evidence of their achievement: only a small percentage of the people trained have been deployed.

- During the activations of the mechanism, EU Civil Protection (EUCP) teams facilitated coordination of relief efforts on the ground with the Participating States' response teams.
- The coordination among Commission departments, as well as with other EU and non-EU bodies (e.g. international actors) was inclusive and conducive to the effectiveness of response operations on the ground.

2.1.1.3 Improving the systems for preventing, preparing and responding to disasters

The UCPM has been effective, but to a small extent, in improving the systems for preventing, preparing and responding to disasters for preventing, preparing and responding to disasters through the following UCPM components:

- The number and types of Early Warning Systems (EWS) have increased since 2007. They contributed to the development and better integration of transnational detection and early warning/alert systems ultimately leading to a better preparedness and more effective response to disasters.
- The limitations of CECIS, particularly the way experts are registered in the system, constrained the effective monitoring of response capacities.
- Limitations in the monitoring systems did not allow for a comprehensive follow-up of actions undertaken as part of the mechanism.

2.1.1.4 The protection ensured by the UCPM and the promotion of solidarity between Member States.⁷

The UCPM ensured the protection of people, the environment and property against natural and man-made disasters and their consequences. From 2014 to 2016, the UCPM:

- Received 64 requests for assistance;
- Was activated 29 times - 24 times in the context of natural disaster emergencies and 5 times in the context of man-made disaster emergencies.

Activations of the UCPM with regard to the protection of cultural heritage did not take place during the evaluation period. About 50% of the activations concerned disasters inside Europe.

The Decision also requires the mechanism to protect people, the environment and property inside and outside the Union, including the consequences of acts of terrorism, technological, radiological or environmental disasters, marine pollution, and acute health emergencies. The evaluation found that:

- The UCPM mitigated against the consequences of acts of terrorism under the disaster prevention and preparedness pillars by coordinating its actions with DG Migration and Home Affairs of the European Commission, e.g. via joint exercises, joint high level meetings with third countries and the general inter-

⁷ Articles 1 (2) and 1(3) refer to the subject matter and scope of the UCPM: "The protection to be ensured by the Union Mechanism shall cover primarily people, but also the environment and property, including cultural heritage, against all kinds of natural and man-made disasters, including the consequences of acts of terrorism, technological, radiological or environmental disasters, marine pollution, and acute health emergencies, occurring inside or outside the Union. In the case of the consequences of acts of terrorism or radiological disasters, the Union Mechanism may cover only preparedness and response actions" and "The Union Mechanism shall promote solidarity between the Member States through practical cooperation and coordination, without prejudice to the Member States' primary responsibility to protect people, the environment, and property, including cultural heritage, on their territory against disasters and to provide their disaster-management systems with sufficient capabilities to enable them to cope adequately and in a consistent manner with disasters of a nature and magnitude that can reasonably be expected and prepared for." See: <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32013D1313>

services coordination with regard to policy and programming (see also sub-section 2.5.2.9).

- The UCPM mitigated against the consequences of technological, radiological or environmental disasters under the disaster prevention and preparedness pillar by exploiting synergies with the European Programme for Critical Infrastructure Protection (EPCIP), and the obligations of Member States stemming from the Flood Directive and or the Seveso Directive (see sub-section 2.5.2.9, 2.5.2.7).
- The UCPM mitigated against the consequences of marine pollution under the disaster prevention, preparedness and response pillar by reinforcing its cooperation with EMSA on the coordination on marine pollution preparedness, monitoring and response. This involved the provision of training, prevention and preparedness projects as well as maritime response interventions (see sub-section 2.5.2.4).
- The UCPM mitigated against the consequences of acute health emergencies under the disaster prevention, preparedness and response pillars by – *inter alia* – setting up the European Medical Corps (EMC), exploiting ECDC risk assessments, and by cooperating with DG SANTE on the structure and capacities for preparedness and response to cross-border health threats (see also sub-section 2.5.2.3).

These areas generally cover all types of emergencies, though the refugee emergency and humanitarian interventions (see also sub-sections 2.5.2.9 and 2.5.3) have covered areas not directly referred to in the Decision.

The UCPM promoted solidarity⁸ between Member States mostly when the mechanism was activated and in emergency situations. It was activated 16 times in the EU⁹ and led to the intervention of EU civil protection teams and assets from three to four Participating States, on average, for each request for assistance¹⁰. Solidarity between Member States was also expressed in emergency situations, and especially during the migration crises. The assistance provided covered a large part of the material needs and contributed to alleviating the humanitarian crises in Greece in 2015 and 2016.

2.1.2 The effectiveness of the UCPM in meeting its specific objectives

2.1.2.1 Specific objective 1: progress towards a higher level of protection against disasters by preventing or reducing their potential effects

The UCPM has made progress towards a higher level of protection against disasters by preventing or reducing their potential effects. The components of the UCPM that contributed most to protection against disasters under the prevention pillar were the NRAs and other capacity building activities on national risk management. The UCPM components that contributed to protection against disaster under the preparedness pillar were the prevention and preparedness projects.

The contribution of these activities towards the achievement of specific objective 1 is assessed below.

⁸ The Union Mechanism shall promote solidarity between the Member States through practical cooperation and coordination, without prejudice to the Member States' primary responsibility to protect people, the environment, and property, including cultural heritage, on their territory against disasters and to provide their disaster-management systems with sufficient capabilities to enable them to cope adequately and in a consistent manner with disasters of a nature and magnitude that can reasonably be expected and prepared for." See: <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32013D1313>

⁹ In 2014 in CY, EL, HR, NO, SE, SI; in 2015 in EL (twice), HR, HU, SI; and in 2016 in CY, EL, FR, IT, PT.

¹⁰ 17 Participating States, 27 Participating States in 2015, and 25 Participating states in 2016.

Prevention

The development of national risk assessments, which became mandatory under the new UCPM legal basis in 2014¹¹, contributed to the development and implementation of Participating States' risk management activities. The NRAs identified risks that are addressed at national or sub-national level, and which are sufficiently serious to trigger response from national authorities, such as civil protection authorities. Particular emphasis was put on obtaining a cross-sectoral overview and links to other policy sectors, to detect 'cascade effects'.

In 2016, all 28 EU Member States and all but three other Participating States made their NRAs available by the deadline set by the Decision¹²¹³. Civil protection authorities deemed NRAs to be useful in improving their understanding of risks and in developing disaster risk reduction strategies, in line with the Sendai framework. Civil protection authorities considered the drafting to be a comprehensive process involving a broad variety of public authorities¹⁴, as well as academics and - in many cases - NGOs, businesses or the general public. The triennial NRA exercises fostered cooperation across authorities, and with the non-public sector at national and transnational level¹⁵. This in turn helped to more strongly embed the civil protection community in a wider national context. This benefited the UCPM, overall prevention and risk reduction capacities and the quality of the civil protection community. Civil protection authorities also considered that the NRAs informed the prioritisation of investments, prevention and planning in the civil protection sector.

Participating States are due to report on the assessment of their national risk management capability by 2018¹⁶. As a specific objective in the Decision¹⁷ this should help Participating States to reduce, adapt or mitigate risks, their impacts and likelihood of a disaster¹⁸.

The Cyprus case study highlighted that the NRAs contributed to bringing together relevant civil protection stakeholders. Furthermore, regular expert meetings on prevention issues helped to report on the state of play and any issues in the Civil Protection Committee. Representatives of the Member States and the European Commission come together at regular intervals to discuss the UCPM and civil protection matters. Twice-yearly workshops on NRAs were used to discuss progress made by Participating States and issues encountered. Commission guidelines for the preparation of NRAs were, overall, perceived by civil protection authorities to be useful. Points of concern were the focus on quantitative over qualitative data and the difficulties to compare across indicators and parameters.

¹¹ Article 6(a) states that all Participating States must develop a NRA and submit them to the European Commission on a regular basis (every three years)

¹² Exceptions are the Participating States Turkey, FYRoM and Montenegro. The three countries that have not yet submitted an NRA are non-EU countries that joined relatively recently as Participating States and may require more time for compliance.

¹³ The indicator used by the Decision to assess the number of Participating States making available the summary of NRA available to the Commission captures output, but not the quality of the summaries themselves.

¹⁴ Including authorities responsible for research and development, climate change, health, environment, infrastructure and meteorological services.

¹⁵ Participating States that share risks can then work together on the development of their risk management capabilities and or strategies. .

¹⁶ The EU published Risk Management Capability Assessment Guidelines with first NRAs due in 2018. See: http://ec.europa.eu/echo/files/civil_protection/civil/prote/pdfdocs/cpforum2015/ECPF_2015_magazine_en.pdf

¹⁷ Article 3. 2(a) progress in implementing the disaster prevention framework: measured by the number of Member States that have made available to the Commission a summary of their risk assessments and an assessment of their risk management capability as referred to in Article 6;

¹⁸ It provides a checklist on risk assessment, risk management planning and details on the implementation of prevention and preparedness measures through 51 questions to be evaluated on a 4-point Likert scale.

Consultations with DG Environment highlighted room for improvement in ensuring that results of the preliminary flood risk assessment, flood risk maps and flood risk management plans are fully taken into account in the UCPM-related NRA. Similarly, room for improvement was identified in the area of health and climate change adaptation. It is expected that, as the NRAs are repeated every three years, their coverage of areas falling under the auspices of other DGs (such as environment, health, climate change adaptation and security) will gradually improve.

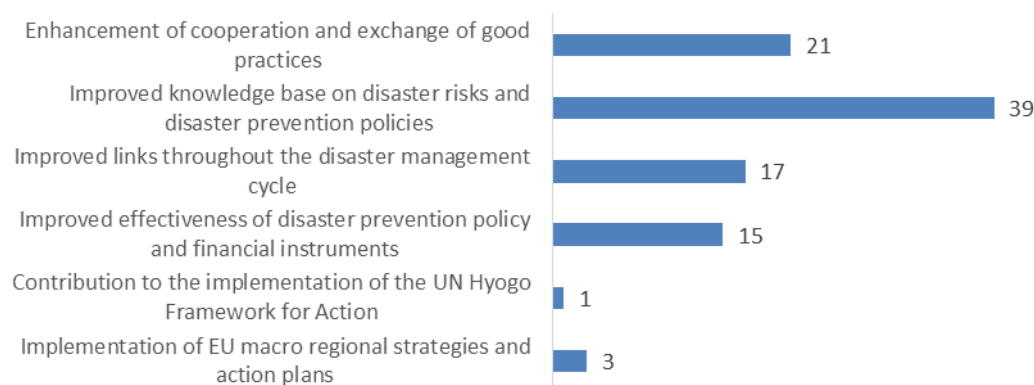
Prevention and preparedness

Prevention and preparedness projects contributed to protection against disasters by promoting and supporting the development and implementation of Member States' risk management activity through the sharing of good practices, the development of innovative prevention or disaster risk management approaches, techniques and tools and raised awareness or facilitated access to expert knowledge of issues of common interest¹⁹.

Nearly three quarters of the projects that were mapped reported an improved knowledge base on disaster risks and disaster prevention policies, and better awareness of disaster prevention. This generated a better understanding of the approaches needed to adapt to the future impacts of climate change. Just under half also claimed to have improved cooperation and exchange of good practices in the field of disaster prevention.

Figure 2 shows an overview of the main results of prevention projects. According to stakeholders involved, these projects generated improved links between relevant stakeholders and policies throughout the disaster management cycle (prevention-preparedness-response-recovery) and heightened effectiveness of existing policy and financial instruments in disaster prevention. On the other hand, prevention projects had little impact on the implementation of the Hyogo Framework for Action and of EU macro regional strategies (e.g. Strategy for the Baltic Sea Region, Strategy for the Danube Region) and their action plans.

Figure 2. Main results of prevention projects, 2014-2016



Source: prevention projects mapped by ICF

¹⁹ An analysis of mapped prevention projects showed that the main activities implemented included: (1) Organisation of panel discussions, workshops, seminars, conferences and training to exchange information and best practices among practitioners in Civil Protection; (2) Implementing information exchange or expert networks around prevention and risk management; (3) Study, design, development, testing and implementation of innovative prevention or disaster risk management approaches, techniques and tools (i.e. software, mobile application) to integrate disaster risk management considerations into planning and other policies (such as the Web-Based Platform for seismic risk mitigation developed by the project 'Support Action for Strengthening Palestine capabilities for seismic Risk Mitigation'); and (4) awareness and dissemination activities, such as development of websites, publication of newsletters, use of social media and organisation of dissemination events.

However, based on available data from 17 projects, thus far only half of the selected prevention projects have met the objectives set out in the project proposal. In particular, there is a general lack of emphasis on how cooperation with different organisations/countries added value to the project²⁰.

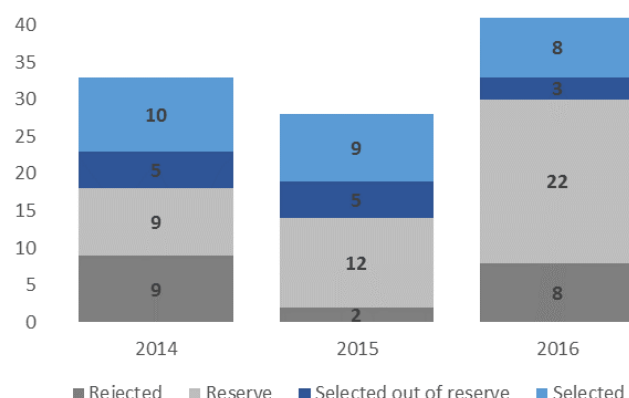
In the context of increasing funding for projects in the domain of Cohesion funds through the *ex ante* conditionality on disaster risk prevention and management (see also Section 2.5.3), UCPM prevention projects often rightly referred to aspects linked to the governance of risk management practices. These include the integration of disaster risk assessments into the planning process and cross-border and cross-sectoral risk management practices for sustainable development.

Prevention projects received more funding and more applications than under the predecessor mechanism. The total funds committed to prevention projects was more than EUR 22m for 2014-2016, as compared to a budget of EUR 14million for 2007-2013 (no data are available on commitments). The average project value was EUR 610,000 (with EU funding averaging EUR 470,000) – some 37 per cent higher than during 2007-2013. The total EU contribution to these projects was around EUR 18.7million.

The success rate of applications for prevention projects during 2014-2016 was 39 per cent, decreasing from roughly 50 per cent in 2014 and 2015 to 27 per cent in 2016. As outlined in Figure 3, the increase in applications for 2016 could be due to better knowledge of the process among prospective applicants, but also due to repeat applications of organisations becoming familiar with the process over time. No information was identified of specific workshops or awareness raising initiatives being organised to help prospective applicants understand the process.

²⁰ In the 2014 and 2015 Annual Work Programmes, cooperation and exchange of good practices is reported as a main objective and an expected result of prevention projects but the current approach does not lend itself to effective measurement. In other policy areas there are mandatory fields in the grant application form in which the applicant must specify which priority and specific objectives the project refers to and provide a brief description of how the project contributes to the objectives of the AWP and corresponds to the selected priority(ies). An example is DG HOME's Internal Security Fund and predecessor Prevention of and Fight against Crime (ISEC) call for proposals, Part B - Project description and implementation, https://ec.europa.eu/home-affairs/financing/fundings/security-and-safeguarding-liberties/prevention-of-and-fight-against-crime/calls/call-2013/general-call_en

Figure 3. Number of prevention applications for projects and their final status, 2014-2016



Source: DG ECHO, ICF elaboration

Generally, the reporting templates provided by DG ECHO for prevention and preparedness projects (e.g. the final report) are similar to the reporting requirements of other EU funded programmes, highlighting that this element of the management of this component is in line with general Commission standards²¹. The final report template provides DG ECHO with a detailed overview of the activities performed and results obtained by the project, and focusses on key aspects, such as cooperation with the Commission, lessons learnt and possible improvements.

2.1.3 Specific Objective 2: progress towards an enhanced preparedness at Participating State and Union level to respond to disasters

The UCPM made progress towards an enhanced preparedness at both Union level and at Participating State level. The following components of the UCPM have contributed, to varying degrees, to the specific objective:

- At Union level:
 - The European Emergency Response Capacity (EERC);
 - Exercises.
- At national level:
 - The training programme;
 - Exchange of expert programmes;
 - Preparedness projects.

Their contribution towards the achievement of specific objective 2 is assessed in the following sub-sections.

2.1.3.1 The European Emergency Response Capacity (EERC)

The introduction of the EERC resulted in a shift away from a reactive and *ad hoc* coordination system to a more predictable, pre-planned and coherent organisation of EU disaster response. It provided enhanced organisational strength and staffing as compared to its predecessor, the MIC. Between the launch of the EERC in October 2014 and the end of 2016, 16 Participating States committed 77 response capacities to the EERC. These include civil protection modules, TAST and other response capacities. During its first two years, the EERC has been used to respond to the Ebola crisis (2014), forest fires in Greece (2015), the Yellow Fever outbreak in the Democratic Republic of Congo (2016) and Hurricane Matthew in Haiti (2016). The

²¹ A comparison was made with DG HOME funded projects.

2017 capacity gap report²² highlighted good progress towards achieving the EERC's initial capacity goals²³. The 2017 target for the number of modules the UCPM was surpassed by 274 per cent, by 650 per cent on TAST, by 134 per cent on so-called other capacities²⁴, and by 7 per cent for emergency shelter. The ERCC enhanced the preparedness of the UCPM and of Participating States to respond to disasters, although the implementation of the ERCC suffered from delays and legal issues and some capacity gaps still remain.

Seven modules, such as the aerial forest fire fighting module using planes (FFFP)²⁵ ²⁶ and the ETC (Emergency Temporary Camp) did not meet the goals set in the list of capacity goals²⁷ for modules. The Capacity Gap report of the Commission also highlighted the need to assess resources registered in the EERC and address weaknesses in chemical, biological, radiological and nuclear (CBRN) disasters, the European Medical Corps (EMC), remotely piloted aircraft systems (RPAS) and communication teams. Nevertheless, resources were available from outside the EERC as buffer capacity for all modules, with the exception of the FFFH (Aerial forest firefighting module using helicopters) module. Figure 4 presents a comparison between the capacity goals and actual resources registered.

²² Report from the Commission to the European Parliament and the Council on progress made and gaps remaining in the European Emergency Response Capacity: <https://ec.europa.eu/transparency/regdoc/rep/1/2017/EN/COM-2017-78-F1-EN-MAIN-PART-1.PDF>

²³ The capacity gap report did recognise the need to periodically assess the suitability of capacity goals identified. This process can result in defining new capacity goals based on NRAs, lessons learnt, general trends and other relevant sources of information.

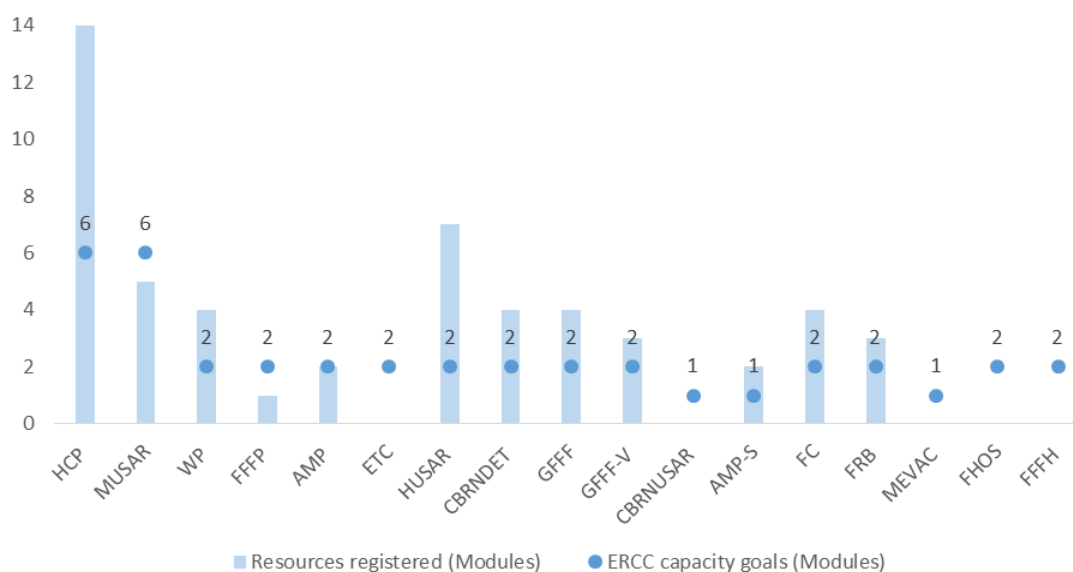
²⁴ In reference to other response capacities listed in Annex III of the Commission Implementing Decision. These are shown as other capacities from number 19 to 45 in the report from the Commission to the European Parliament and the Council on progress made and gaps remaining in the European Emergency Response Capacity: <https://ec.europa.eu/transparency/regdoc/rep/1/2017/EN/COM-2017-78-F1-EN-MAIN-PART-1.PDF>

²⁵ In 2016, the registered module was made available by France and another forest fire fighting plane was available in Italy as a buffer capacity. However, during summer 2016 a shortage of forest fire planes was identified as fires occurring at the same time in France (Corsica) and Portugal required additional support from Morocco and Russia.

²⁶ COM(2017) 78 final, at <https://ec.europa.eu/transparency/regdoc/rep/1/2017/EN/COM-2017-78-F1-EN-MAIN-PART-1.PDF>

²⁷ Based on Article 14 of the 2014 Implementing Decision the capacity goals were established based on disaster risks identified in NRAs or other relevant national or international information sources. The Commission and Participating States were responsible for periodically assessing their suitability (at least every second year since the start of the UCPM). Establishing a baseline of the minimum quantity and quality of response capacities needed by the UCPM is important in order to set future targets. However, stakeholder consultations and information on the civil protection committee meetings did not reveal how these capacity goals were set (including individual targets) during their drafting process in 2012-2013.

Figure 4. ERCC capacity goals compared with resources registered in the ERCC²⁸



Source: Commission's report on progress made and gaps remaining in the European Emergency Response Capacity and 2014 UCPM Implementing Decision

The Capacity Gap report also made a number of observations and recommendations for improving the effectiveness of the Voluntary Pool (EERC). Table 1 provides an overview of the main arguments in favour and against each scenario. The main findings are:

- Civil protection authorities perceived the Voluntary Pool to be effective. The certification process for registering capacities ensures the quality of the resources offered. However, echoing concerns expressed in the ECA report, some Participating States identified issues with the speed of certification and the requirement to re-certify certain modules. These time-consuming procedures created inefficiencies and delays in deployment.
- There is also concern about the different types of contributions available to the pool and what is the most equitable and fair system. Some civil protection authorities suggested an increase in co-funding within the Voluntary Pool. This could encourage the use of the mechanism in place of bilateral agreements or other assistance. A balance would need to be struck between incentivising registering capacity goals and ensuring overall quality across all available modules (inside or outside the pool).
- Suggestions included offering health insurance to the team deployed during the whole mission and third-party liability insurance (an issue in some countries). If the insurance for the deployed team was covered by the Voluntary Pool co-funding it could speed up deployment.
- Other civil protection authorities expressed concern that reliance on the Voluntary Pool could undermine investment in national capacities. There is a risk that a sharper focus on the strengthening capacity and quality of the

²⁸ MUSAR - Medium urban search and rescue, GFFFV - Ground Forest Fire Fighting Using Vehicles, CBRNDET - Chemical, biological, radiological and nuclear detection and sampling (CBRN), HCP - High capacity pumping, HUSAR - Heavy urban search and rescue, AMP - Advanced medical post, GFF - Ground Forest Fire Fighting, USARCBRN - Search and rescue in CBRN conditions, WP - Water purification, FRB - Flood Rescue Using Boats, AMP-S - Advanced medical post with surgery, MEVAC - Medical aerial evacuation of disaster victims, FFFP - Aerial forest fire fighting module using airplanes, FC - Flood Containment, ETS - Emergency temporary shelter

Voluntary Pool could create a *de facto* two-tier system where Voluntary Pool modules are much better exercised than those outside the pool.

Table 1. Level of funding of the Voluntary Pool

Co-financing Model	Arguments for	Arguments against
Commission finances set-up and deployment cost (Current) Adaptation Cost: 30% (100% eligible) Commission Certification Cost: 100% Commission Equipment & Staff: 100% Participating States Transport Cost: 55-85% Commission Operating Cost: 100% Participating States	a) Some influence for Commission over key dimensions such as quality (through adaptation and certification support) and response (through transport financing)	a) Operations cost may be higher for Participating States working with volunteers – employers need to be compensated for salaries (Participating States with professional response staff may be able to cover from normal shift capacity)
Commission finances Voluntary Pool fully The Voluntary Pool essentially becomes a Commission resource, if stationed across Participating States	a) Participating State financial capacity will not (will less prominently) determine how much they contribute to the Voluntary Pool b) More control over the composition and the deployment of pool resources c) Gaps are more easily identified and filled, and altogether more 'manageable' d) Higher motivation to turn to the mechanism rather than using bilateral agreements	a) High cost for the Commission budget b) Moral hazard of relying on Voluntary Pool instead of developing own capacity c) Concerns of Participating States of ceding too much control to the Commission d) Further entrenchment of a "two class system" – units in the pool and units outside the pool e) Increased number of modules / other response capacities being made available with no direct link to increased quality of the modules/response capacities in the VP. f) Additional task for the Commission by having to choose whose capacities to deploy and fund.

Co-financing Model	Arguments for	Arguments against
Participating States finance own Voluntary Pool resources fully	a) Less cost for the Commission budget	a) Less influence for Commission over quality, capacity, and readiness
The Voluntary Pool is only a virtual resource, fully controlled by hosting Participating States	b) May be more favorable for Participating States who are concerned about increasing resource centralization	

Source: ICF analysis on the basis of stakeholder interviews.

The ECA special report²⁹ highlighted the slow development of the Voluntary Pool. By October 2015, a year after its launch, only a small number of assets had been registered. As a result, the Commission was unable to make deployment recommendations or ask Participating States to deploy capacities from the Voluntary Pool. The ECA report also explained that the Commission played an active role in extending the capacities of the Voluntary Pool. For instance, during the Ebola crisis there were issues with the existing legal framework, which did not anticipate a service specifically adapted to evacuate (potentially) infected medical staff or humanitarian aid workers. It provided only for a general service for 'medical aerial evacuation of disaster victims'. The Commission pushed for a flexible approach and further capacities to be included in the Voluntary Pool. Collaboration between DG ECHO, DG SANTE and the WHO to establish a system for medical evacuation (so-called MEDEVAC) was an example of effective coordination, in spite of the time it took to develop. Following the identification of a lack of medical staff during the Ebola emergency, the Commission established the EU Medical Corps,³⁰ as a new component of the Voluntary Pool, to mobilise medical and public health experts and teams for preparedness and response operations.

The shortcomings identified are expected to lessen over the next few years as procedures are streamlined and simplified. The weaknesses have not had an impact on the overall effectiveness of the Voluntary Pool.

2.1.3.2 Training programme

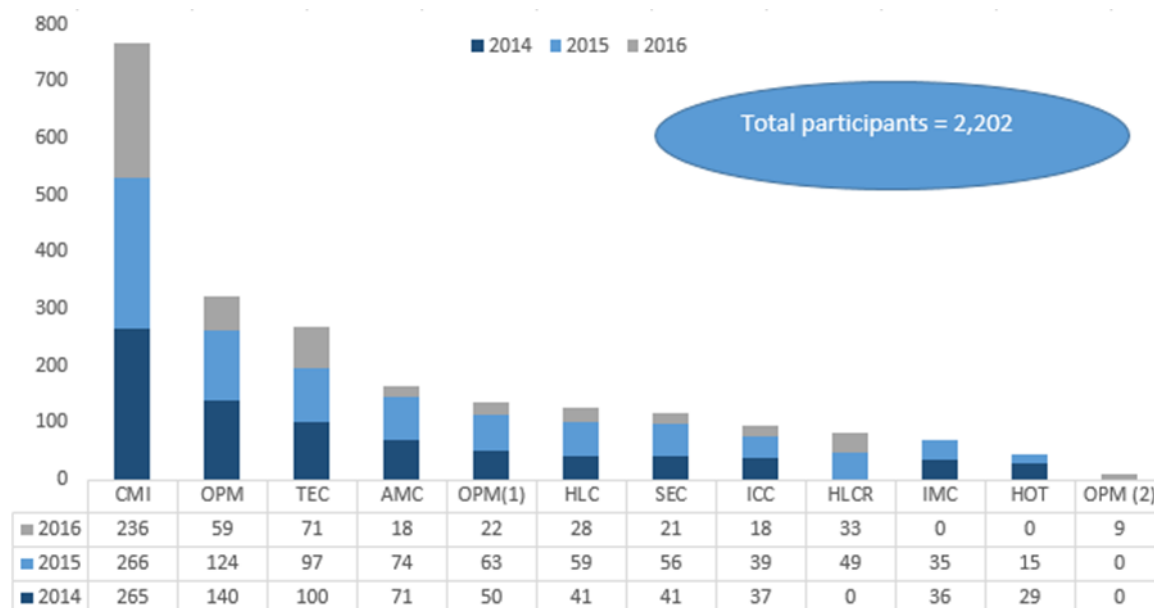
The training programme has been effective in enhancing the preparedness of the UCPM in responding to disaster. Training has increased the level of civil protection expertise in the EU and the scale of the potential deployment. Capacity build-up has accelerated, with, each year, (on average) more people involved in training during 2014-2016 than in the previous period.

Since 2014, 1,680 experts have participated in at least one UCPM course. Prior to 2013, 2,255 experts attended one or more courses.³¹ The annual average participation for the current financial framework is 740, compared to 322 during the seven previous years. The courses organised between 2012 and 2016 attracted 2,202 participants. The Union Civil Protection Introduction Course (CMI), Operational Management Course (OPM) and Technical Expert Course (TEC) had the most participants over the entire period. Around 15 per cent of the total trained experts during the evaluation period were women.

²⁹ 2016 ECA Special Report N. 33

³⁰ For more information see http://ec.europa.eu/echo/what-we-do/civil-protection/european-medical-corps_en

³¹ The total number of trained experts as of 2004 is 4063.

Figure 5. Number of participants per course³², 2014-2016

Source: Data from ECHO, ICF elaboration

Training activities had two principal objectives: to improve the competence of experts to strengthen prevention, preparedness and disaster response; and, to enhance the coordination, compatibility and complementarity between the capacities of countries.

National Training Coordinators considered the quality and content of the training programme to be appropriate and that the skills and experience of the trainers and the teaching techniques used were also appropriate.

Steps were taken to improve the professionalism and quality of the training programme. The systematic collection of feedback from participants began in 2016 and is due to become a common feature of the courses³³. The lack of internal evaluation of the training courses and individual assessment of participants by the trainers remains a concern, and echoes the finding of the 2014 *ex post* evaluation.

The training courses were effective in creating capacity at Participating State level. This is important for smaller Participating States, for which the number of people trained has been low³⁴. The increasing number of experts trained poses management challenges. In 2016, more than 4,000 experts were involved. There are difficulties in managing the total stock of people trained for follow-up purposes and the assessment of skills and competencies.

³² No of people who attended the Union Civil Protection Mechanism Introduction Course (CMI), Operational Management Course (OPM), High Level Coordination Course (HLC), Assessment Mission Course (AMC), Security Course (SEC), Technical Expert Course (TEC), International Coordination Course (ICC), Module Basic Course (MBC)

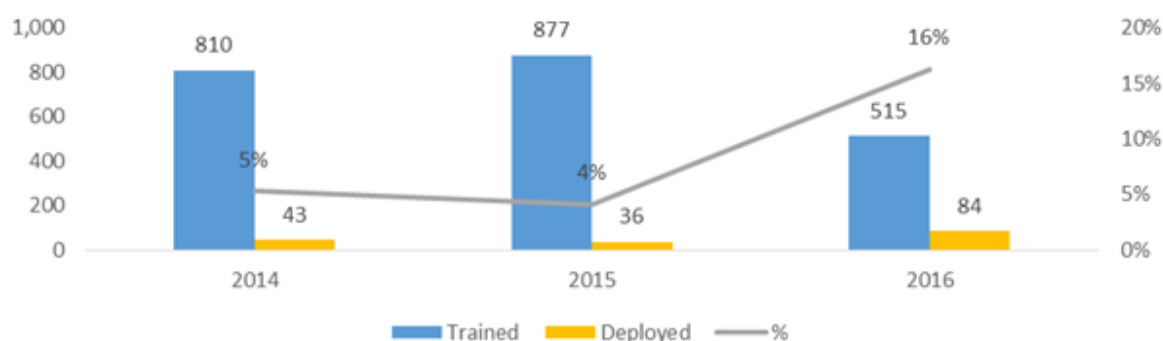
³³ Similar training programmes at EU level apply evaluation methodologies to training and learning options. For example, the European Union Agency for Law Enforcement Training (CEPOL) uses the Kirkpatrick's methodology, a standard model for evaluating the effectiveness of training. In 2016, CEPOL launched a gradual introduction of summative tests as well as streamlined and modified evaluation forms to suit various activities (e.g. training course, online module, etc.), assessing the quality of content, participants, experts, learning environment and applied methodology.

³⁴ Newer Participating States might have higher initial needs for training (to 'catch up' with other Participating States that have been involved for much longer).

Not every person trained is necessarily suitable for deployment³⁵. The attainment the coordination, compatibility and complementarity between capacities of countries via training courses has only been achieved to a small extent.

The rate of deployment is relatively low compared to the number of people trained. Figure 6 provides a comparison between number of people trained and deployed in 2014, 2015 and 2016. The proportion of those deployed amongst those trained increased in 2016.

Figure 6. Number of individuals attending at least one training and number of individuals deployed, 2014-2016



Source: Data from ECHO, ICF elaboration

2.1.3.3 Exercises

Both full-scale³⁶, module exercises and table-top exercises are valuable in strengthening preparedness at Participating State and EU level to respond to disasters. Full scale exercises should simulate a real-life emergency (or phases thereof), include the cooperation of public authorities that would be involved, and cover all relevant aspects (operations, command, logistics, internal and external communications, etc.). Module exercises are used for testing specific response capacities, and focus on the module's self-sufficiency, interoperability, coordination and use of procedures and equipment.³⁷ Table-top exercises are designed to help crisis managers get familiar with use of existing plans and procedures to take decisions according to a proposed scenario.³⁸

Civil protection authorities perceived that exercises were being implemented according to the programme, achieved their objectives, and were fit for purpose. They also perceived them as improving the response capacities of Participating States, helping to establish common approaches and improving cooperation. Identifying, sharing and testing the implementation of lessons learnt was perceived as less effective, although regarded positively by most authorities consulted.

Eleven Module Exercises were planned or implemented over the evaluation period³⁹. For the 2013-2014 cycle, three field exercises were organised. These were in Italy (December 2013), Estonia (2014) and Denmark (2014), and involved urban search and rescue, EUCP Teams and TAST. As part of the 2014-2015 cycle, three exercises were organised involving the same teams in the UK, the Netherlands and Denmark.

³⁵ The total number of training places is currently arranged via a share of training places per Participating State – based on the population of that country. This reflects a relevant indicator, but it does not reward or incentivise Participating States that have been particularly active in response operations or registering modules or participate in the Voluntary Pool.

³⁶ See for further explanations: http://ec.europa.eu/echo/funding-evaluations/public-procurement/call-for-proposal/union-civil-protection-mechanism-exercises_en

³⁷ See further explanations: http://ec.europa.eu/echo/files/civil_protection/civil/prote/pdfdocs/Training%20brochure.pdf

³⁸ Ibid.

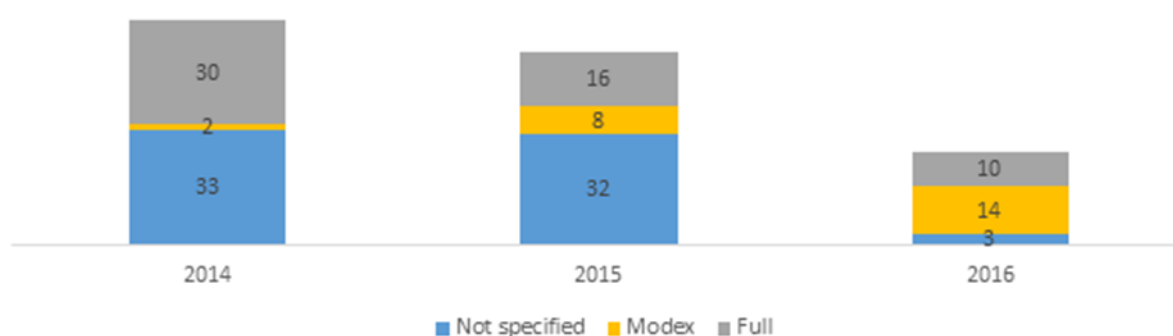
³⁹ For module exercises, EUR 10.7 million was planned, with EUR 11.1 million committed.

The 2016-2017 cycle had five exercises. These were in Denmark (realistic exercise scenarios of daily events as well as USAR scenarios), Italy (urban search and rescue operating in hot conditions), Sweden (Advanced Medical Post with surgery), Estonia (urban search and rescue in cold conditions) and Portugal.⁴⁰

Thirteen full-scale exercises were organised⁴¹. Four full-scale exercises were funded by DG ECHO in 2014, four in 2015, five in 2016 for a total of EUR 9.6million.⁴² These were organised by ten different Participating States⁴³, with France running three and Norway two. They simulated floods (5 occasions), an earthquake and tsunami (2), sea or harbour incidents (2), flood and hurricanes (1), forest fire (1), and a large scale incident in a rural area (1)⁴⁴.

Figure 7 indicates the approximate number of participants in module and full-scale exercises in 2014, 2015 and 2016.⁴⁵

Figure 7. Approximate number of individuals attending module and full-scale exercise, 2014, 2015 and 2016



Source: DG ECHO, ICF elaboration

Data on module exercises (modex) include the ones called Trimodex, MODEX; data on full-scale exercises include: West Tsunami, Unified Response, TRIPLEX, MURA, COORDEX, EU SEQUANA

While the document on a strategic framework for exercises⁴⁶ highlighted difficulties in measuring the effects of exercises⁴⁷ (both for module exercises and full scale exercises), the following outcomes have been identified: cooperation fostered between public administrations stakeholders (at different levels) within the country and across borders; enhanced public awareness; and, quicker and more effective requests for assistance.

⁴⁰ For more information see: <http://www.falck.nl/nl/modexfalck/>

⁴¹ For full-scale exercises, EUR 15.4 million was planned between 2014 and 2016, as opposed to EUR 11.9 million having been committed.

⁴² For more information see: http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection/civil-protection-exercises_en

⁴³ France, Norway, Hungary, Italy, UK, Netherlands, Spain, Croatia, Finland and Greece.

⁴⁴ Co-financing was 85 per cent for eight of these exercises, between 80 and 85 per cent for three, 54 per cent for one of them and one unknown.

⁴⁵ Data for 2016 is not complete.

⁴⁶ Towards a strategic framework for exercises within the Union Civil Protection Mechanism (UCPM) 2017-2020, not available online.

⁴⁷ There are shortcomings in effectively monitoring and evaluating exercises as in other areas because of the difficulty of extracting data on functionality. The MODEX case study illustrated similar gaps in evaluating the exercise being carried out. While the evaluation could only monitor one module exercise, it does at least highlight the importance of monitoring and evaluation. Likewise for the training programme, a stronger focus on evaluating the overall performance of each exercise (full-scale, module) as well as the trainers and participants would improve quality.

As with the training programme, the needs and resources of Participating States are different. The cost of sending a CP unit to another Participating State is more significant for some smaller Participating States and those with lower GDP per capita. Thus they may have a preference for 'in-house' exercises, perceiving them to be a cost-effective alternative to sending participants abroad.

Ensuring an appropriate balance between the different types of modules⁴⁸ covered in the exercises is challenging. Certain types of modules are more often needed in response operations (such as urban search and rescue teams), whereas there are fewer opportunities to practice certain other modules. A needs assessment based on specific criteria (taking into account how often modules are used in response operations, the share of the modules registered, the share of modules in the Voluntary Pool and minimum guarantee for refresher possibilities) would be helpful.

2.1.3.4 Exchange of experts programme

The programme encourages knowledge acquisition process, it provides individual support to the experts exchanged. The exchange of experts programme has been able to adapt to new topics and needs and involve new Participating States. The stakeholders consulted consider that the secondment of civil protection experts from one Participating State to another gives participants knowledge and experience of various aspects of an emergency intervention and the different approaches of national systems. The extent to which the exchange of experts programme contributed to enhancing the preparedness at Union and Participating State level could not be ascertain on the basis of available evidence.

The extent to which accumulated skills and knowledge are transferred is difficult to judge. There are few means of verifying and assessing the cascading effects of such knowledge at national level. It is difficult to measure how far knowledge is used and passed on upon return of the experts. Staff turnover and 'knowledge leaks' may reduce effectiveness. As people change jobs, institutional knowledge is lost, impacting not just institutional capacity but also on potential personal relationships between experts that could further cooperation.

2.1.3.5 Preparedness projects

Preparedness projects funded between 2014 and 2016 are on course to effectively contribute to enhancing preparedness and awareness of civil protection professionals and volunteers, exchanging of information, experiences, good practices and enhancing cooperation with the mechanism and its Participating States. Figure 8 indicates the number of preparedness projects contributing to each expected result.

Figure 8. Number of projects contributing to each expected result



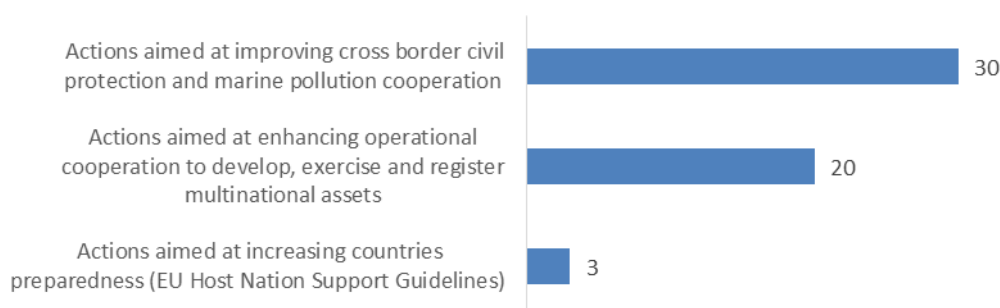
⁴⁸ An overview of modules can be found here: <http://data.consilium.europa.eu/doc/document/ST-6448-2017-INIT/en/pdf>

Source: Preparedness projects, ICF elaboration

The majority of the 30 projects reviewed focussed on improving cross border civil protection and marine pollution cooperation, including regional cooperation, and improving the interoperability of response capacities and preparedness for, direct response to and reducing impacts of natural and man-made disasters. Specific focus areas included: better planning; preparing for CBRN events; and, mass evacuation. Twenty projects were focussed on improving operational cooperation in the framework of the mechanism, enabling Participating States to develop exercises and register multinational assets.

Only three projects focussed on increasing Participating States' preparedness for reception of international assistance in the context of the EU Host Nation Support Guidelines. This priority was removed for 2016. Figure 9 indicates the number of projects under each priority.

Figure 9. Number of projects under each priority



Source: Preparedness projects, ICF elaboration

The main activities implemented by at least 23 preparedness projects were: small-scale exercises and training; workshops; organisation of study visits; creation of a database; modelling; literature reviews; and, best practice mapping. Project beneficiaries also developed and implemented innovative civil protection activities, including procedures, techniques, and tools.

Nearly three-quarters of preparedness projects are on course to achieve the following outcomes:

- Increased awareness and enhanced skills of civil protection and/or marine pollution professionals and volunteers; and
- Enhanced cooperation and exchange of best practices in the field of disaster preparedness among the Participating States and the enlargement countries not participating in the mechanism and the European Neighbourhood Policy countries.

Half of the preparedness projects have led to increased transfer of results to other Participating States, regions or organisations as well the development and evaluation of approaches to meet specific civil protection and marine pollutions needs⁴⁹.

The amount committed to preparedness projects was nearly EUR 17 million between 2014 and 2016, compared with a budget of more than EUR 10 million over 2007-2013. The average project cost during the evaluation period was EUR 691,000 (with EU funding averaging EUR 519,000), approximately 55 per cent higher than the average budget during 2007-2013.

⁴⁹ i.e. 19 out of 37 projects mentioned this specific last result.

2.1.4 Specific Objective 3: progress towards achieving a rapid and efficient response in the event of disaster or imminent disaster

Stakeholders of all types consulted⁵⁰ considered that the effectiveness of UCPM response has improved, providing more professional and timely interventions to crises both inside and outside the EU. The results of the OPC supported this positive assessment, particularly of interventions involving floods, earthquakes and forest fires. The key contribution to achieving a rapid and efficient response in the event of disaster or imminent disaster was the effective flow of information and coordination of disaster response at EU level through the ERCC.

For response outside the EU, there are some concerns over the somewhat blurred links between civil protection and humanitarian aid interventions and the need to establish a better definition of what civil protection interventions entail.

The following three sub-sections assess the extent to which the relevant components of UCPM contributed towards achieving a rapid and efficient response in the event of disaster or imminent disaster.

2.1.4.1 The Emergency Response Coordination Centre (ERCC)

The ERCC supported a coordinated and quicker response to disasters both inside and outside Europe, using resources from the countries participating in the mechanism.

The ERCC played a key role in the Ebola outbreak by facilitating the coordination of European assistance to West African countries. The Centre provided a platform for task force meetings where EU Member States, bodies and services as well as international organisations and other key partners were brought together to exchange information and to coordinate actions.⁵¹ In addition to its coordination role, the ERCC acted as an operational hub, playing a pivotal role in facilitating logistics and transport.

The ERCC also facilitated the coordination of delivery of assistance during the 2014 Balkan floods and the earthquake in Nepal in 2015. Between 2014 and 2016, the ERCC's integrated situational awareness and analysis (ISAA) supported political decision-making in the Council, particularly for Integrated Political Crisis Response (IPCR) arrangements triggered automatically by the invocation of the Solidarity Clause⁵² or in cases of 'stand-alone' activations of the IPCR.

Stakeholder consultations confirmed the effectiveness of the Centre in supporting response activities of the mechanism.

2.1.4.2 The Common Emergency Communication and Information System (CECIS)

The Common Emergency Communication and Information System (CECIS) is an online application used for real-time exchange of information and communications between civil protection authorities in Member States and the ERCC used for requesting assistance. CECIS facilitated and reinforced the co-operation in civil protection assistance interventions via real-time information exchange between Participating States and the ERCC. The ECA report considered CECIS to be a useful tool for information sharing, but highlighted the need for further improvements to improve its impact, particularly improvements in presenting information and compiling it

⁵⁰ Including the Open Public Consultation.

⁵¹ DG ECHO Annual Activity Report 2014

⁵² The Solidarity clause, introduced by Article 222 of the Treaty on the Functioning of the European Union (TFEU), provides the option for the EU and EU countries: to act jointly; to prevent the terrorist threat in the territory of an EU country; and to provide assistance to another EU country which is the victim of a natural or man-made disaster. In 2014, the EU adopted a decision laying down the rules and procedures for the operation of the solidarity clause. It ensures that all the parties concerned at national and at EU levels work together to respond quickly, effectively and consistently in the event of terrorist attacks or natural or man-made disasters.

efficiently.⁵³ Existing limitations of the system – which are becoming apparent as the UCPM grows – make the monitoring of its functions difficult. CECIS contributes to meeting objective 3 on progressing towards achieving rapid and efficient response in being a single platform for communications but is currently significantly limited in its ability to extract relevant data to allow for measuring this indicator.

To assess the speed of response, CECIS can currently generate relevant indicators, including:

- Pre-alert and request for assistance communicated in CECIS;
- All specifics request for assistance;
- All offers; and
- Status of the offers (accepted, rejected).

Data can be generated by searching for the response operation concerned. This allows access to relevant CECIS messages for response operations. Additional functionalities are suggested in the recommendations made in this report.

2.1.4.3 Establishment of National Contact Points (NCPs)

All Participating States have designated NCPs. This has facilitated communications between the ERCC and Participating States. These have improved compared with the previous mechanism, the MIC 2007-2013. This makes a small but important contribution towards progress in facilitating rapid and efficient response in the event of disaster or imminent disaster.

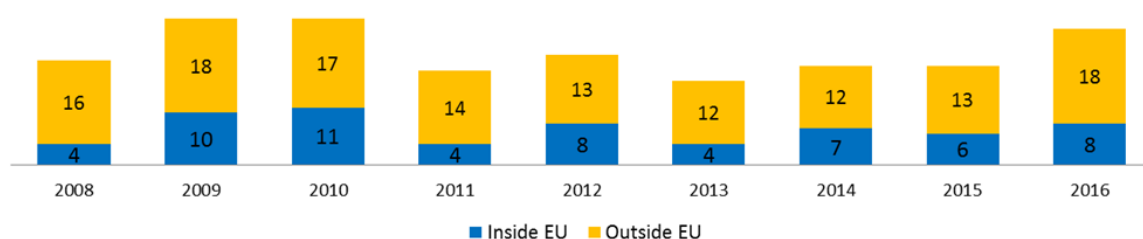
Challenges were observed in emergency situations, particularly when rapid follow-up is needed and where staff in some NCPs do not speak English to the level of fluency required for facilitating a rapid response.

2.1.4.4 Response operations: state of play

Between 2008 and 2016, the *number of activations* of the UCPM was highest in 2009 and 2010 (28), and totalled 19 in 2014 and 2015, and 24 in 2016 (Figure 10).

The proportions of emergencies inside and outside Europe varied. Between 2014 and 2016, on average 33 per cent (or 21 out of 64) of requests came from inside the EU and the remaining from third countries.

Figure 10. Number of activations inside and outside EU, 2008-2016



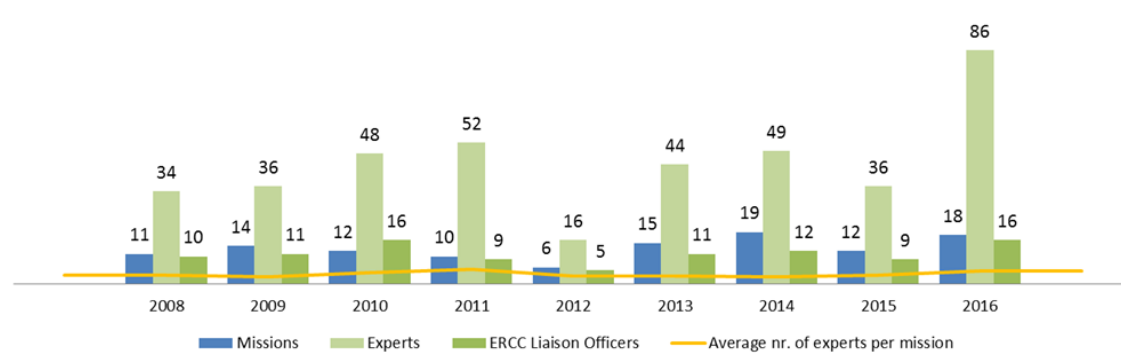
Source: DG ECHO, last update 24 February 2017

Although the number of missions has not changed markedly, the number of experts deployed increased in 2016 compared to previous years (86⁵⁴). On average, 4.8 experts were deployed per mission in 2016 (Figure 11).

⁵³ 2016 ECA Special Report N. 33.

⁵⁴ This includes: 46 experts deployed to 11 response mission and 38 experts deployed to 7 advisory missions

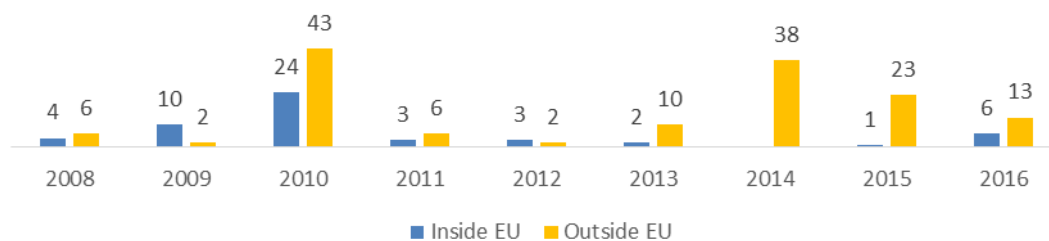
Figure 11. Number of experts deployed per mission, 2008-2016



Source: DG ECHO, last update 24 February 2017

Both during 2014-2016 and previously, the majority of modules were deployed outside the EU (Figure 12).

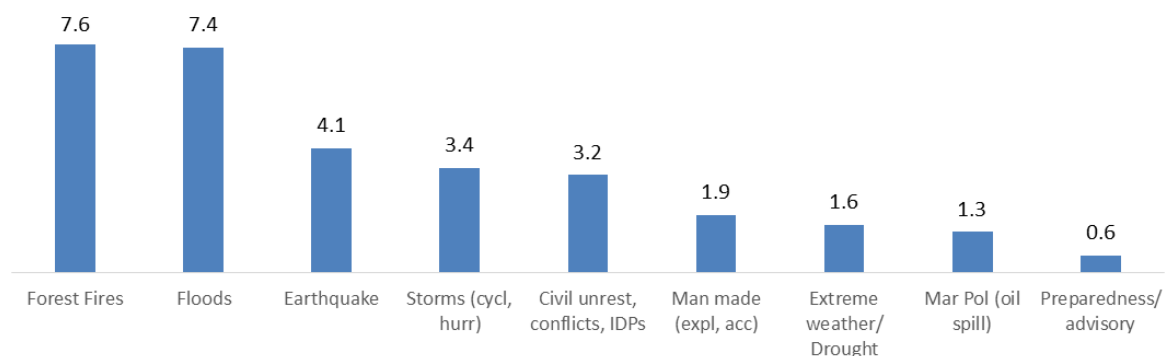
Figure 12. Number of UCPM modules deployed inside and outside of EU, 2008-2016



Source: DG ECHO, last update 24 February 2017

Figure 13 shows the average number of hazards per year that led to an activation during 2007 and 2016. The highest number of activations was a result of forest fires (7.6 occasions per year), floods (7.4), earthquakes (4.1), storms (3.4) and civil unrest, conflicts, IDPs (3.2).

Figure 13. Average number of the hazards that led to an activation, 2007-2016



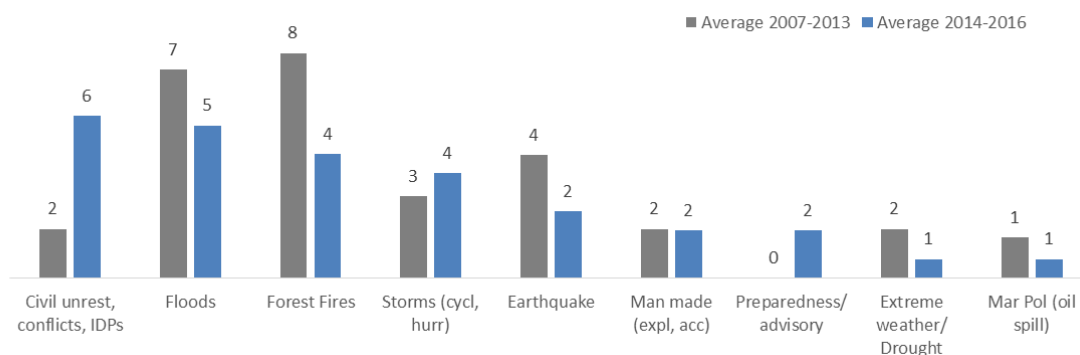
Source: DG ECHO, last update 30 May 2017

Figure 14 compares the periods 2007-2013 and 2014-2016 in terms of the average number of hazards of different types that generated an activation⁵⁵. The number and type of hazards that led to activations have changed. Complex emergency/conflict

⁵⁵ Only those hazards that led to a Request for assistance are presented.

operations (civil unrest, conflicts, IDPs) have increased from two occasions per year to six per year, while floods and forest fires decreased.

Figure 14. Average number of hazards that led to an activation, comparing 2007-2013 with 2014-2016



Source: DG ECHO, last update 30 May 2017

2.1.4.5 Response within the EU

Civil protection authorities consulted were generally satisfied with the ability of the UCPM to respond to disasters within the EU. Most considered that the information provided to countries deploying assistance was comprehensive, sufficiently detailed, based on the needs on the ground and provided in a timely manner. Three-quarters of civil protection authorities considered response coordination to be smooth and timely.

To assess how far progress has been made in facilitating rapid and efficient response in the event of disaster or imminent disaster the evaluation examined data on the speed of response for each of the steps in the emergency response process for forest fire emergencies in the EU between 2014 and 2016.

To measure the speed of response, the ECA report reconstructed the timelines for two response operations (the Ebola crisis in 2015 and floods in Bosnia in 2014).⁵⁶ On the basis of available information on response operations in the EU on forest fire fighting, this evaluation also found large differences in response times between response operations⁵⁷ (Table 2). The variation of time intervals for the different emergency phases reflects the complexity and particular characteristics of the emergencies.

Table 2. The speed of response of the UCPM to Forest Fires inside Europe (hours:minutes)

Country, Year	Pre-alert in CECIS & RFA	RFA&1st specific request for capacity	1st request & 1st offer of capacity	Offer& acceptance	Acceptance & departure
SE, '14	00:00	00:16	02:36	08:07	06:51
EL, '14	00:00	00:26	01:17	00:19	14:21
EL, '15	00:00	12:46	04:41	00:19	18:00

⁵⁶ European Court of Auditors (2016), Union Civil Protection Mechanism: the coordination of responses to disasters outside the EU has been broadly effective

⁵⁷ This evaluation experienced difficulties in accessing information to produce statistics and overviews on UCPM interventions due to the way information is registered in CECIS. This resulted in the information being difficult to identify and compare.

CY, '16	00:56	00:00	01:51	02:17	19:45 ⁵⁸
FR, '16	23:29	00:26	01:51	00:09	03:40
PT, '16	09:55	00:02	00:19	03:53	16:00
ME, '16	00:00	00:44	12:02	00:18	05:09

Source: DG ECHO, ICF elaboration

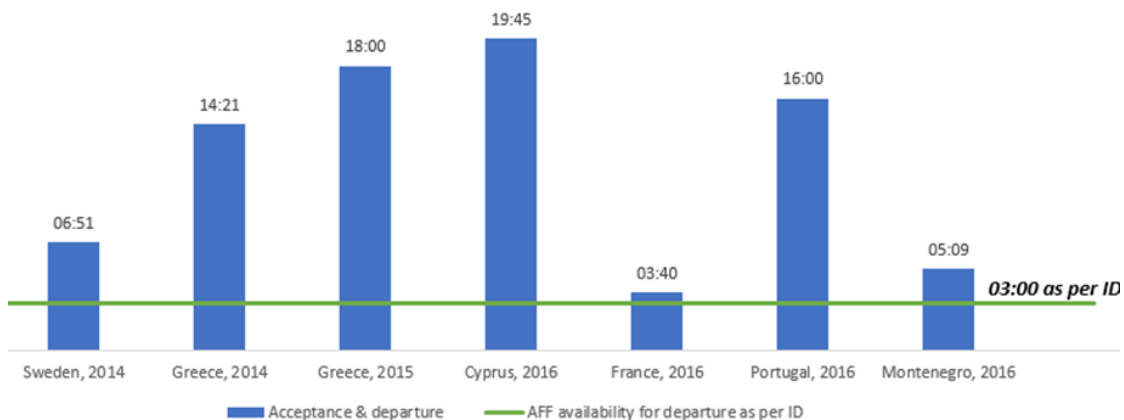
Note: RFA refers to requests for assistance.

The time between activation of the mechanism and the request for specific assistance, as well as between offer and acceptance of the offer, was shorter for disasters happening in Europe. This reflects the good level of awareness of the mechanism and its procedures among Participating States.

Available data do not allow for accurately observing the time lag between the acceptance of an offer and the readiness for departure. This makes it difficult to assess whether the requirements in Annex 2 of the Implementing Decision⁵⁹ are met.

Figure 15 indicates the time lag between acceptance and readiness for departure for the aerial forest firefighting module. The Implementing Decision requires it to be available for the departure within a maximum three hours from the acceptance of the offer. This timescale was not met for any of the cases, though France (2016) forest fires was only just after the deadline. In other cases the time taken was longer (Montenegro 2016 and Sweden 2014) or markedly longer than three hours (e.g. Cyprus in 2016).

Figure 15. Time between acceptance and estimated time of departure of aerial forest firefighting (AFF) module using airplanes in response to forest fires in Europe, 2014-2016, (hours:minutes)



Source: DG ECHO, ICF elaboration.

The findings of the case study in Cyprus also showed that the UCPM was promptly activated (within an hour of the decision) and the response was considered effective and timely by both hosting and supporting authorities. Stakeholders consulted mentioned that this type of emergency has changed over time with forest fires having increased in intensity and severity. The mechanism was found to be flexible in responding to these developments.

⁵⁸ Canadair cannot flight at night and might have to wait until day light to depart

⁵⁹ Commission Implementing Decision of 16 October 2014 laying down rules for the implementation of Decision No 1313/2013/EU of the European Parliament and of the Council on a Union Civil Protection Mechanism and repealing Commission Decisions 2004/277/EC, Euratom and 2007/606/EC, Euratom (notified under document C(2014) 7489) (Text with EEA relevance)

(2014/762/EU): http://eur-lex.europa.eu/legal-content/FR/TXT/?uri=uriserv%3AOJ.L_.2014.320.01.0001.01.ENG

2.1.4.6 Response outside the EU

Civil protection authorities considered the response coordination process to be smooth and timely for disasters outside the EU. This response included the liaising with international actors, sending recommendations to the Participating State or third country requesting support, undertaking a local assessment via EU civil protection teams and notifications and communications.

The ECA report concluded that the Commission has been broadly effective in facilitating the coordination of the responses to disasters outside the Union since the beginning of 2014⁶⁰. According to the report, for each of the three disasters examined, activation of the UCPM was timely, and the EU civil protection teams (EUCP teams) facilitated coordination on the ground with the Participating States' response teams. The Commission's coordination is strengthened through the widespread dissemination of information products. The coordination among Commission departments, as well as with other EU and non-EU bodies, was inclusive (see also Section 2.5.2 on external coherence). The Commission also respected the UN's overall lead, and took steps to ensure a smooth transition into the recovery phase.

The ECA identified areas for improvement that would lead to time-savings during the early phases of disaster response. Although the Commission activated the mechanism for responding to emergencies on a timely basis it may have gained additional time for mobilising resources through better use of the pre-alert phases. In the disasters observed by ECA, the Commission opened the emergency in CECIS ahead of activation in a so-called 'pre-alert mode'. However, this came only a few hours prior to the formal activation. Faster pre-alert activation could have provided additional time for mobilising resources.

Progress towards achieving a rapid and efficient response in the event of disaster or imminent disasters outside the EU is also evident from improved communications and coordination with international actors, such as through a Memorandum of Understanding with United Nations Office for the Coordination of Humanitarian Affairs (OCHA) and the World Food Programme (WFP), and specific dialogues on institutional and operational matters with the International Organisation for Migration (IOM) and United Nations High Commissioner for Refugees (UNHCR). International partners considered that, overall, the UCPM response interventions outside the EU were effective. Occasionally there was a need to gaining an improved understanding of the context and needs of local stakeholders on the ground. This was considered a point for improvement that would enable partners to take advantage of stronger links to local communities, authorities and contractors on the ground. Continued cooperation on operational matters (including planning, logistics, etc.) was also needed. Systematically identifying lessons learnt with the international partners involved would further contribute to improving the quality of response.

Table 3 presents the information on the speed of activation of the mechanism in recent crises outside the EU. It indicates five important steps in each emergency.⁶¹ The data allow for comparisons with the target times set in the Implementing Decision.

⁶⁰ 2016 ECA Special Report N. 33

⁶¹ The time from pre-alert until the request of assistance is communicated in CECIS; the time between activation of the Mechanism and first specific request for capacity (the table below includes requests for capacity (module) and not experts or in-kind assistance); the time required from the specific request until first specific offer; the time from offer made until its acceptance; and the time from acceptance till departure of capacity

Table 3. Speed of response of the UCPM outside Europe, hours:minutes

Time between	Chile, Fires ⁶²	Forest Haiti, Hurricane ⁶³	Ecuador, Earthquake ⁶⁴
Pre-alert and request for assistance communicated in CECIS	21:14	32:20	06:17
Request for assistance and first specific request for capacity ⁶⁵	03:01 (GFFF)	23:43 (WP)	13:15 (USAR)
Specific request for assistance for capacities and first offered capacity	00:19 ⁶⁶	04:58 ⁶⁷	00:19
Offer and acceptance of specific capacity	05:28	31:14	02:23
Acceptance and estimated time of departure	15:39	27:51	08:22

Source: DG ECHO, ICF elaboration

In the case of the Chile forest fires response operation the first module required was a Ground Forest Firefighting (GFFF). It took approximately 20 hours from the time of acceptance of the offer until departure. The Implementing Decision (Annex II) indicates that the GFFF module should be available for departure maximum six hours after acceptance of the offer. The fact that it took more than 20 hours for the module to depart does not necessarily mean that the module was not ready for departure earlier.

A similar finding was observed with respect to the Water Purification (WP) resource deployed through the Voluntary Pool to Haiti. This departed 54 hours after acceptance of the offer. According to the timelines set in the Implementing Decision it should be ready for departure in 12 hours.

For the USAR module, the Implementing Decision requires to be operational in the affected country within 32 hours. However, CECIS does not collect data that would enable assessment of whether this was achieved.

The evaluation compared the emergency response times to several forest fires in Chile. As indicated in Figure 16 the time taken to arrive differed by only 15 minutes for the three GFF modules deployed. The biggest difference identified was in the time from acceptance until departure. According to the Implementing Decision, GFF modules should be ready for departure within six hours from the acceptance of the offer. This criterion was almost met by one module deployed through the pooling of response capacities and by the module deployed individually without pooling. Pooling is foreseen in the Decision and refers to Participating States working together for a response operation by sharing a plane or truck for the delivery of modules or in-kind support. The time was significantly higher than the criterion for one of the modules deployed through pooling. The data suggests that this module might have departed up to 15 hours earlier if it did not have to wait for the other module team.

⁶² The pre-alert was launched in CECIS on 25 January 2017 at 14:46 UTC

⁶³ The pre-alert was launched in CECIS on 3 October 2016 at 14:38 UTC

⁶⁴ The alert was launched in CECIS on 16 April 2016 at 23:58 UTC

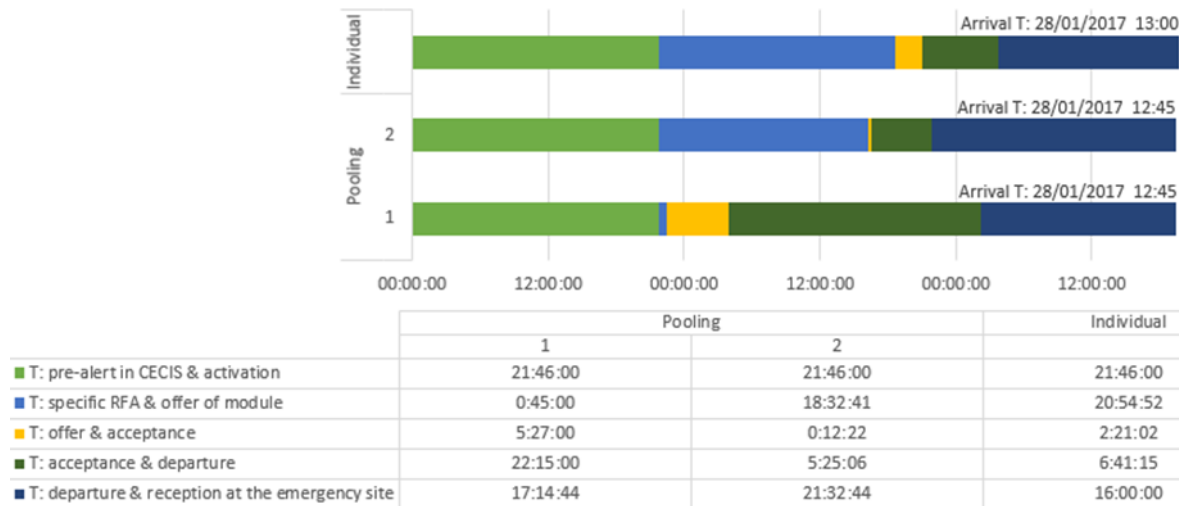
⁶⁵ Capacity in this context means 'module', e.g., GFFF

⁶⁶ Time when ERCC invites to mobilise the voluntary pool module

⁶⁷ Time when ERCC invites to mobilise the voluntary pool module

The cost-effectiveness and the time required for reaching the emergency site itself (for which no data are available) and return from the response mission is further considered under Section 2.3.3.

Figure 16. Comparison of the time line for deployment of GFFF modules to Chile using pooling and individual transport,(hours;minutes)



Source: DG ECHO, ICF elaboration

Note: The five stages of a timeline for a response operation describe the time (in hours, minutes and seconds) taken between those stages within the process, i.e. the time between pre-alert and activation, the time between specific request for assistance and the offer of the module, the time between the offer and the acceptance of the offer, the time between acceptance of the offer and departure, the time between departure and reception at the emergency site.

2.1.4.7 Host nation support guidelines

The EU Host Nation Support Guidelines (EU HNSG) approved in 2012 assist affected Participating States with international assistance. These guidelines are of a non-binding nature. The EU HNSG are based on the experience and lessons learnt by Participating States during emergencies, exercises and trainings and incorporate existing relevant international documents.

One relevant project was led by the Icelandic Red Cross and included Latvian, Polish, Irish, Finnish and international Red Cross societies, and an Italian research group, to improve host nation support, organise regional table top exercises and a workshop, and examine the legislative framework in countries to assess the effectiveness and speed of response.⁶⁸ The Trimex module exercises (carried out in 2015-2016) had the specific aim of using the latest HNSG.⁶⁹ Other activities are also carried out in the context of PPRD East⁷⁰, for example.

The host nation support guidelines include a template that allows for lodging a specific request for assistance. The guidelines were frequently used⁷¹ during 2014-2016 in a variety of contexts, and has made host nation support more effective. DG ECHO might usefully further encourage national authorities to use this template and to raise awareness of its utility. There is no information, however, available to ascertain the

⁶⁸ See: <http://www.redcross.lv/en/project-implementation-of-the-eu-host-nation-support-guidelines/>

⁶⁹ See: <http://www.trimodex.eu/about/aims-objectives/>

⁷⁰ See: <http://pprdeast2.eu/en/tag/host-nation-support/>

⁷¹ Data on the usage of the host nation support guidelines are not available, however.

extent to which the guidelines supported more rapid and efficient response to disasters.

2.1.4.8 Deployment of experts (EUCP Teams)

The UCPM was effective in deploying experts⁷² during response interventions, and these teams facilitated the provision of a rapid and efficient response during emergencies. Civil protection authorities considered the terms of reference used for selecting the experts to be helpful⁷³. Views were mixed in regards to the final selection of experts based on nominations. Around half of authorities questioned whether the selections were the most appropriate. Some Participating States also pointed to a lack of transparency in the selection process.

The 2014 evaluation identified some shortcomings with the composition of the EUCP teams, which did not always match the needs in the field. The ECA⁷⁴ noted in its report that the EUCP teams overall facilitated on-the-ground coordination but that the selection process and reporting from the field presented opportunities for improvement. While the legislation sets high-level criteria for expert selection⁷⁵, it argued that no predefined approach was used to determine which types of experts were needed and how many of each type. Moreover, the ECA found no evidence of predefined criteria for selecting each type of expert in the form of checklists to be used during the selection process.

Contrary to this ECA conclusion, this evaluation observed predefined criteria that applied to the selection of experts. DG ECHO aims to make a reasoned judgement of needs and the experts required, including the team leader, technical experts and support. In less than five per cent of instances more experts are required than have been nominated by Participating States. In most cases, there are more nominees than the number of persons required. Nonetheless, even in cases where there are sufficient profiles put forward these still need to be carefully assessed.

A growing list of potential experts that Participating States might nominate is maintained in a database. For each deployment, the most appropriate persons are considered to be part of a team, which includes the following criteria:

- Experience and expertise;
- A balance between experienced and competent and promising junior experts;
- Team players; and
- Information being up to date.

Typically DG ECHO engages three people who go through CVs and profiles to categorise them. Key indicators for selecting the most appropriate profiles include:

- Language skills;
- Competence;
- Gender balance; and
- Geographical balance.

⁷² According to article 17 of the Decision, the Commission may select, appoint and dispatch expert teams composed of experts provided by the Participating States, as well as an ERCC Liaison officer. These experts facilitate the coordination between Participating States' intervention teams and liaise with competent authorities of the requesting country. The ERCC further provides the team with guidance and logistical support.

⁷³ In 2015 ECHO started producing Terms of Reference for the selection of experts, which are shared with Participating States prior to each mission. Such documents reflect the different features required by each mission and include specific requirements for the composition of teams (e.g. size and competences), which are discussed and identified by the ERCC based on experience gathered through past deployments and knowledge of the region where the emergency is focused.

⁷⁴ 2016 ECA Special Report N. 33

⁷⁵ "The Commission shall select the experts and the leader for those teams on the basis of their qualifications and experience, including the level of the Union Mechanism training undertaken, previous experience of missions under the Union Mechanism and other international relief work. The selection shall also be based on other criteria, including language skills, so as to ensure that the team as a whole has the available skills needed in the specific situation" : Decision No 1313/2013/EU of the European Parliament and of The Council of 17 December 2013 on a Union Civil Protection Mechanism

In certain cases, interviews are conducted with prospective nominees, or information about performance is gathered by DG ECHO staff who worked with the person in question or on exercises/training.

2.1.4.9 Transport support

Transport support helped Participating States in obtaining access to equipment or transport resources for response operations. (Some aspects of the efficiency of transport support are considered in Section 2.3).

The majority of civil protection authorities perceived transport administrative procedures to be smooth, although nearly four out of ten disagreed. The ECA report identified some shortcomings in the submission of requests for transport support.⁷⁶ According to ECA's findings, the procedure for introducing transport support requests was manual and time-consuming for both the ERCC and the Participating States. This represents an unnecessary administrative cost, particularly at the onset on a crisis. Useful information concerning the shipment of the assistance (departure time, arrival time, etc.) remains in paper form only rather than recorded on the CECIS database, making it unusable by the system in the production of reports and transport overviews.

2.1.5 Specific Objective 4: progress towards increasing public awareness and preparedness to disasters

Public awareness and preparedness to disasters

The UCPM has been effective in raising public awareness of disaster risks but not so effective in raising public preparedness to disasters^{77 78}.

With regard to public awareness of disasters, stakeholder consulted at different points in time reported that not only is the general public aware of disaster risk in their region and or Participating State⁷⁹ but also that the UCPM contributed, to some extent, to raising awareness of disaster risks among the general public⁸⁰. National civil protection authorities considered that the UCPM did play a role in increasing the awareness of risk prevention in the general public⁸¹.

With regard to public preparedness to disasters, stakeholder consulted at different points in time were rather critical regarding increased preparedness of the general public to disasters. In the Special Eurobarometer survey of 2017, the majority of the general public consulted indicated that insufficient effort is made to prepare for disasters. Forty nine per cent of respondents did not think enough is being done at a regional level or within their own countries - an increase of six percentage points since the previous survey in 2015. Forty three per cent, (up three percent since 2015) did not think enough is being done at the EU level, while 33 per cent thought the EU was doing enough (up two percent since 2015). Twenty four percent answered that they did not know.

⁷⁶ European Court of Auditors, Special Report (2016), Union Civil Protection

Mechanism: the coordination of responses to disasters outside the EU has been broadly effective

Point 54, page 27. See: http://www.eca.europa.eu/Lists/ECADocuments/SR16_33/SR_DISASTER_RESPONSE_EN.pdf

⁷⁷ The Decision stressed the importance of organising (in the Participating States with support from the Commission) awareness-raising, public information and education related activities to raise public awareness on the importance of risk prevention and preparedness.

⁷⁸ Note also that limited data are available on public awareness and preparedness to disasters.

⁷⁹ The Special Eurobarometer Survey run in 2015, reported that 55% of Europeans feel aware of disaster risks in their regions.

⁸⁰ 77% of the respondents to the Open Public Consultation of stakeholders agreed with the statement.

⁸¹ This was corroborated by the survey results which indicated that 68% (or 15 out of 22) of national civil protection authorities considered that the awareness raising, public information and education activities effectively contributed to increased awareness of risk prevention in the general public. They also considered that the UCPM contributed to increasing public awareness and preparedness for disaster (n=21 out of 28).

Raising awareness of the UCPM itself

The UCPM has been generally effective in raising awareness of its own and related EU activities. UCPM Communication actions were well perceived among civil protection authorities, although certain improvements were mentioned.

Nonetheless, the share of citizens indicating they are aware of EU activities in civil protection increased between 2009⁸², 2012⁸³ and 2017⁸⁴. Progress to Article 3.2(d) of the Decision is therefore positive.⁸⁵ While the pace of growth in awareness-raising among citizens diminishes, based on trends between 2012 and 2017 it can be expected that awareness of EU policies will continue to grow, as highlighted below.

Almost six in ten respondents to the 2017 survey were aware of the EU help to coordinated response to disasters within the EU. However, 42 per cent of respondents were not aware of EU civil protection work, and awareness was lower than for EU humanitarian aid actions. The latter is likely to reflect the large difference between budgets for civil protection and humanitarian aid. Raising public awareness of civil protection requires further focus. This reflects results from the OPC, where almost two-fifths of respondents (39 per cent) thought that the availability of the information on the UCPM was insufficient.

The share of citizens indicating they are aware of EU activities in civil protection increased between 2009⁸⁶, 2012⁸⁷ and 2017. The UCPM has therefore made progress in increasing public awareness of the role of the EU in preparedness for disasters.⁸⁸

⁸² Special Eurobarometer 328: http://ec.europa.eu/commfrontoffice/publicopinion/archives/ebs/ebs_328_en.pdf

⁸³ Special Eurobarometer 383: http://ec.europa.eu/commfrontoffice/publicopinion/archives/ebs/ebs_383_en.pdf

⁸⁴ Special Eurobarometer 454: http://ec.europa.eu/echo/eurobarometer_en

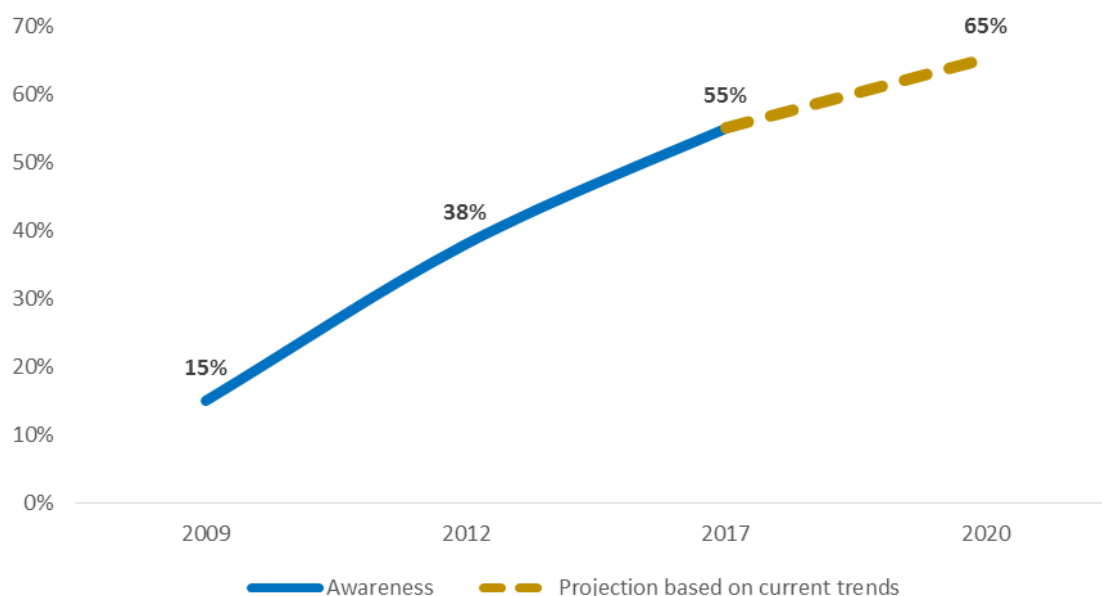
⁸⁵ As measured by: progress in increasing public awareness and preparedness for disasters: measured by the level of awareness of Union citizens of the risks in their region.

⁸⁶ Special Eurobarometer 328: http://ec.europa.eu/commfrontoffice/publicopinion/archives/ebs/ebs_328_en.pdf

⁸⁷ Special Eurobarometer 383: http://ec.europa.eu/commfrontoffice/publicopinion/archives/ebs/ebs_383_en.pdf

⁸⁸ As measured by: progress in increasing public awareness and preparedness for disasters: measured by the level of awareness of Union citizens of the risks in their region.

Figure 17. Share of EU citizens that feel aware or informed about EU measures about disasters in the EU



Source: Eurobarometer 328, 383 and 433. Projection based on trends between 2012 and 2017.

Knowledge of the UCPM was high among relevant stakeholders at national level. Most national ministries consulted as part of the study⁸⁹ considered they have sufficient information on how to access knowledge and advisory services on civil protection/disaster risk management via the UCPM. Similarly, they considered that there was sufficient information on resources (project grants, emergency response modules, experts, etc.) for civil protection/disaster risk management via the UCPM⁹⁰.

An area of concern amongst some external stakeholders around the visibility of UCPM interventions is distinguishing between activities implemented by UN Agencies and those of DG ECHO. The MODEX case study also showed that visibility of the EU (such as the logo) was an issue. This could be improved with better advertising of training and exercises to Participating States and better overall monitoring information on its visibility (e.g. the presence of the EU logo and information as part of its activities, correct references to its activities in documents and reports, social media views).

2.1.6 Effectiveness of horizontal activities of the UCPM

UCPM horizontal activities include: the peer review programme; prevention and preparedness missions; and, the lessons learnt programme. They partially respond to the first general objective of '*strengthen[ing] the cooperation between the Union and the Member States and to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters*', and specific objectives 1(a)⁹¹ and 1(b)⁹² on prevention and preparedness, respectively. In particular, the peer review programme

⁸⁹ 3 respondents strongly agreed with the statement, 21 respondents agreed with the statement, while 7 respondents disagreed (N= 31).

⁹⁰ 4 respondents strongly agreed, 18 agreed while 7 disagreed with the statement (N=29).

⁹¹ 'to achieve a high level of protection against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services': <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32013D1313>

⁹² 'to enhance preparedness at Member State and Union level to respond to disasters': <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32013D1313>

and prevention and preparedness missions play a role in fostering a culture of prevention and enhancing preparedness. While beneficiaries are often third countries, the approach to reviewing structures and systems in third countries can also be of benefit to Participating States in highlighting the importance of following systematic methods of approach.

The horizontal activities of the UCPM have been largely effective but in all three areas there is room for improvement:

- **Peer reviews:** while six peer reviews were scheduled for 2015 and 2016, debate on how the system could work most effectively highlighted that more needs to be done to improve and explain their use. Since the process only began in mid-2015, a more robust 'culture of peer reviews' is expected to develop in the coming years;
- **Prevention and preparedness missions:** Several missions were run successfully during 2014-2016. There are challenges around the visibility and accessibility of such missions among third countries, and the follow-up of results;
- **Lessons learnt:** The UCPM has identified lessons learnt across the three pillars, but challenges remain in carrying out lessons learnt activities consistently and capitalising the lessons effectively.

2.1.6.1 Peer review programme

In 2014 DG ECHO launched a call for tenders⁹³ to implement a peer review programme in the framework of EU cooperation on civil protection and disaster risk management for carrying out six peer reviews in UCPM Participating States and eligible third countries during 2015 and 2016. These followed pilot peer reviews conducted in the UK and Finland in 2013 and 2014. EUR 1.3 million was allocated to peer reviews during 2014-2016, with at least EUR 648,000 committed over the same period.

There are mixed views on peer reviews, although the Participating States directly involved during 2013-2016 were generally positive. There were some negative views concerning the follow-up of reviews and concern over the resources available and the difficulties for smaller Participating States to implement peer review findings due to funding limitations.

In a spirit of mutual support, the peer review system was set up to invite various Participating States (with different systems and backgrounds) to identify areas for improvement. The two pilot peer reviews were performed in the context of the Hyogo Framework for Action (United Nations international framework for disaster risk reduction), which was carried out in cooperation with the United Nations Office for disaster risk reduction (UNISDR) and the Organisation for Economic Cooperation and Development (OECD).⁹⁴ These general peer reviews of disaster risk management/ civil protection policy were had similar objectives:

- Improving the effective implementation of and reporting on the HFA, contributing to improved policy on disaster risk reduction (DRR) through external assessment and mutual learning;
- Increasing the consistency between the national disaster risk reduction policies and stimulate transferability of good and innovative practices;

⁹³ Details can be found here: http://ec.europa.eu/echo/funding-evaluations/public-procurement/call-for-tender/development-programme-peer-reviews-framework_en

⁹⁴ Ibid, Tender documents.

- Contributing to developing and implementing EU policy initiatives that could further advance the implementation of the HFA in EU Member States as well as in neighbouring countries;
- Encouraging awareness-raising through broad involvement of stakeholders in the review process and wide dissemination of the results; and
- Fostering policy dialogue in Europe and enhancing regional cooperation between countries exposed to common hazards and risks.

The subsequent six peer reviews focused on more specific themes or recent developments in disaster risk reduction implemented in the selected countries.⁹⁵ Specifically, these addressed:

- Bulgaria, 2015 - disaster management systems;
- Georgia, 2015 - risk assessment and early warning;
- Turkey, 2015 - disaster and emergency management governance and accountability;
- Poland, 2016 - risk assessment capabilities;
- Estonia, 2016 - disaster risk management capability; and
- Malta, 2016 - risk assessment.

Results of the peer review programme 2015-2016, including final reports highlighting key findings and recommendations for each peer review, are available via public reports on the website of the contractor.⁹⁶ This approach to the dissemination of information on the peer review programme appears meets the requirements set out in the terms of reference. The contractor set up a website⁹⁷ for the programme, including all the relevant documents on the process as well as events organised. Furthermore, the contractor reported on the organisation of one Working Group Meeting, one Preparation Meeting (Bulgaria) and three Stakeholder Meetings (Poland, Turkey and Estonia).⁹⁸ As outlined in the programme's terms of reference, the contractor was also required to:

- Include the identified good practices in the existing inventory of good practices for disaster prevention;
- Organise a general lessons learnt meetings on peer reviews with the all the reviewing experts, contact points from the reviewed countries and delegates from all participating states;
- Prepare synthesis analytical reports, including recommendations on how to improve the reviewing frameworks and the peer review process; and
- Design and implement a system for evaluation of the peer reviews, including through surveys.

The peer review programme was discussed at Civil Protection Committee meetings, e.g., following the pilots in Finland⁹⁹ and the UK¹⁰⁰ and for the peer review in Bulgaria¹⁰¹. A lessons learnt meeting on the peer review programme 2015-2016 took

⁹⁵ Countries had the possibility to volunteer to be reviewed under two types of peer reviews: a general peer review of disaster risk management / civil protection policy, or a thematic peer reviews of EU civil protection / disaster risk management priorities (risk assessment, risk management capabilities, preparedness strategies)

⁹⁶ See: <http://www.falck.nl/nl/peerreviews/publications/peerreviewreports/>

⁹⁷ This website can be found here: http://www.falck.nl/nl/peerreviews/pr_programme/

⁹⁸ See: <http://www.falck.nl/nl/peerreviews/publications/articles/>

⁹⁹ 5th Civil Protection Committee meeting:

http://ec.europa.eu/transparency/regcomitology/index.cfm?do=search.documentdetail&Dos_ID=10022&ds_id=36043&version=1&page=1

¹⁰⁰ 8th Civil Protection Committee meeting:

http://ec.europa.eu/transparency/regcomitology/index.cfm?do=search.dossierdetail&Dos_ID=11232&dos_year=2015&dc_id=

¹⁰¹ 12th Civil Protection Committee meeting:

http://ec.europa.eu/transparency/regcomitology/index.cfm?do=search.dossierdetail&Dos_ID=12986&dos_year=2016&dc_id=

place in Brussels on 11 October 2016. Several good practices and key recommendations were identified, particularly around the dissemination of results of peer reviews at national, regional or local level. While the remaining three activities have been completed, the results did not appear on the website of the contractor during the timeframe of the evaluation, highlighting an issue on the visibility and accessibility of project results.

The system, whereby a private company is involved in running the programme, is currently under review. In view of the results of the peer review programme, the Commission should consider undertaking follow-up peer reviews (possibly on a smaller scale) to assess how the selected Participating States and third countries used findings and recommendations and whether they helped achieve the objective of a resilient society and a sustained national policy dialogue.

2.1.6.2 Prevention and preparedness ('advisory') missions

The UCPM has carried out prevention and preparedness missions in emergency situations, supported Participating States or third countries in undertaking prevention and preparedness measures and provided expert advice through the deployment of an expert team. These missions can be requested by a Participating State, international organisation or third country. However, funding is limited and priority is given to requests from Participating States and enlargement countries. Twelve missions were carried out during 2014-2016, with EUR 230,000 allocated and EUR 154,000 committed over the period 2014-2016.

There were some concerns about these missions and the process of identifying the Participating States or third countries for which such missions are organised. While selection is based on requests by Participating States or third countries themselves, it is not clear how priorities are established and/or how third countries are invited to request such support. The extent to which third countries are aware of the possibility of inviting an EU advisory mission, and whether some third countries are more aware of the possibility of such a mission than others because of formal or informal communication channels, are areas of concern. It is also not clear how these missions complement other mechanisms for building prevention and preparedness capacity in third countries (such as through PPRD (funded under IPA and ENI), UNEP and DIPECHO).

2.1.6.3 Lessons learnt programme

Article 13(d) of the Decision outlines possible activities that could be implemented under the programme, inter alia, the promotion of the implementation of lessons learnt for the development of activities within the disaster cycle; and development of methods and tools for gathering, analysing and promoting lessons learnt. DG ECHO implemented lessons learnt and technical workshops following the activation of the UCPM on a case-by-case basis, depending on the disasters. EUR 3.7 million was allocated to peer reviews during 2014-2016, with EUR 3.65 million committed over the same period.

The stakeholders consulted generally considered the lessons learnt programme well-implemented. There are positive examples of both formal (written) identification of lessons learnt and more informal settings where lessons were identified following training, exercises or response operations. Such identification is carried out across activities, as well as in official venues (such as Civil Protection Committee meetings). There are, though, still key challenges in how to carry out lessons learnt exercises consistently after each response operation, training and table top or module exercise.

The three case studies all found that lessons learnt were not consistently identified or perceived to have been identified.¹⁰² The main concern to the Commission and Participating States appears to be the implementation of lessons learnt. This is partly due to the number of potential lessons identified, not all of which have the same priority or importance or even feasibility for follow-up and implementation.

2.2 Monitoring arrangements

The existing monitoring arrangements are limited and do not allow for a comprehensive follow-up of actions undertaken as part of the mechanism. Monitoring on progress is based on the four indicators listed in Article 3 of the Decision. The UCPM uses the following evidence for monitoring progress against the indicators:

- A number of Participating States report on the **implementation of the disaster prevention framework**¹⁰³ by providing summaries of their NRA and an assessment of risk management capabilities. Making available such summaries is regularly followed up and is measured. However, this evaluation argues that other indicators should be used as well to measure progress in implementing the disaster prevention framework.
- **Progress in increasing readiness to disasters**¹⁰⁴ is measured by counting the number of response capacities registered. Nonetheless, the relative limitations in extracting data from the information and communications exchange tool CECIS undermines effective monitoring. The way experts are registered in the system (e.g. the current system links expert names to their CVs; but does not permit a quick selection of those with the most relevant experience and expertise). The limitations of CECIS were also highlighted in the report on the UCPM by the European Court of Auditors (ECA)¹⁰⁵ and further corroborated during stakeholder consultations.
- **Progress in improving the response to disasters**¹⁰⁶ is not comprehensively reported due to the challenges in measurement and the large differences between individual response operations. However, this evaluation has provided evidence on the average speed of response in section 2.1.4.5¹⁰⁷.
- **Progress in increasing public awareness and preparedness for disasters**¹⁰⁸ is not regularly measured. The Eurobarometer does however support DG ECHO in assessing citizens' knowledge and awareness of the UCPM, but the application of Eurobarometer is not due to UCPM itself.

The Decision may not be the appropriate place for specifying these monitoring indicators. Specifying indicators in a legal instrument may reduce the incentive for reporting *beyond* the mandatory information and data requested. Additional key performance indicators (KPIs) for measuring the functioning of all aspects of the UCPM

¹⁰² The evaluation could not establish the number of lessons learnt workshops or sessions organised for the various activities as over 2014-2016 such information was not systematically collated by DG ECHO.

¹⁰³ (a) progress in implementing the disaster prevention framework: measured by the number of Participating States that have made available to the Commission a summary of their risk assessments and an assessment of their risk management capability as referred to in Article 6;

¹⁰⁴ (b) progress in increasing the level of readiness for disasters: measured by the quantity of response capacities included in the voluntary pool in relation to the capacity goals referred to in Article 11 and the number of modules registered in the CECIS;

¹⁰⁵ European Court of Auditors, Special Report (2016), Union Civil Protection

Mechanism: the coordination of responses to disasters outside the EU has been broadly effective

http://www.eca.europa.eu/Lists/ECADocuments/SR16_33/SR_DISASTER_RESPONSE_EN.pdf

¹⁰⁶ (c) progress in improving the response to disasters: measured by the speed of interventions under the Union Mechanism and the extent to which the assistance contributes to the needs on the ground

¹⁰⁷ The report of the European Court of Auditors provides an overview of the average speed of response for the three response operations covered by the report.

¹⁰⁸ (d) progress in increasing public awareness and preparedness for disasters: measured by the level of awareness of Union citizens of the risks in their region.

would enhance the quality of monitoring data. Monitoring human resources allocations would be helpful for assessing the management of the UCPM and its components. Data on human resources deployed by DG ECHO could not be obtained within the timeframe of the study.

Existing output for monitoring UCPM progress

The planning and reporting process of the UCPM comprises an annual report on the EU humanitarian aid and civil protection policies and their implementation. However, the sections on civil protection are rather brief (i.e. around 7 pages). To date, the UCPM has published two such reports, one for 2014¹⁰⁹ and one for 2015¹¹⁰, the former published in August 2015, the latter in December 2016.

Other reports include monthly status reports on the EoE programme, an annual interim report, a bi-annual final report, and the Field Reports from the individual exchanges provided by participants voluntarily (these Field Reports are provided for 75% of individual exchanges).

Other reports include a European Commission report on progress and gaps in the European Emergency Response Capacity.

There are no monitoring reports on progress against the objectives of the Decision for the specific components of UCPM¹¹¹.

CECIS monitoring is weak, with no detailed reports or management information available on the operational efficiency of the different steps of an emergency response. Improvements to the functionality of CECIS are planned for 2017-2019. These improvements provide a basis for aggregated performance information, as suggested as part of the ex-post evaluation of the CPM in 2014. A search tool allowing for the selection of specific items or a disaggregation of existing data would improve monitoring. Within the current system extracting such information is possible but time-consuming, thus limiting the likelihood of regular analyses (in view of the time and resources needed).

In order to improve monitoring of achievement of the specific objectives, the monitoring framework should abide to the following principles:

- Use SMART indicators;
- Use easy to collect data (i.e. not requiring heavy administrative costs); and
- Indicate a system or tool for each element for which data is collected and reported on.

Table 4 provides potential indicators and a list of data sources with relevant information on the current and suggested monitoring indicators. The indicators should be complemented by qualitative information and narrative and their monitoring would help in establishing a baseline.

Table 4. Monitoring indicators and indicative data sources

The UCPM pillar	Current MI	Suggested MI	Indicative data sources
Horizontal activities	None specific.	• Number of prevention and preparedness missions	Unified database to identify key

¹⁰⁹ See: http://ec.europa.eu/echo/files/media/publications/annual_report/2014/COM_2015_406_en.pdf

¹¹⁰ See: http://ec.europa.eu/echo/files/media/publications/annual_report/2015/en.pdf.

¹¹¹ Also highlighted by the European Court of Auditors, Special Report (2016), Union Civil Protection Mechanism: the coordination of responses to disasters outside the EU has been broadly effective http://www.eca.europa.eu/Lists/ECADocuments/SR16_33/SR_DISASTER_RESPONSE_EN.pdf

The UCPM pillar	Current MI	Suggested MI	Indicative data sources
		<ul style="list-style-type: none"> organised Number of requests by third countries for prevention and preparedness missions Number of peer reviews carried out, broken down by PS Number and share of UCPM activities for which lessons learnt were identified. 	findings from horizontal activities
Prevention	Number of PS that have made available to the Commission a summary of their risk assessments and an assessment of their risk management capability	<ul style="list-style-type: none"> Number and type of prevention projects Results of prevention projects per predefined typology Number of partnerships formed for running prevention projects [by PS covered] and share of projects where partnerships were formed 	Unified database allowing to identify prevention projects per type of activity (e.g., networking, research project, EWS), amount of budget and type of results achieved.
Preparedness	<ul style="list-style-type: none"> Quantity of response capacities included in the Voluntary Pool in relation to the capacity goals Number of modules registered in the CECIS 	<ul style="list-style-type: none"> Number of experts trained per type of training for each year Number of participants for each training course Number of participants for each exercise Number of experts exchanged in the EoE programme per PS involved Number and type of capacities registered in CECIS and Voluntary Pool responding to the capacity goals Number of experts in CECIS, broken down by key characteristics (profiles, skills, languages spoken, nr of times deployed, trainings involved in) Number and type of modules exercised (registered in CECIS and Voluntary Pool) 	<ul style="list-style-type: none"> Unified database allowing easily to calculate number of activities per year, PS, and number of participants Unified database identifying PS, type of module, number of people, type of exercise, year
Response	<ul style="list-style-type: none"> Speed of interventions under the Union Mechanism The extent 	<ul style="list-style-type: none"> Time lapse between different stages of the assistance requested, offered and received Proportion of requests for assistance met (by type of request / module/ experts) 	<p>Information in CECIS should allow to easily extract information on:</p> <ul style="list-style-type: none"> Time lapse from-to:

The UCPM pillar	Current MI	Suggested MI	Indicative data sources
	to which the assistance contributes to the needs on the ground	<ul style="list-style-type: none"> • Number of experts deployed per number and type of trainings attended • Number and type of modules used in each response operation (and their staff involved) • Typology of in-kind assistance and numbers provided for each response operation 	<ul style="list-style-type: none"> request/ offer/ offer accepted/ capacity departed/ capacity arrived • Type of assistance requested/ offered/ received
Public awareness	Level of awareness of Union citizens of the risks in their region	<ul style="list-style-type: none"> • Share of Union citizens aware of the risks in their MS and region • Share of Union citizens aware of the mechanism • Number and type of public awareness activities supported by the mechanism 	<ul style="list-style-type: none"> • Eurobarometer survey collecting specific information

2.3 The efficiency of the UCPM and its activities

Efficiency measures the extent to which the costs of the actions undertaken by the UCPM are justified compared to the benefits. After reviewing financial allocations and absorption of funding, this section considers the cost-effectiveness of UCPM actions in terms of implementation effectiveness, resource allocation and the impact of the introduction of the new Decision, and areas of main concern in efficiency.

There are no activities where overall benefits are considered lower than their costs, though the information on the outputs and outcomes of some activities should be improved in order to validate this. Funding for UCPM activities is generally perceived as being sufficient and overall cost-effective by the stakeholders consulted.

There were differences in the costs of actions undertaken by Participating States, particularly in relation to transport reimbursements, (see sub-section 2.3.3). The specific areas of transport reimbursements where there are potential issues around cost efficiency are:

- Deployment of modules.
- Pooling of resources between Participating States;
- The use (or lack thereof) of the transport broker;
- In-kind transport assistance, particularly the method of transport used for response operations in Europe (planes or trucks).

2.3.1 Financial allocations and implementation of EU funding under the UCPM

In order to provide context, this sub-section outlines the overall financial allocations to each of the main pillars.

Nearly EUR 131 million was allocated to the UCPM during 2014-2016. Prevention and preparedness inside the EU was allocated between 59 per cent and 74 per cent of funding over these years. The planned budget for the UCPM is presented in Table 5.¹¹²

Table 5. Planned budget for the UCPM 2014-2016 (million EUR)

Budget line	2014	2015	2016
23030101 - prevention and preparedness - Inside the EU	27.6	29.1	28.0
23030102 - prevention and preparedness - Third countries (outside the EU)	4.0	5.5	5.6
23030201 - response inside the EU	1.1	0.7	2.5
23030202 - response outside the EU	11.1	13.6	3.1
Total	43.8	49.09	38.9

Source: DG ECHO, ICF elaboration

A comparison between the planned budgets for 2007-2013 and 2014-2016 helps in showing the shift in priorities for the mechanism during different periods.

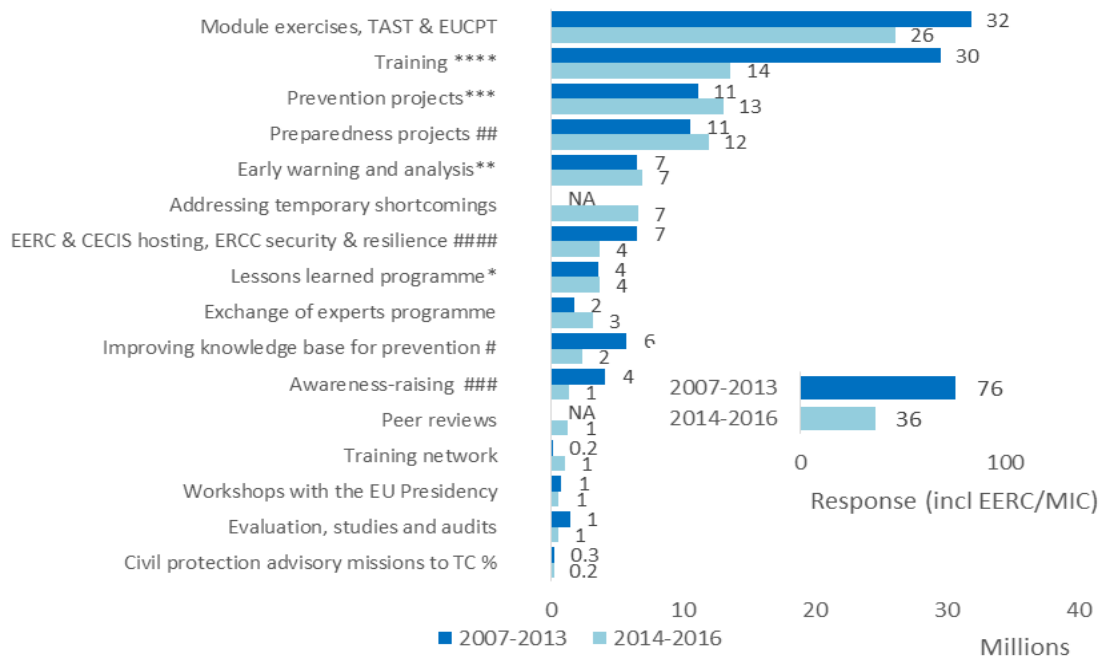
Prevention and preparedness

Figure 18 compares overall allocations and Figure 18 shows the average annual allocations during the periods. While direct comparison is difficult because of the

¹¹² Differences of final planned figures with the annual work programmes can be explained by funds received from EEA countries (Norway and Iceland) for civil protection actions. There are also transfers of unused funds from the previous year, resulting in an available amount higher than what is set in out in the annual work programme.

differences in budget lines between the periods, there was an increase in funding for nearly all budget lines, including for prevention and preparedness projects, training and exercises, the training network, the lessons learnt programme and the EoE programme. The increase in funding over 2014-2016 would have to be matched by an increase in outputs, outcomes and quality to ensure that overall costs versus benefits are not lower than over 2007-2013.

Figure 18. Total planned budget for the periods 2014-2016 and 2007-2013 according to budget lines (million EUR)



Source: DG ECHO Annual Work Programme, ICF elaboration

Notes:

*technical meetings and workshops, training and exercise observation missions (2014-2016)

& other prevention, incl. EU overview of risks; Support activities for prevention, Prevention and other actions (2007-2013)

** Early Warning workshop (2007-2013)

*** Cooperation projects on prevention (2007-2013)

**** European Virtual Academy (2007-2013)

Cooperation projects on preparedness, support activities for preparedness (2007-2013)

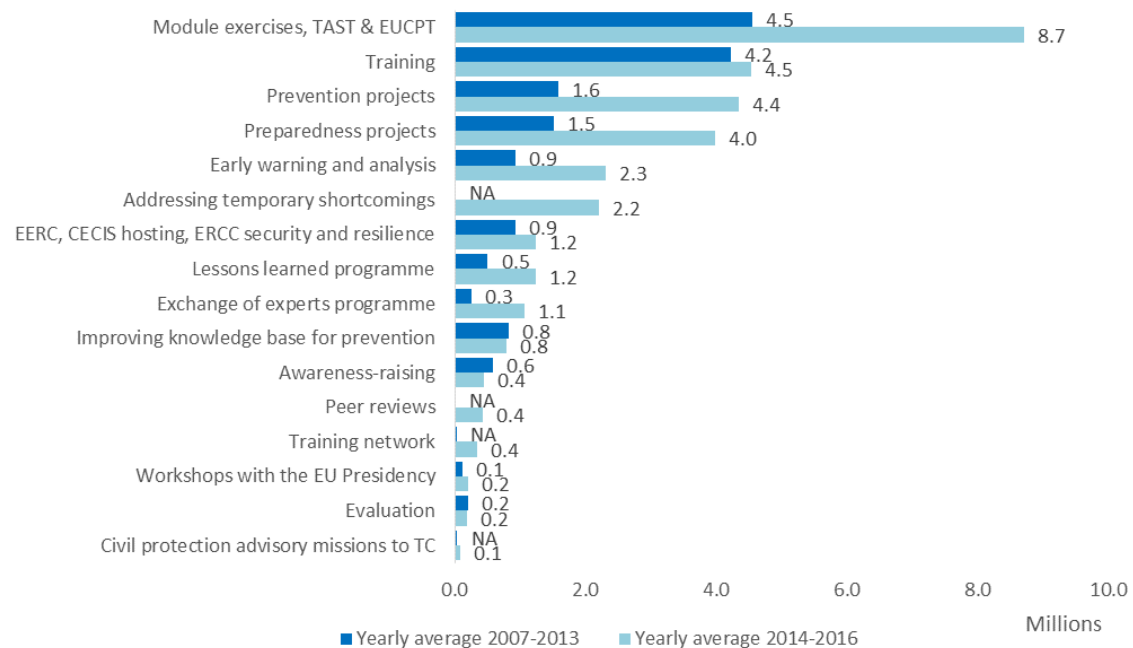
% Training, assessment and observation missions

Dissemination of good practices (2014-2016); Communication strategy, CP Forum (2007-2013)

MIC, CECIS workshops and training, CECIS hosting, MIC security and resilience, maintenance of CECIS and MIC/ERCC (2007-2013)

Response: Transport grants, logistics and procurement, Dispatching expertise (expert missions) (2007-2013)

Figure 19. Average yearly budget for the periods 2014-2016 and 2007-2013 according to budget lines (million EUR)



Source: DG ECHO Annual Work Programme, ICF elaboration

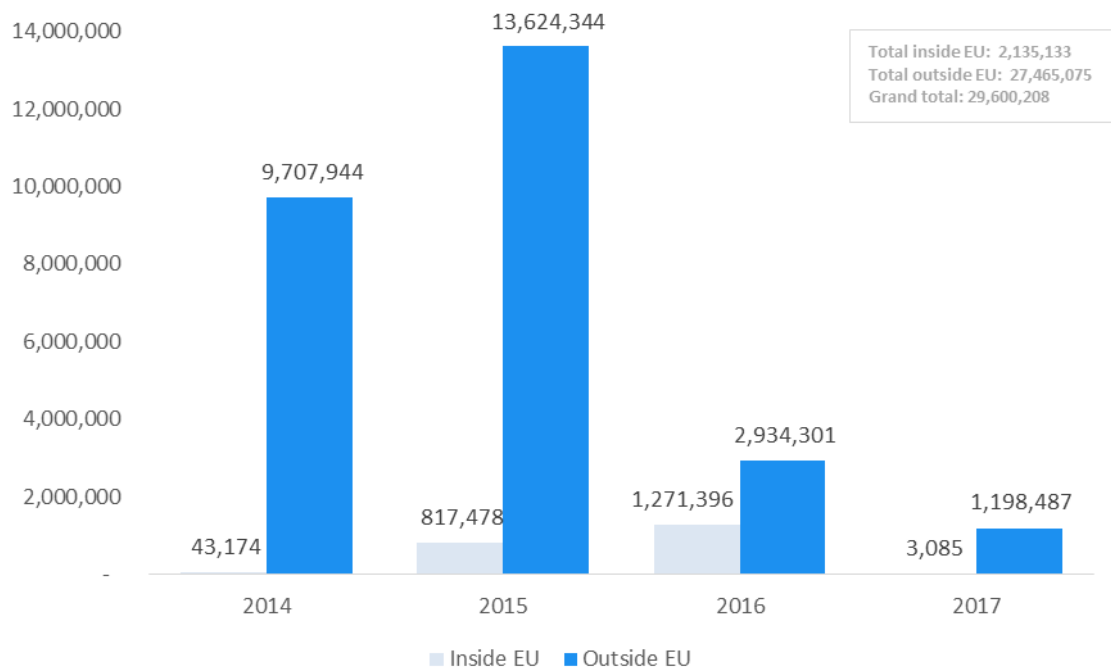
The division of annual budgets into budget lines may restrict flexibility in case of emergencies or the need to re-allocate budgets. The detailed nature of these budget lines and detail laid down in Annual Work Programmes could provide constraints to responding to emergencies requiring major resource allocations.

Response

In the area of response, the information available on the funding of the UCPM concerns transport reimbursements. Euro 29.6 million was requested by Participating States as a net contribution between 2014 and 2017, of which more than 93 per cent involved transport outside the EU.¹¹³ As indicated in Figure 20, there was a big reduction in contributions requested in 2016 and (partially) in 2017, after a peak of reimbursements requested in 2015 (EUR 13.6 million).

¹¹³ Due to the lack of data on EC net contribution for transport grants, the analysis was carried out on “net contribution requested” by Participating States

Figure 20. Amount of EU net contribution requested for transport inside/ outside the EU - 2014-2017 (Euro)



Source: DG ECHO, ICF elaboration

Budget implementation over 2014-2016

The implementation of planned funding for prevention and preparedness activities was between 70 per cent and 75 per cent during 2014-2016, as shown in Table 6. The reason not all funding was committed to activities was mostly due to ongoing activities not having been fully implemented.

While the implementation rate in itself does *not* indicate cost-effectiveness, differences in financial implementation can increase understanding of how over- and underspending may relate to specific obstacles or deficiencies in the programme or its planning (and backs up findings under Section 2.1 on effectiveness). Underspend of planned budgets because of incorrect forecasts or estimates could lead to financial waste (if funds are not allocated elsewhere), which, in itself, is a non-efficient use of resources. However, financial data on UCPM activities show several cases of overspending and, therefore, high percentages of implementation rate.¹¹⁴ For example, as shown in Table A10.2 in Annex 10, there is apparent overspend in prevention and preparedness projects implemented inside the EU, with overspending peaks of almost 200 per cent.

Data on commitments for prevention and preparedness actions show that the absorption rate – the amounts committed as a share of planned amounts – for 2014-2016 was 72 per cent. This figure masks relevant fluctuations per year and budget type (inside the EU or outside the EU). For response overall absorption was 99.85 per cent.

¹¹⁴ In light of the lack of data on budget spent, the implementation rate calculated as part of this analysis refers to the difference between budget planned and committed.

Table 6. Absorption rate for prevention, preparedness activities and response of the UCPM, 2014-2016

Budget line	2014	2015	2016
Prevention and preparedness Inside EU	73%	67%	81%
Prevention and preparedness Outside EU	60%	81%	83%
Response	102%	99%	97%
Total	71%	75%	70%

Source: DG ECHO, ICF elaboration

While budgetary data cannot be compared across all years because of the way in which the budget was allocated, 2014-2016 gives a good overview of budget implementation. For training and exercises, the implementation rates during this period were 91 per cent and 80 per cent respectively, compared to 69 per cent for the EoE programme.

For awareness raising activities, the implementation rate was 79 per cent during 2014-2016. Findings on awareness raising activities (see Section 2.2.4 on awareness raising activities) indicate room for improvement.

The implementation rates for peer reviews and prevention and preparedness missions (advisory missions) were 50 per cent and 67 per cent respectively. The figures suggest that not all expected activities in this area were implemented.

There were no data available for commitments or actual expenditure for response activities inside or outside the EU.

2.3.2 Sufficiency of funding and efficiency of the actions undertaken under the UCPM

Stakeholders considered that the allocated resources were sufficient to carry out planned and scheduled activities under the UCPM, and to cover the costs of the organisations involved.

Actions undertaken under the UCPM were generally *perceived* to be efficient. However, constraints on accessing monitoring data limited the scope for comprehensive assessments of efficiency.¹¹⁵ Following consultations with civil protection authorities, the ex-post evaluation in 2014 concluded that the **ERCC** (and its predecessor MIC) contributed to more effective, efficient, flexible and rapid response operations. This view was agreed by 94 per cent of 17 respondents. This interim evaluation found that the ERCC contributed to efficient response coordination through its role in facilitating coordination in response to crises. These responses would probably have been less efficient without it (see also Section 2.6 on EU added value). The ability to coordinate the response of several countries and to build capacity through large-scale programmes of training and exercises should lead to efficiencies.

The Voluntary Pool was also set up to further the move from a reactive system of ad hoc coordination to a pre-planned, more operational and predictable system. This was also highlighted in the European Court of Auditors Report (ECA).¹¹⁶ While data are not

¹¹⁵ Monitoring constraints include limited available information on actual expenditure (rather than commitments) and the fact that many activities are on-going. Data on human resources at DG ECHO – relevant for understanding the cost-effectiveness of the management of the UCPM – could not be obtained during the period of the evaluation.

¹¹⁶ European Court of Auditors, Special Report (2016), Union Civil Protection.

generally available to compare relative efficiency due to the different nature of budget lines,¹¹⁷ the growth of organisational capacity of the ERCC (compared to the MIC) facilitated the possibilities for efficiency gains.

However, a quarter to more than one-third of respondents highlighted obstacles that may impact on efficiency. These included budget cuts at national level and administrative obstacles linked to the different types of financial interventions.

The administrative costs of the UCPM were perceived by the overwhelming majority of civil protection authorities as acceptable. Project coordinators overwhelmingly judged administrative arrangements to be accessible and easy to follow. A quarter of coordinators did consider administrative costs to be high considering the funding received and that the period for the implementation of the project was challenging. Several suggested that a reduction of administrative requirements and costs, particularly for the preparation of financial reports, would be helpful since it may be disproportionate for smaller organisations.

All but one project coordinators highlighted that monitoring and supervision carried out by the European Commission helped to improve the cost-effectiveness of the their project. Potential areas for improvement mentioned by two Project Coordinators include better flexibility in budget planning and a more clearly defined monitoring and supervision structure, which would help the project to conform to Commission guidelines.

When considering the various components of the UCPM, the evaluation found potential areas of concern on efficiency in relation to several of them. This mainly concerned the following components:

- The UCPM training programme (see below);
- Transport reimbursements (see section 2.3.3);
- Lessons learnt programme: there has been an increase in budget for the programme but outcomes of the programme are not clear (as shown in section 2.1) and the benefits compared to the costs are not sufficiently demonstrated;
- Prevention and Preparedness missions: relatively low implementation of funding highlighted some of the challenges in carrying out the activity. The findings on the effectiveness of the missions (in section 2.1) show that the benefits of the missions are not sufficiently demonstrated;
- The ERCC: the overall growth in the overall capacity of the ERCC is positively demonstrated, but the lack of data on human resources deployed did not allow for an assessment of the efficiency of this component of the UCPM.

UCPM training programme

DG ECHO continually monitors course participation in the **UCPM training programme**. Table 7 shows that nearly 4,100 people have received training for at least one of the courses offered since 2010, with more than 3,000 benefitting from training since 2013 and 2,200 since 2014. The average number of participants trained annually has risen in 2014-2016 compared to 2007-2013. The average cost per person trained per year fell by about 3 per cent each year. While the large number of persons trained has led to a minor decrease in the average cost of persons trained, the low number of persons trained that are subsequently deployed highlights an important concern in relation to the overall body of experts. The benefits of the

Mechanism: the coordination of responses to disasters outside the EU has been broadly effective, p.9:

http://www.eca.europa.eu/Lists/ECADocuments/SR16_33/SR_DISASTER_RESPONSE_EN.pdf

¹¹⁷ It should also be noted that for 2007-2013 no data on financial expenditure was obtained, while for 2014-2016 there was only data on commitments rather than actual expenditure. A comparison across different types of cost types would therefore have been misleading.

training programme also lie in enhancing overall capacity across the EU but the costs but the cost of the programme per person trained that is actually deployed is relatively high, at EUR 117,000. Further recalibrating the programme towards the quality of experts and the ability to deploy experts could address some of the concerns in regards to the costs versus benefits of the training programme.

Table 7. Comparison of training activities and related metrics between 2007-2013 and 2014-2016

	Total 2007-2013	Average per year	Total 2014-2016	Average per year
Budget ¹¹⁸ , EUR	28,770,000	4,110,000	13,298,153	4,432,718
Participants	4,657	665	2,221	740
Deployed experts	246	35	NI	NI
Cost per person trained, EUR	NA	6,178	NA	5,987
Cost per person deployed	NA	117,438	NI	NI

Source: DG ECHO, ICF elaboration; Note: NI=No information, NA=Not applicable

2.3.3 Variations in the costs of the actions undertaken by Participating States through transport reimbursements and their potential cost-effectiveness

The cost effectiveness of transport reimbursements are an area of concern. Stakeholder consultations highlighted differences in the costs of actions undertaken by Participating States, particular in relation to training and transport reimbursements. Variations in cost claims for the transport of modules or in-kind assistance during response operations are reported in the section.

This sub-section is structured around the three different types of transport within the mechanism:

- Transport grants;
- Use of the transport broker; and,
- Pooling of equipment or transport resources.

Transport grants

Reimbursements for transport resources are co-financed at two main rates - 55 per cent¹¹⁹ and 85 per cent¹²⁰. DG ECHO may provide full financial support for transport resources (100 per cent¹²¹) if needed to ensure the effective pooling of Participating

¹¹⁸ For 2007-2013 data is based on planned budget, whereas for 2014-2016 data is based on financial commitments.

¹¹⁹ General of transport resources, Art.23(2).

¹²⁰ Art.23(3)(a) the costs relate to the transport of the capacities pre-committed to the voluntary pool in accordance with Article 11; or (b) the assistance is necessary to address a critical need and the assistance is not, or not sufficiently, available in the voluntary pool.

¹²¹ Art.23(4). The Union financial support for transport resources may, in addition, cover a maximum of 100 % of the total eligible cost described under points (i), (ii) and (iii) if this is necessary to make the pooling of Participating States' assistance operationally effective and if the costs relate to one of the following:

(i) the short-term rental of warehousing capacity to temporarily store the assistance from Participating States with a view to facilitating their coordinated transport;

(ii) the repackaging of Participating States' assistance to make maximum use of available transport capacities or to meet specific operational requirements; or

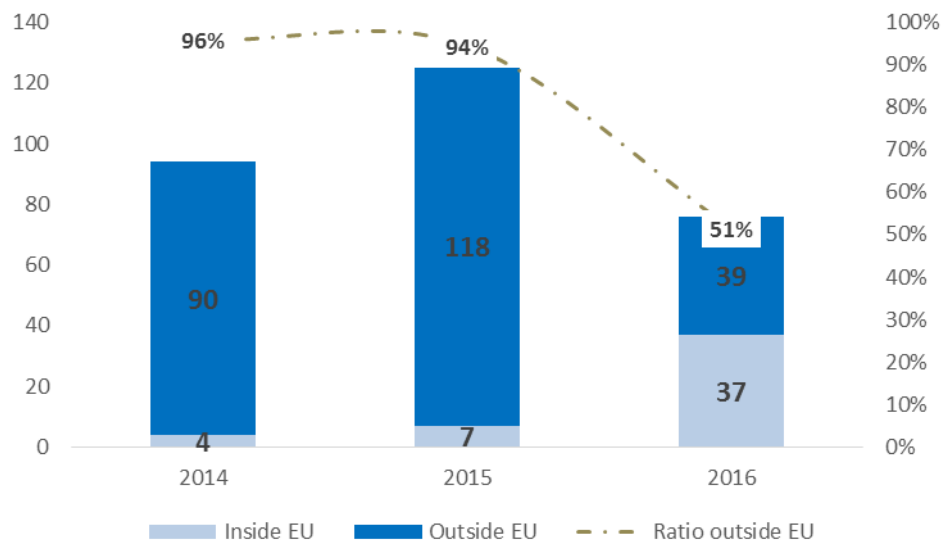
(iii) the local transport of pooled assistance with a view to ensuring a coordinated delivery at the final destination in the requesting country.

States' operational assistance and if the costs relate to short-term rental of warehousing capacity, repackaging of Participating States' assistance and local transport of pooled assistance. Transport grants are the most common form of financial assistance provided to Participating States.

Between 2014 and 2016, the UCPM funded 295 transport reimbursement grants. Some Participating States have received higher transport reimbursements than expected compared to their relative presence in the EERC. But actually, certain Participating States with a relatively high number of available modules applied for fewer grants.

Figure 21 indicates that there were 295 operations where a transport grant was requested¹²², with a peak at 125 in 2015. In 2016, more of these reimbursements were requested for activations of the UCPM within the EU. This change in trends is largely because of the relatively few response operations outside the EU and the refugee emergency response in the EU, particularly in Greece.

Figure 21. Number of transport grants by year (left axis) and the ratio of transport grants for operations outside the EU (right axis), 2014-2016



Source: DG ECHO, ICF elaboration

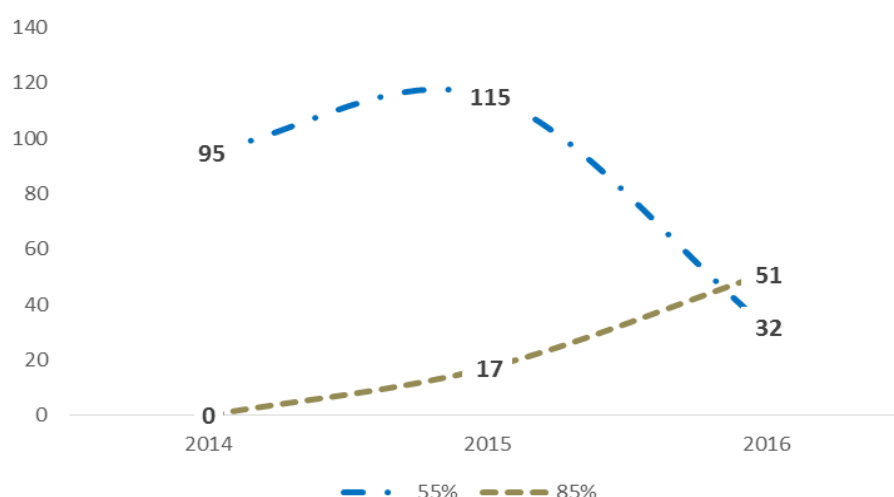
The co-financing rate of 55 per cent applied in 242 cases during 2014-2016, as opposed to 68 for the 85 per cent co-financing rate, as shown in Figure 22.

In 2016 use of the co-financing rate of 85 per cent was more widespread than use of the rate of 55 per cent for the first time since the start of the Voluntary Pool. In two 2016 crises, DG ECHO declared items requested as 'critical needs'. Consequently, transport of these items was co-funded at 85 per cent, possibly explaining why there were more grants funded at 85 per cent. Despite the Voluntary Pool being established in 2016, it seems to play a limited role in this increase.

The Union financial support under this paragraph shall not exceed EUR 75 000 in current prices for each activation of the Union Mechanism. In exceptional cases, that ceiling may, by means of implementing acts, be exceeded. Those implementing acts shall be adopted in accordance with the examination procedure referred to in Article 33(2).

¹²² Requests subsequently cancelled were taken out for this analysis.

Figure 22. Number of transport grants by co-financing rate, 2014-2016



Source: DG ECHO, ICF elaboration

Participating States requested transport contribution of EUR 29.6 million, with a peak of funding reaching more than EUR 14 million in 2015. Available data show discrepancies of net contribution requested by/granted to Participating States in a number of cases.¹²³ These discrepancies relate to average costs for similar outbound and return flights.¹²⁴ Such discrepancy cannot merely be explained by the differences in the distance between the countries in question. However, there are no comparable data with which to identify other causes for such difference.¹²⁵ The reliability of this comparison (and average costs calculated) might be affected by the different types of planes deployed as well as the number of personnel deployed or other transport-related factors.

There appear to be discrepancies in the net contribution granted to two Participating States for the deployment of similar water purification modules during the Bosnia and Herzegovina flooding (see Table 8). These discrepancies could be partially explained by the different geographical distance between the Participating States and the emergency scenario.¹²⁶ Inferences should be made with caution, however, in view of limited available details about the assistance provided, as well as due to other reasons (the weight of equipment transported, which might impact on overall transport costs).

Table 8. Response to Bosnia and Herzegovina flooding

Country	Description of assistance	Co-financing rate	Net contribution requested, EUR
PS1	Water purification unit. Distance: >2,000 km	55%	~ 20,000, or ~EUR 10 per km
PS2	Water purification unit.	55%	~ 2,500, or ~EUR 5 per km

¹²³ It was not possible to provide overall data on EC net contribution as there are many cases for which final invoicing has not yet been processed.

¹²⁴ The average cost calculated also takes into account personnel. Croatia deployed 14 crew members while the total number of personnel sent by Italy was not reported.

¹²⁵ Distances calculated on the basis of Rome-Tel Aviv and Zagreb-Tel Aviv routes through <https://www.geodatasource.com/distance-calculator>. Discrepancies might also be related to different types of Canadair planes used. However, there is no comparable data available to produce a robust analysis.

¹²⁶ Distances calculated on the basis of Stockholm-Sarajevo and Budapest-Sarajevo routes through <https://www.geodatasource.com/distance-calculator>

Country	Description of assistance	Co-financing rate	Net contribution requested, EUR
	Distance: >500 km		

Source: DG ECHO, ICF elaboration

Evidence collated on transport costs may suggest that the use of road transport (such as trucks) for the transportation of in-kind goods during emergencies inside the EU may reduce costs for the mechanism. For example, during the Greece refugee emergency of 2015 and 2016, several Participating States committed resources (e.g. beds, mattresses, blankets, tents) that were transported on site. In two cases, air transport was used rather than trucks. The cost of the trucks is significantly lower than that of airplanes. While the evaluation was unable to assess the reason for overall differences in the costs of air and road transport of these specific items, the choice made for the transport method is relevant for better understanding how costs can differ between Participating States.¹²⁷

The European Commission has not yet reimbursed a relatively small number of grants to Member States. The available transport documentation shows that of the 307 grants assigned between 2014 and 2017, 21 (approximately 7 per cent of the total number of grants) have not yet been refunded to the relevant Participating States. The majority of pending reimbursements refers to 2016 grants (16), while almost all grants for 2015 (4 pending) and 2014 (1 pending) have been reimbursed. Delays are generally due to additional clarifications requested by the Commission to Participating States or due to late requests for reimbursement from Participating States (in some cases, two years or more– after the intervention).

The low minimum value of individual transport grant applications – at EUR 2,500 – impacts on the cost effectiveness of the action.¹²⁸ This requires the same administrative steps to be followed as grant applications of a much larger scale, thus have a negative impact on the efficiency of resources at EU and national level.

For such small reimbursements, administrative costs are relatively high compared to the individual sums involved. Data show that during 2014-2016, there were 42 contribution requests for values less than EUR 5,000, the lowest being EUR 2,572,¹²⁹ and a further 33 between EUR 5,000 and EUR 10,000.

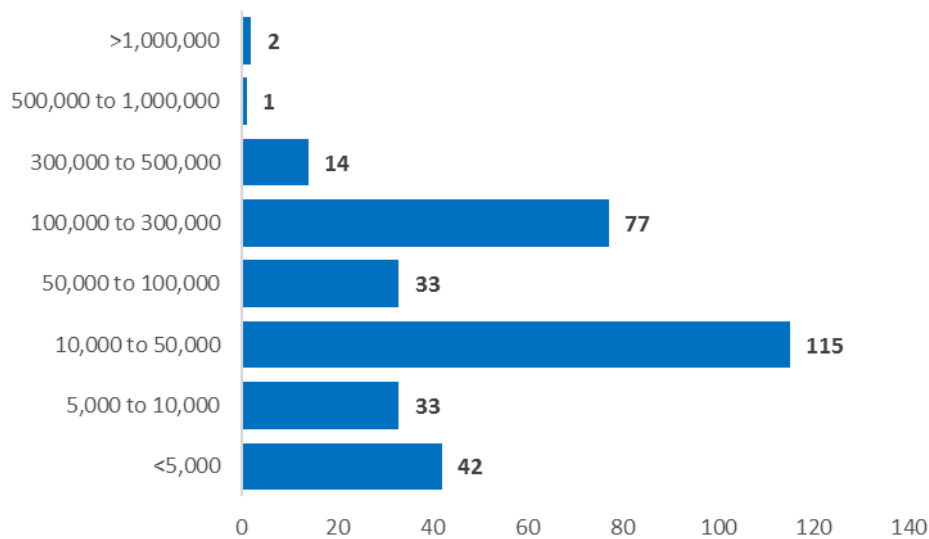
The largest request was for EUR 2.2 million, with most amounts ranged between EUR 10,000 and EUR 50,000. Considering that 24 per cent of grant applications (75) were less than EUR 10,000 (Figure 23), the average human resources required for small-value requests are less cost-effective than for higher requests for reimbursement.

¹²⁷ The existing mechanism for recording information about transport grants is used to show key information about every single request for reimbursement. Its purpose is not to compare the information between individual reimbursement claims. As such information is not requested to be part of cost claims (i.e. on invoices) these differences could not be further broken down via supporting evidence.

¹²⁸ Commission Implementing Decision, laying down rules for the implementation of Decision No 1313/2013/EU of the European Parliament and of the Council on a Union Civil Protection Mechanism and repealing Commission Decisions 2004/277/EC, Euratom and 2007/606/EC, Euratom, Art.53(5): Individual transport grant applications for which the Union financial contribution requested is less than EUR 2 500 are not eligible for Union co-financing, except if covered by the framework partnerships referred to in Article 51(3).

¹²⁹ Except for two grants of EUR 352 and EUR 569, probably covered by the framework partnerships referred to in Article 51(3).

Figure 23. Number of transport grants by size of the grant (based on net contribution requested), 2014-2016



Source: DG ECHO, ICF elaboration

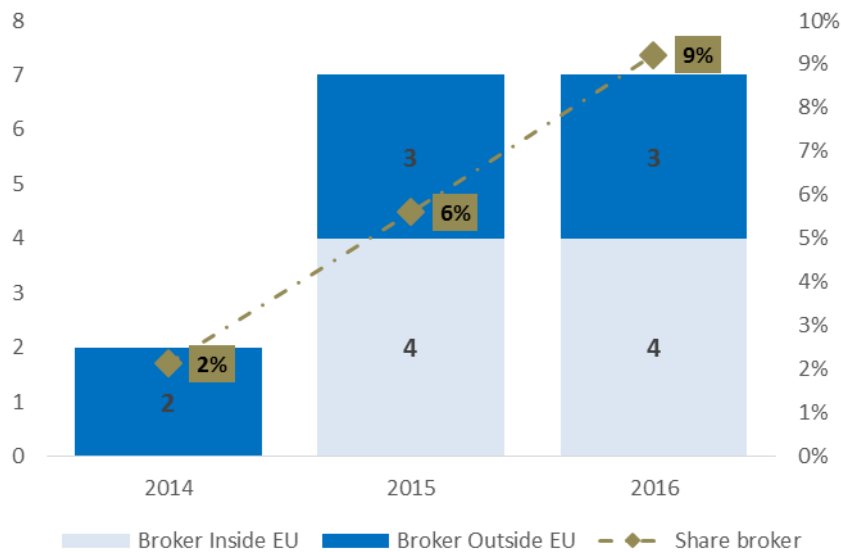
Use of the transport broker

In February 2013, DG ECHO designated a transport broker for the “Provision of transport and other logistic support services, in the EU and in third countries, in the framework of civil protection and humanitarian aid operations” with a maximum budget of EUR 15 million. This aimed to promote effectiveness and efficiency in disaster response through a 'real time information service concerning availability and cost of transport assets and other logistic support services for Civil Protection operations'¹³⁰ During 2014-2016, the fewer than 20 requests were made, although use is growing slowly. Growth is limited since Participating States work with their own contractors/brokers.

Figure 24 provides an overview of the number of response operations inside and outside the EU where the transport broker was used, and the relative share of its use compared to the total of both transport types (transport grants and the broker). In both 2015 and 2016, the broker was used during seven operations, although as the number of transport grants was lower in 2016, the share of operations where the broker was used was 6 per cent in 2015 and 9 per cent in 2016. In 2017, the broker has already been used five times and will most likely be higher than the previous three years.

¹³⁰ See also the 2012 call and tender specifications: <http://ec.europa.eu/echo/node/1499>

Figure 24. Number of response operations inside and outside the EU for which the transport broker was used (left axis) and the share of operations for which the broker was used (right axis), 2014-2016



Source: DG ECHO, ICF elaboration

Pooling of equipment or transport resources

The Decision facilitates the pooling of assistance from Participating States.¹³¹ Pooling of assistance can be a strong incentive in principle, but a potential obstacle in practice. It has only been used in a handful of cases¹³², because of the human resources and coordination efforts required to pool assistance resources are prohibitive. Some Participating States might want to be involved in pooling, but lack the ability to play a leading role (having limited transport or resources), and would depend on joining other Participating States that do have the resources and are willing to work with them.

Limited examples of pooling mean it is impossible to assess whether it is actually cost-effective. Combining resources appears – *a priori* – to be more cost-effective.

There is clear evidence in the documentation available that pooling in at least one emergency involved using aeroplanes. During this emergency, two Participating States used pooling to transport ground forest fire modules to the emergency area, while a third country went alone. On return, all three countries pooled resources.

Discrepancies can be seen in the net contribution requested for such pooling when comparing sums requested for the outbound air freight involving two Participating States (EUR 428,400) and the return flight where pooling was used by three Participating States (EUR 312,426¹³³). However, like-for-like comparison of reimbursement requests is not possible because the cost claims may include different cost types and are put together differently.

¹³¹ Article 18 (1a) and Article 23 (1a) of the Decision facilitates pooling of Participating States' assistance as eligible action: 'providing and sharing information on equipment and transport resources that Member States decide to make available, with a view to facilitating the pooling of such equipment or transport resource'.

¹³² The exact number of cases could not be established as such information is not currently recorded by DG ECHO. However, indicative data obtained during stakeholder consultations showed there are likely to have been only few cases of pooling.

¹³³ This net contribution requested figure is reported on the ECHO transport document.

However, evidence does suggest that the option of pooling *can* be cheaper when compared to the option of individual flights operated by each Participating State. Based on the pooling example available, the Commission saved money by pooling Participating States' resources. Without it, the amount claimed by each individual country would have been higher, as it would have included 85 per cent, 55 per cent and 55 per cent of the total cost of three separate flights instead of one-third of the total cost of pooling.

Despite the methodological obstacles in comparing transport costs based on different routes and type of planes, it appears that, overall, pooling can be the cheaper option compared to individual flights.

2.4 The relevance of the UCPM and its activities

This section considers how relevant the general and specific objectives of the Decision are to the needs of the EU, and assesses how well the UCPM reacted to the recommendations from the last ex-post evaluation in 2014. The 2014 evaluation examined the flexibility of the UCPM around emerging issues, the environment within which it operates and how well it integrated the latest scientific and technological research and development. It also analysed how far the UCPM's interventions and activities under the three pillars and horizontal activities met the needs of stakeholders/on the ground.

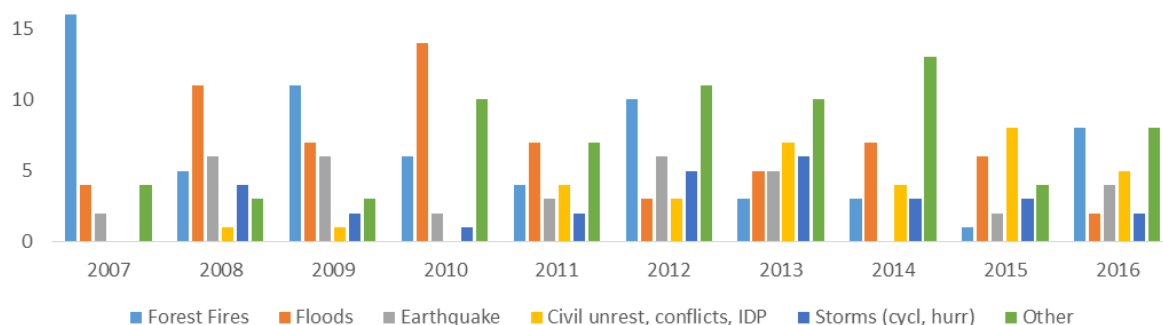
Overall, the objectives of the Decision are relevant to the needs of stakeholders in the EU. The mechanism is able to identify key disaster risks in the EU and overall capacity needs. However, there are challenges in identifying specific capacities and it is not clear how capacity goals and targets are set. This may reduce their relevance. Another challenge concerns how the UCPM can enhance its relevance in the context of different types of response operations, particularly the refugee emergency.

2.4.1 Relevance of the general and specific objectives of the Decision to current needs within the Union

Recent evolution of needs and priorities in the UCPM's pillars

Among the five types of emergency, floods and forest fires most often result in an activation, as shown in the Figure 25.

Figure 25. Evolution of hazards that lead to an activation of the UCPM, 2007-2016¹³⁴



Source: DG ECHO, ICF elaboration

The UCPM reflects the evolving needs of the civil protection sector. For example, the calls issued under the UCPM mirrored the change in the 'requirements' of the sector. The calls for experts as part of the exchange programmes increasingly relate to governance and policy expertise. This is also relevant to the response to the migration crisis where political negotiations played an important role. Emergencies have become more complex and require the deployment of teams with specific skills.

Expert needs are often linked to the specific type of emergency. This is illustrated by the Ebola emergency, which generated high demand for exchange of medical experts. The forest fires case study illustrated the increasing need for expertise in media communications during emergencies.

The general and specific objectives of the Decision correspond to the needs of the civil protection sector and that both the annual priorities of the mechanism and the target audiences of the different activities were considered as relevant by the stakeholders

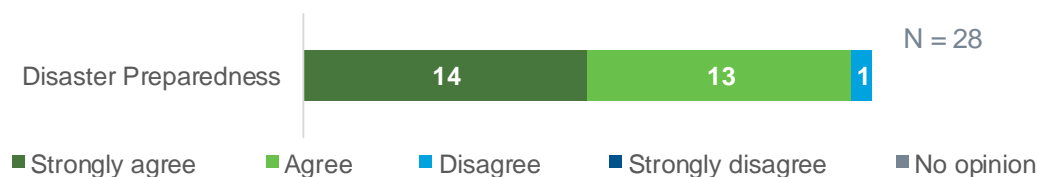
¹³⁴ Other include all categories that were below 20 for the period 2007-2016, this includes: Man made (expl, acc) (17 in the entire perio); Extreme weather/ Drought (14); Marine Pollution (oil spill) (12); Environmental accidents (10); Biological/medical (7); Volcano Eruption(6); Preparedness/ advisory (5)

consulted. Civil protection authorities generally reported that specific objectives of the UCPM are in line with the main needs of the civil protection/ disaster risk management in Participating States. Results of the Open Public Consultation also show that the Union Mechanism components fully or to a large extent address critical challenges faced by the EU today.¹³⁵

Specific Objective 1 of the UCPM Decision refers to achieving higher level of protection against disasters by preventing or reducing their potential effects. Civil protection authorities considered UCPM priorities set in relation to disaster prevention relevant to the current civil protection needs.¹³⁶ Furthermore, results of the Open Public Consultation show that Union Mechanism prevention activities take sufficient consideration of the impact of climate change and the management of slow-onset risks (e.g. drought),¹³⁷ and that activities such as Peer Review and/or Advisory Missions contributed to assessing the capability of a country to manage its risks from natural and/or man-made disaster.¹³⁸ Following the implementation of the Decision, the increased focus on prevention (as well as preparedness) was in itself a significant step towards improving the relevance of the mechanism. The disaster risk assessments carried by Participating States were seen as an important development to better align the level of preparation among Participating States.

The large majority of national civil protection authorities reported that the priorities related to disaster preparedness (**Specific Objective 2**) are relevant to address the current civil protection needs (Figure 26), and that UCPM activities are flexible in adapting to emerging and unanticipated needs.

Figure 26. Relevance of the preparedness priorities



Results of the OPC strongly support stakeholders' views, confirming that the Union Mechanism is addressing the most important risks related to disaster preparedness by supporting trans-national early warning systems (European Drought Observatory, European Flood Alert System, European Forest Fires Information System, etc.).¹³⁹ The EoE programme was considered by those involved to be flexible enough to respond to changing needs, although there is no evidence from other sources to corroborate this.

Specific Objective 3 (achieving a rapid and efficient response in the event of disaster or imminent disaster) also appears to be relevant to civil protection needs at EU or national level. Stakeholders consulted reported that the European Emergency Response Capacity (Voluntary Pool) is addressing all the main risks that Europe is facing today, and that the Union Mechanism has been flexible enough to cope with changing and/or emerging priorities in emergency management (e.g. migration crisis, Ebola, terrorism).¹⁴⁰ All national civil protection authorities surveyed reported that the

¹³⁵ As reported by the majority of respondents (73%/n=44)

¹³⁶ i.e. 27 out of 28 respondents to the survey.

¹³⁷ 95% of stakeholders considers that the UCPM prevention pillar takes into account the impact of climate change and the management of slow-onset risks to a large extent or to some extent

¹³⁸ Reported by 99% of OPC respondents

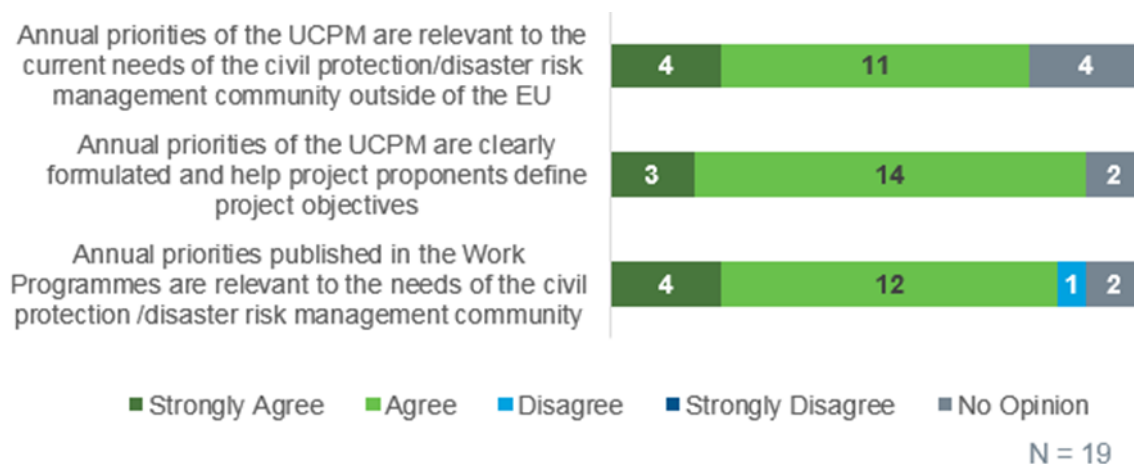
¹³⁹ Reported by 96% of OPC respondents

¹⁴⁰ Reported by an average of 97% of OPC respondents

UCPM disaster response priorities are relevant to address the current civil protection needs.

Similarly, a majority of Project Coordinators surveyed considered that the annual priorities published in the Annual Work Programmes are relevant to the needs of the civil protection/disaster risk management community both inside and outside the EU (see Figure 27), and that the annual priorities of the UCPM are clearly formulated, helping projects proponents to define project objectives.

Figure 27. Relevance of the annual priorities



Source: survey of prevention and preparedness project coordinators

Finally, survey results clearly show that the issues addressed by the UCPM continue to require action at the EU level (Figure 28). This might indicate that the issues outlined in the Decision are relevant to the needs of the civil protection sector and the mechanism should continue with the thematic coverage indicated in its legal basis.

Figure 28. The issues addressed by the UCPM continue to require action at the EU level



Source: survey of civil protection authorities

2.4.2 Extent to what the UCPM was able to capitalise on and take up past recommendations, issues identified, evaluation findings and lessons learnt

The UCPM was able to capitalise on and implement some of the recommendations made as part of the Impact Assessment (2011)¹⁴¹ and the Ex Post Evaluation of the Community Civil Protection Mechanism (2007-2013)¹⁴². For example, the introduction of the NRAs has improved the emphasis on prevention activities while the development of the Voluntary Pool (despite the existence of some capacity gaps and shortcomings in the certification procedure) helped improve preparedness under the

¹⁴¹ Develop a general prevention policy framework at EU level; Develop and implement national risk management plans via dedicated funding; Establish national disaster management plans; Develop a general preparedness policy framework at EU level and dedicated funding; Develop a voluntary pool with EU co-financing; Develop mechanisms on how to fill in the capacity gaps within EU; Increase EU maximum co-financing for the most urgent priority needs; and Simplify transport administration.

¹⁴² Integration of prevention activities in the national civil protection policies linking prevention with preparedness and response activities; Raise awareness and promote EU Member States' cooperation in the field of civil protection; and Improve the uptake of lessons learnt in subsequent actions.

UCPM and to raise capacities. On the other hand, some of the specific recommendations made in past assignments were not fully implemented. This includes implementing lessons from the lessons learnt programme. The emphasis of UCPM activities linked to the prevention pillar was also identified as requiring improvement.

The UCPM addressed many needs identified as part of the aforementioned impact assessment and ex-post evaluation of the mechanism, justifying intervention at EU level.

Regarding **disaster prevention**, Article 6 of the Decision includes provisions encouraging Participating States to develop risk assessments as well as to develop and refine their disaster risk management planning at national and relevant subnational level. It encouraged Member States to make available a summary of NRAs to the Commission before December 2015. The UCPM ensured relevance of disaster prevention by making available the summaries of the NRA.

Regarding **disaster preparedness**, the impact assessment suggested the development of a general EU preparedness policy framework and dedicated funding. This has been implemented through Article 7 of the Decision, which establishes the Emergency Response Coordination Centre (ERCC). Article 8, outlines the role of the Commission in managing the ERCC and all the actions within the scope of the Centre.

The impact assessment also suggested the establishment of a Voluntary Pool, preferably with higher EU co-financing. Article 11 of the Decision established the European Emergency Response Capacity (EERC), which is a Voluntary Pool of pre-committed response capacities, including modules, other response capacities and experts. Article 21 determines which prevention and preparedness actions are eligible for financial assistance.¹⁴³ The UCPM has therefore been able to capitalise on these key past recommendations, enhancing UCPM relevance.

The Impact Assessment also called, under the **response** pillar of the mechanism, for transport co-financing and the simplification of transport administration. Transport co-financing has been implemented under Article 23 of the Decision, which determines the actions eligible for funding linked to equipment and transport resources. Transport administration has been simplified under Article 18 of the Decision, which calls for the Commission to support Participating States in accessing transport by providing and sharing information on transport resources as well as identifying and facilitating their access to transport resources. Transport reimbursements are further considered in Section 2.3.3.

Finally, following the 2014 evaluation, the Decision also aimed to implement lessons learnt by developing the lessons learnt programme (for its effectiveness see Section 2.1).

2.4.3 Flexibility of the mechanism to address new developments in the disaster risk management arena

Overall, the mechanism was flexible in addressing and adapting to new developments in disaster risk management. In doing so, however, the mechanism altered its original *modus operandi* and intervention coverage. Since the implementation of the Decision, several crises have emerged both within and outside the EU. Crises were testing grounds to verify the relevance of the UCPM in terms of its flexibility to adapt to emerging or unanticipated critical issues.

¹⁴³ The article indicates that “non-recurrent costs necessary to upgrade Participating States’ response capacities from their purely national use to a state of readiness and availability that makes them deployable as part of the EERC” are eligible. This may include “costs related to interoperability of modules and other response capacities, autonomy, self-sufficiency, transportability, packaging and similar costs, as well as the costs of forming multinational response capacities...provided that those costs specifically relate to the capacities’ participation in the voluntary pool”.

In March 2014, for example, during the Ebola crisis, the World Health Organisation (WHO) requested activation of the UCPM through United Nations Office for the Coordination of Humanitarian Affairs (UN OCHA). This happened on 14 August 2014. In the 22 months during which the UCPM was involved in response-related activities to the Ebola crisis, the mechanism proved very flexible.¹⁴⁴

The legal framework implementing the UCPM on medical aerial evacuation from a disaster area only applies to disaster victims but, during the course of the crisis, the mechanism adapted to also include medical staff and humanitarian aid workers in Guinea. While medical evacuation could only be authorised by the WHO, the Commission showed flexibility in its application of the UCPM by pushing for further capacities to be included in the Voluntary Pool (such as planes) and by providing relevant information to all the International Organisations involved in response operations. Responding to the situation on the ground (with a shortage of medical staff), the Medical Corps was started as a new component of the Voluntary Pool. Similar flexibility was shown in regards to the development of the Ebola Task Force (ETF), playing a key role in bringing Participating States' attention to the support and critical actions needed to scale up the response following the protracted crisis. The ECA report noted that the ETF was key to increasing cooperation at EU level because it ensured complementarity, identified synergies, had an inclusive approach, and provided real time situation updated through the EU delegations and the DG ECHO Field Network representatives.

The Ebola crisis was a key example of how the UCPM adapted to new developments. UCPM also responded to other unforeseen crises since the establishment of the mechanism. In 2016, the mechanism helped respond to the refugee emergency and its rather atypical response operation and to the humanitarian intervention in Mosul where the UCPM also stepped out of its 'comfort zone' by intervening in a conflict emergency.

Towards the end of the two and a half weeks of on-site support that the UCPM provided following the floods in Bosnia and Herzegovina in May 2014, Austria established a water purification module in the Posavina canton. Thanks to the deployment, the EUCP team was better able to coordinate efforts with other organisations on the ground, including local governments, water suppliers and international organisations. This helped to develop a strategy for providing drinking water until sufficient existing wells had been tested and, if necessary, cleaned. The Austrian team therefore stayed an additional two months to carry out this mission, and contributed to facilitating the transition from emergency to post-emergency.¹⁴⁵

The UCPM has also been increasingly involved in emerging critical issues related to the effects of climate change, natural disasters have become more severe, more unpredictable and more common. The impact of climate change was also a factor in the forest fires in Cyprus covered by this evaluation.

These examples highlight the ability of the mechanism to adapt to a changing environment and unforeseen circumstances. Nonetheless, there are concerns about the risks and challenges of modifying the original scope of the UCPM. This is especially observed in situations where the UCPM moves away from its 'core business' and towards crises that might not be strictly in the direct realm of civil protection, including humanitarian interventions (such as in Mosul) and the refugee emergency.

¹⁴⁴ European Court of Auditors (2016) Special report: Union Civil Protection Mechanism: the coordination of responses to disasters outside the EU has been broadly effective; Annex III, page 38

¹⁴⁵ European Court of Auditors (2016) Special report: Union Civil Protection Mechanism: the coordination of responses to disasters outside the EU has been broadly effective; p.24

Although the mechanism did respond to the refugee emergency, several stakeholders questioned the relevance of this intervention.¹⁴⁶ The case study on the refugee emergency highlighted the relevance for Participating States in receiving in-kind assistance during the emergency. Despite the debate on the role of the UCPM in the emergency and the ability of the civil protection sector to respond to the needs of this rather atypical emergency, the response to the refugee emergency should also be seen as an expression of solidarity.

One concern is how the UCPM will face future challenges that are not considered to lend themselves to civil protection response operations. In this grey area of new emergencies (including those in humanitarian contexts and responding to man-made disasters), currently not fully covered by the Decision, the UCPM has shown flexibility in its response. However, this flexibility keeps the door open for future emergencies that are currently out of the scope of the mechanism and potential 'mission creep'. A broad basis of support for such new avenues would enhance relevance and the effectiveness of future interventions.

2.4.4 Extent to which the UCPM's interventions and activities under the three pillars (as well as horizontal activities) were relevant to the needs of stakeholders/on the ground

Overall, UCPM activities were relevant to the needs of the civil protection sector. But more efforts are needed to carry out needs assessment for the development of the training programme and exercises.

Prevention activities

Activities aimed at **improving the knowledge base** (Article 5.1(a)) on disaster risks and facilitate the sharing of knowledge, best practice and information are overwhelmingly perceived as addressing the needs of the stakeholders on the ground from a disaster prevention perspective. There is scope for improvement, particularly in making this growing knowledge base more relevant to stakeholders by enhancing accessibility and visibility of current and future usage and opportunities. Regarding **mapping and overview activities** (Article 5.1(b)) on disaster risks that the EU might face these are perceived to address well the needs of the stakeholders on the ground from a disaster prevention perspective¹⁴⁷.

To date there has been only limited assessments of risk and capacity gaps of potential future emergencies, such as CBRN and critical infrastructure related emergencies. This should be further investigated with the next assessment of the risk management capabilities (Art.6(c)).

Preparedness activities

- Training programme

The stakeholders consulted generally perceive the training programme as relevant. The key topics covered (e.g. IFRC and respondents to the EoE survey) are considered relevant. There are, however, questions over the number and profiles of people trained. The main concern with training activities related to the **lack of thorough needs assessments** within the UCPM programme. The lack of needs based training could jeopardise the extent to which training sessions organised are relevant to the needs of the sector.

Suggestions were made by numerous stakeholders on new courses (or re-introduction of previously available courses), as well as training methods, in order to improve their relevance.

¹⁴⁶ At least three Member States and several ECHO officials.

¹⁴⁷ 96% of respondents (98 out of 102) agreed or strongly agreed with the statement

- Exercises

Full-scale exercises and module exercises are overall perceived as relevant and attracting the appropriate target audience. The MODEX case study was also found to be a relevant module exercise that attracted appropriate participants. Some concerns were noted however, in relation to the level of realism of the exercise. There are no indications of the extent to which this is the case in other module or full-scale exercises.

- Early Warning Systems

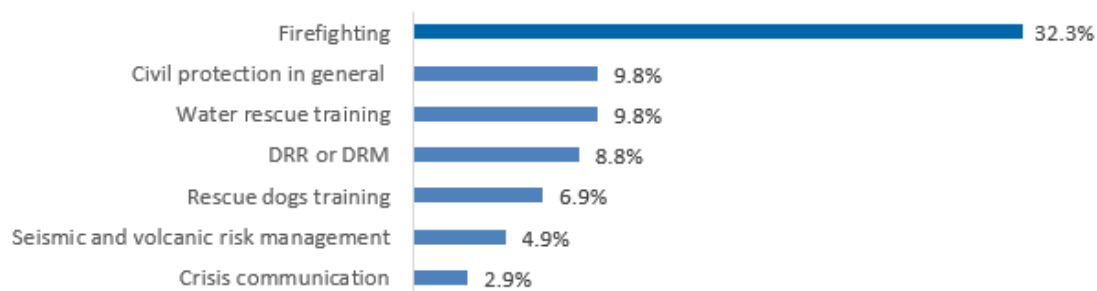
Overall, the developments of detection and EWS across the EU are very relevant to the civil protection response needs. The case study on Cyprus showed that the use of EWS is very relevant to stakeholders on the ground. EFFIS in particular was found to be particularly important to assess the wider EU context, thus allowing for an estimation of the capacities available for assistance from other countries. EFFIS is also considered relevant to stakeholders on the ground because of the different modules it offers, for example, contamination of the atmosphere, statistical data and analysis, and a financial losses assessment.

- Exchange of experts programme

The extent to which exchanges are directly linked to deployment needs could not be established. Experts involved in the EoE programme considered the programme to cover the most relevant needs. While this could not be further corroborated, no specific issues were flagged during interviews.

The topic most often covered during 2014-2016 according to the survey was firefighting. As indicated in Figure 26, 32.3 percent of respondents indicated this as their topic of the exchange. This appears to be in line with figures on the evolution of hazards that lead to UCPM activations as indicated in Figure 14, which show that forest fires were one of the main hazard types, accounting for over 14 per cent of activations between 2014 and 2016, together with floods and civil unrest/ conflicts.

Figure 29. Key topics covered by the EoE programme, 2014-2016¹⁴⁸



Source: EoE survey, n=102

While no statistics on the exact topics covered were obtained, additional relevant topics might include health, the Sendai framework, the environment and climate change and possibly new emergency types (such as humanitarian interventions, refugee emergency) as it is likely that such interventions will become more common.

- Prevention and preparedness projects

While prevention and preparedness projects are perceived as relevant by the stakeholders consulted, there are some concerns to their relevance in their current

¹⁴⁸ No data was accessible on actual topics offered during the EoE programme.

form. The size of the funding available for DRR and management via the cohesion funds is significantly higher than those of the mechanism. The relevance of UCPM funding for projects could be improved by allocating funding to activities where gaps are identified in cohesion funding. Such activities could include capacity building for implementation of projects through the cohesion funds.

Response activities

During the evaluation period, the mechanism was activated by providing two types of assistance – expertise and in-kind assistance (majority) and in-kind assistance only (e.g. migration crisis). Although both types of support were relevant to the mandate of the mechanism, better exploitation of the pool of expertise during response operations could further boost relevance.

Participants to the EoE programme perceived UCPM responses to disasters relevant to the needs of the stakeholders on the ground (in particular to the requesting Participating States/ third countries).

The Cyprus and migration case studies also confirmed that Participating States requesting assistance considered the support provided to be relevant. However, seven of the Participating States interviewed suggested that relevance of requests for assistance could be further increased if the ERCC filtered the needs requests before publishing them on CECIS.

Awareness raising activities

Awareness-raising activities carried out are relevant to address the prevention needs at national level, particularly the workshops, meetings, and exchange of experiences and practices¹⁴⁹. However, these are activities aimed at the knowledge of experts within the sector rather than the general public. The relevance of awareness raising activities in meeting the objectives of increasing awareness of Union citizens of risks and preparedness in their region is limited.

The special Eurobarometer survey 454¹⁵⁰ also highlighted that the general level of awareness and information on disaster risks is rather low, 55 per cent of respondents highlighted such awareness (for their region).

Article 11 (9) also requires Participating States and the Commission to ensure an appropriate awareness of the interventions involving the EERC. However, 42 per cent of EU citizens responding to the special Eurobarometer survey 454¹⁵¹ said that they were not aware of EU efforts in response to disasters in the EU. Forty nine per cent of respondents also did not think that enough is being done at a regional level or within their own countries and 43 per cent at the EU level to prevent or prepare for disasters.

In order to reach the objective specified in Article 20 (d)¹⁵², the mechanism could be further exploited as a tool to increase awareness of the public on how to react in an emergency, further building on the useful and relevant Eurobarometer surveys already being carried out.

¹⁴⁹ NCP survey: 19 agreed and 2 had no opinion

¹⁵⁰ Civil Protection report (2017): http://europa.eu/rapid/press-release_IP-17-1201_en.htm

¹⁵¹ Civil Protection report (May 2017), available at: http://ec.europa.eu/echo/sites/echo-site/files/sp454_report_final_may_2017.pdf

¹⁵² Awareness raising activities so as to involve citizens in preventing and minimising the effect of disasters in the Union and to help Union citizens to protect themselves more effectively and in a sustainable manner

2.5 The coherence of the UCPM activities

Coherence has been assessed by considering the extent to which the activities of the mechanism are mutually reinforcing and whether they work well with other actions outside the mechanism. This section first reports on the internal coherence of the activities of the mechanism – i.e., how the various components of UCPM and their activities work together to achieve its general and specific objectives. It then reports on external coherence – i.e., how the UCPM coordinated its activities and/or established synergies between different EU interventions in the same or related policy fields. Last, it assesses how the UCPM has established synergies and complementarities with other EU policies as well as international frameworks.

Overall the UCPM is internally coherent, having developed an integrated approach to disaster management and the establishment of the lessons learnt programme. The UCPM is perceived by civil protection authorities and key players as promoting synergies between the stages of the disaster risk management cycle.

External coherence has improved during 2014-2016, with many new initiatives and links being strengthened with many EC services. There is strong complementarity with environmental and climate policies, as well as in the area of health, and on research and innovation. In other areas, including on maritime affairs and transport, critical infrastructure protection and other security areas coherence (in spite of existing policy strategies) is less.

Work with international organisations has shown many positive developments, including increased formal cooperation and important international developments such as within the Sendai framework for disaster risk reduction. A key concern is the role of the civil protection community during UCPM activations in humanitarian contexts.

2.5.1 The internal coherence of the UCPM: synergies between pillars and activities

The Decision included elements to improve its internal coherence compared to the previous mechanism. These included the integrated approach to the disaster management cycle, the establishment of the lessons learnt programme and the formalisation of the prevention and preparedness missions. The majority of National Civil Protection authorities considered that the UCPM promoted good links and synergies between the main stages of the disaster risk management cycle, and that the Commission contributed to effectively establishing and ensuring such synergies. The main direction of synergies is illustrated in Figure 30.

However, there is a degree of concern on the internal coherence across all pillars. Doubts were expressed about the take-up of lessons learnt in the prevention, preparedness and response pillars. The low proportion of people trained who were deployed was a point of concern.

Figure 30. Internal coherence: main process



Source: ICF elaboration

2.5.1.1 Disaster prevention

In view of the UCPM prevention objective¹⁵³: the framework approach to disaster risk prevention strengthened by Decision 1313/2013 provides a basis for ensuring the internal coherence of the prevention activities implemented under the UCPM.

The different activities implemented by the UCPM under the disaster prevention pillar clearly contributed to the objectives¹⁵⁴, with a particular focus on improving the knowledge base on disaster risk prevention and management. Activities carried out over 2014-2016 built a more comprehensive disaster prevention approach at the level of the UCPM and are complementary. NRAs provide more transparency about existing risks, gaps, strengths and weaknesses, which in turn could be covered through future peer reviews¹⁵⁵ in order to corroborate such findings. Risks identified by the NRAs could also be addressed through future guidelines for the assessment of risk management capability at Participating State level, especially in setting out approaches on how to address them.

Moreover, the DRMKC can tap into existing knowledge gaps that have become apparent across the EU as a result of the NRAs and consider further research towards assessing or addressing such gaps.

Points of concern in ensuring complementarity are the dissemination of experiences across different activities of the prevention pillar, and building on results and lessons learnt from prevention projects (and follow-up monitoring after completion).

2.5.1.2 Disaster preparedness

The objective on disaster preparedness covers the preparedness of civil protection systems, services, their personnel and the general population.

The analysis of the work programme and the budget allocated to preparedness actions within the Union shows that certain activities became more important during 2014-2016 (i.e. the development of the Voluntary Pool, the development of assets to address temporary shortcomings, trainings and exercises), while other saw their budgets decrease (i.e. early warning and analysis, training network, the EoE programme – which only benefited from funding in 2014 and 2016 – and

¹⁵³ Namely to “achieve a high level of protection against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services

¹⁵⁴ Ibid.

¹⁵⁵ If the Participating State would request a peer review.

preparedness projects). This shift has to be put into the perspective of an overall increase of the budget allocated to preparedness within the Union (i.e. from EUR 20.55million in 2014 to EUR 24.9million in 2017). It reflects some of the new priorities introduced by Decision 1313/2013, e.g. Article 21.2.d on temporary shortcomings, and a will to ensure availability of assets in the case of disasters. This clearer focus on preparedness activities helps ensuring coherence.

Module exercises, for example, are supposed to enhance coherence between the training programme, the development of modules and the potential deployment of the EUCP teams. However, the observation of one MODEX exercise and interviews with some Participating States showed that of the training elements are not being sufficiently coherent. The MODEX case study highlighted the issue that the training did not necessarily prepare participants for the exercise, especially in dealing with international systems. The latter is critical in view of increasing engagement of UCPM in humanitarian contexts.

A particular issue emerging from the MODEX case study is that there is (too) little systematic consultation between the contractors developing the exercise. Lessons and knowledge are thus not used to the best extent possible due to ownership lying with the contractor rather than DG ECHO.

Trainers consulted as part of the MODEX case study highlighted the lack of a systematic approach regarding the implementation of lessons learnt from one exercise to another. Although there is a process in place for identifying lessons learnt – an internal and external evaluation report of each MODEX – these are not systematically implemented.

A final point regards the scope of training as to whether the entire training offer should necessarily be delivered at EU-level, or rather nationally. There is a risk that training can duplicate national efforts, rather than complement them. However, the evaluation did not map and assess the scale and type of training available nationally. Furthermore, duplication is mainly a risk with larger Participating States that generally have more resources for establishing comprehensive national training programmes.

Figure 31. Budget breakdown of the UCPM preparedness activities in Europe according to the UCPM work programmes (2014-2016) (million EUR)



Source: DG ECHO, UCPM Annual Work Programme, ICF elaboration

2.5.1.3 Disaster response

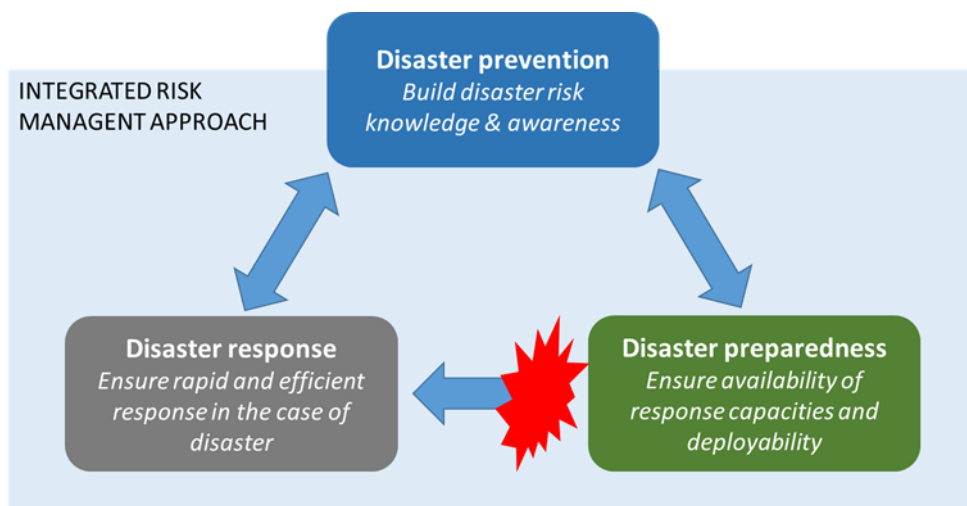
As for its response objective¹⁵⁶, the UCPM has established a solid mechanism (the ERCC), paramount in ensuring coordination and coherence of European response. By design the response activities implemented under the UCPM are internally coherent.

In coordinating the response to disasters the ERCC has a pivotal role in facilitating information flows between Participating States and with relevant third countries and international partners. This organisational role allows for the complementing of the work of Participating States and international partners and ensuring there is no duplication of efforts between those involved. There are, however, greater risks in ensuring external complementarity and coherence especially with other existing structures (such as EMSA, (see section 2.5.2.4) and in regards to existing, bilateral forms of cooperation between Participating States.

2.5.1.4 Coherence between the three pillars

The objective of the three pillars under the UCPM is to reinforce each other to provide a comprehensive framework for disaster prevention, preparedness and response. This comprehensive approach builds from the prevention pillar which aims at creating a high level of disaster risk knowledge and awareness, laying the basis for an integrated risk management approach.¹⁵⁷ Figure 32 illustrates how the different pillars are interlinked and mutually reinforcing.

Figure 32. The integrated risk management approach ensures coherence between the pillars of the UCPM



Source: ICF elaboration

The training programme developed under the UCPM since 2004 is an example of a UCPM component that seeks, inter alia, to reinforce the complementarity and coherence between the three pillars of the UCPM: the training is for 'civil protection and emergency management personnel to enhance prevention, preparedness and disaster response by ensuring compatibility and complementarity between the intervention teams and other intervention support as well as by improving the competence of the experts involved'¹⁵⁸.

¹⁵⁶ Namely to "facilitate rapid and efficient response in the event of disasters or imminent disasters"

¹⁵⁷ As stated in Decision 1313/2013: "risk assessments, risk management planning, the assessment of the risk management capability conducted by each Member State at national or appropriate sub-national level involving, as appropriate, other relevant services, an overview of risks prepared at Union level, and peer reviews are essential to ensure an integrated approach to disaster management, linking risk prevention, preparedness and response actions."

¹⁵⁸ European Commission, 2016. The Union Civil Protection Mechanism Training Programme. Available at: http://ec.europa.eu/echo/files/civil_protection/civil/prote/pdfdocs/Training%20brochure.pdf [Consulted on 17 February 2017].

The **lessons learnt programme** illustrates the will to ensure coherence and complementarity through the *entire disaster management cycle* (as stated in Regulation 1313/2013, Article 13.d). It is, however, one of the less successful elements of the UCPM. It warrants a more thorough and comprehensive approach for implementation and follow-up, both for DG ECHO (and the ERCC) and Participating States. This is true also for a lack in take-up of lessons learnt from response operations into activities under the preparedness pillar (as response operations do not necessarily include an opportunity for identifying lessons learnt).

The Cyprus case study also highlighted the absence of a lessons learnt meeting or workshop after the event. Similarly for the response to the refugee emergency in the Balkans, countries involved indicated that no specific follow-up on lessons learnt was organised.

Lessons learnt from the prevention and preparedness missions are shared by Participating States and EUCPT in lessons learnt technical meetings. These are documented in the meeting minutes and are available to DG ECHO.

However, there is little evidence to suggest that any lessons learnt from prevention and preparedness missions routinely feed into strategic considerations in the prevention or preparedness pillars. While relevant lessons are identified after these missions, a structured approach to their follow-up is lacking. Such an approach could help in improving the coherence across the three UCPM pillars.

The objectives of the missions¹⁵⁹ highlight the link to disaster response. These missions can be deployed either:

- In preparation of potential disasters, as was the case in Guinea with the objective to conduct a National Capacity Assessment in emergency preparedness for response, including disaster risk reduction; or,
- Following a particular disaster in order to mitigate their future consequences, such as in FYROM following the flooding and landslides which led to severe damage in urban areas and six deaths. The UCPM team was deployed in the recovery phase to assess geological, geomorphological and hydrological conditions (characteristics of water courses) and to check dams and to estimate water levels.

Although this new type of missions is rather novel and concepts still need to be fully defined – as recognised in a recent Commission paper¹⁶⁰, it represents an example of how the UCPM, and the ERCC in particular, can link response expertise to prevention and preparedness.

2.5.2 The external coherence of the UCPM: synergies and complementarities the Union policy areas

The UCPM touches on many issues which are relevant to other policy areas, some of which are referred to in the Decision. Activities of the UCPM reinforce those of other EU interventions in many fields, although areas for improvements are identified.

2.5.2.1 Overall coherence

The level of cooperation and coordination with other Union policy areas is perceived to be high among civil protection authorities. The greatest synergies created were in the areas of humanitarian aid, environment and flood risk management.

¹⁵⁹ Namely to “support third countries in prevention and preparedness measures and provide expert advice through the deployment of an expert team”: <http://ec.europa.eu/transparency/regdoc/rep/3/2015/EN/3-2015-54-EN-F1-1-ANNEX-1.PDF>

¹⁶⁰ European Commission, 2016. Outcomes of Technical and Operational Level Lessons Learnt Meeting on 19 October 2015. Available at: http://ipafloods.ipacivilprotection.eu/wp-content/uploads/2016/05/OutcomesLLmeeting19102015_fYRoM.pdf []

There is further room for improvement in information exchange and coordination, training, multi-sector research and for more institutional fora for cooperation (committees, working groups).

Table 9 indicates the level of coherence of UCPM with key policy areas on each of the three pillars. During 2014-2016, some areas have shown improved coherence, particularly environmental and climate policies, as well as health, and on research and innovation. In other areas, including maritime affairs and transport, critical infrastructure protection and other security areas overall coherence (in spite of existing policy strategies) is less.

To ensure coherence across policy areas, mechanisms or institutionalised structures embedding specific policies and practices are paramount. While ad hoc, or personal, relations can further cooperation, these relations are typically short-lived and less sustainable because of staff turnover or personnel/function changes. Across policy areas such cooperation risks were identified including risks in the fields of health and security.

Table 9. Assessment of the level of coherence between the three pillars of the UCPM and relevant policy areas at EU level

Policy areas	UCPM		
	Prevention	Preparedness	Response
Humanitarian aid	✖	✖	✓
Health	✓	✓	✓
Maritime affairs	✖	✖	✖
European Neighbourhood Policy	~	~	~
Climate change policy	✓	✓	NA
Environmental policy - Flood	✓	✓	NA
Environmental policy - Seveso	✓	✓	✓
Security and defence	✖	✖	~
Asylum, migration and integration	✖	✖	~
Research and innovation	✓	✓	✓

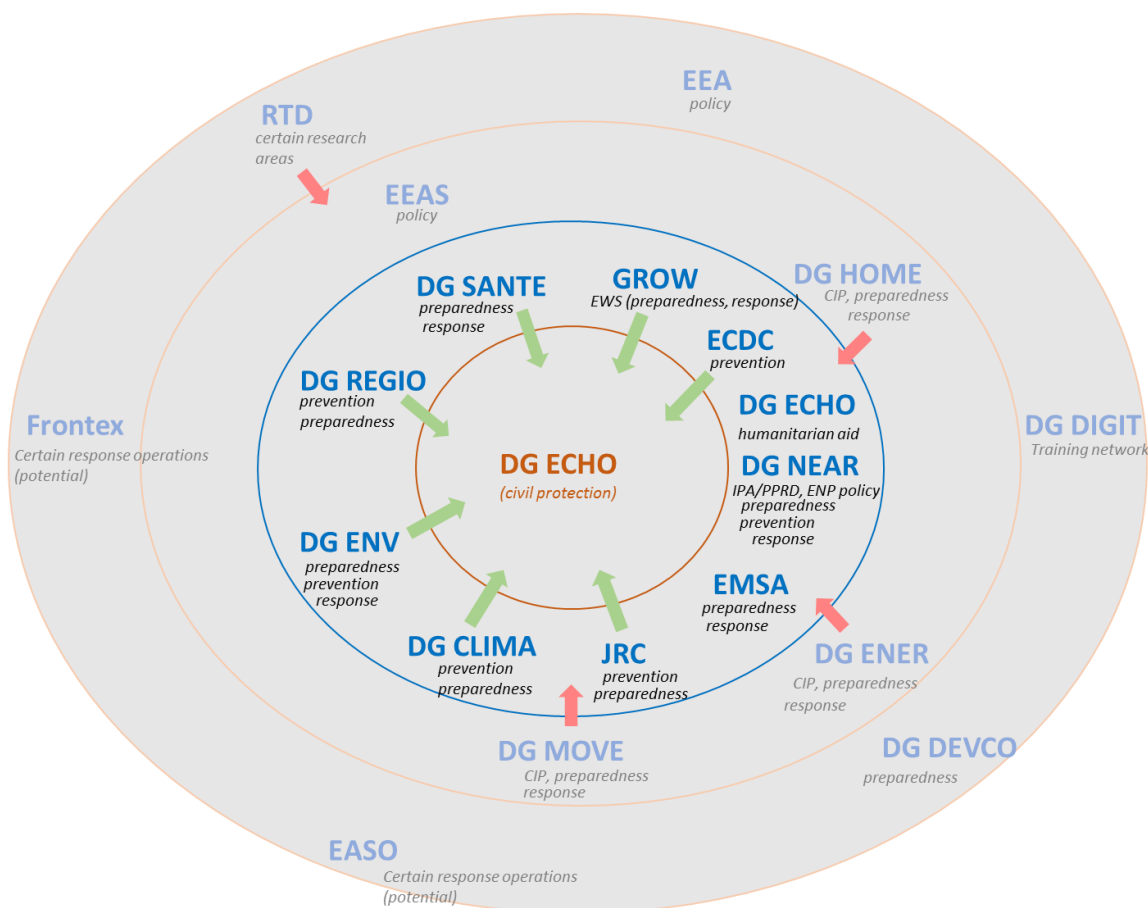
Note: ✖: low level of coherence with important opportunities for improvements; ✓: high level of coherence with some opportunities for improvements; ~: Medium level of coherence with several opportunities for improvements. NA: not applicable.

Figure 33 provides an overview of the assessment of the current proximity to DG ECHO of other DGs and Agencies. The relations with many services have been strengthened (highlighted by green arrows) during 2014-2016 and are expected to continue to intensify.

Numerous services are key interlocutors for the UCPM (via DG ECHO). For some of these players this follows from the Decision (DG CLIMA on climate adaptation, DG REGIO on the Sendai framework and disaster risk management, DG NEAR on the ENP, DG ENV on floods and DG MOVE on marine pollution, DG SANTE on health emergencies). In other cases they follow from specific activities undertaken (such as in the area of science in relation to the JRC DRMKC, and DG GROW on Copernicus and early warning systems). In other instances, policies have not sufficiently matured and coherence is therefore less (including DG HOME, DG MOVE and DG ENER on critical infrastructure protection). These areas have been indicated with a red arrow, denoting that synergies would need to be further explored. With DG RTD there is certain scope for further enhancing relations, including on health, environment, and international cooperation where there is relevance to the UCPM. For EEAS synergies could lie through increasing competences for civil protection in certain delegations (as is currently the case for counter-terrorism, for example).

For others players, cooperation with DG ECHO on the UCPM is less straightforward and arises in specific occasions, such as for EASO and DG HOME during the refugee emergency. The role of DG DIGIT (in relations to the training network) is minor (though targeted and specific). In other areas coherence is lower due to there being few policy developments that currently warrant direct intervention (EEA, DG DEVCO).

Figure 33. Overview of the current proximity to DG ECHO of other DGs and Agencies



Source: ICF

Note: Second circle: close cooperation and alignment of objectives overall mutually pursued.

Third circle: looser cooperation with important room for closer alignment.

Fourth circle: non-permanent, activity-based cooperation that could be enhanced when needs arise.

Red arrow: growing importance of the policy area and need for inter-institutional cooperation.

Green arrow: inter-institutional cooperation has grown over the period 2014-2016

2.5.2.2 Humanitarian aid

There are numerous links between the UCPM and the Commission's humanitarian aid activities, and the Commission undertakes to: "ensure the effectiveness, coherence and complementarities of the overall Union response respecting the European Consensus on Humanitarian Aid"¹⁶¹. The need to ensure coherence is particularly relevant to response operations because of the different timescale of humanitarian aid and civil protection interventions, while also ensuring the civil protection community is well-trained for operating in humanitarian crisis contexts.

The MODEX case study and interviews with some Participating States indicated that there are obstacles in achieving full familiarity with the international humanitarian system.

The refugee emergency case study highlighted that interoperability with humanitarian aid players has improved. Past training courses covering elements of humanitarian aid

¹⁶¹ Regulation 1313/2013.

were perceived as having generated a more coordinated and smooth activation of the mechanism and ensuing operation.¹⁶²

A key concern among many stakeholders across categories is the relationship between the civil protection and humanitarian aid communities. Specifically this means the role the civil protection community plays during UCPM activations in humanitarian contexts (such as in Mosul), as it raises questions about the role and strategy of the mechanism. While the UCPM can play a positive, complementary role, involvement in humanitarian aid situations of civil protection practitioners could create misalignment or friction with humanitarian organisations as their mandate, background and skillset often differ.

It requires a clear needs assessment of each intervention in a humanitarian crisis context to ensure coherence in EU civil protection interventions outside the EU. More streamlining in planning and operational cooperation with international partners could produce operational readiness for UCPM interventions. This would entail strengthening the relations currently provided for in Articles 5 (prevention), 9 (preparedness) and 16 (response) of the Decision.

Against this backdrop, the existing UCPM legislation should also be better cross-checked against existing international (humanitarian) law and existing agreements. This includes ensuring compliance of UCPM operations with the humanitarian principles of humanity, neutrality, impartiality and (operational) independence or the possibility to respond to requests 'through or by the United Nations and its agencies, or a relevant international organisation'.

2.5.2.3 Health

A number of initiatives during 2014-2016 have strengthened the UCPM, including enhanced cooperation with ECDC and DG SANTE and the setting up of the European Medical Corps (EMC), at least in part due to the UCPM.

Following the reference to health in Article 1 of the Decision¹⁶³ the UCPM is referenced for assistance in cases where health crises overwhelm national response capacities or where there are serious cross-border health threats.

Relevant activities in prevention include risk assessment mechanisms. The European Centre of Disease Prevention and Control (ECDC) conducts risk assessments in case of a health alert linked to communicable diseases and threats of unknown origin. It is also responsible for the operation of the Early Warning and Response System. While the mandate of the ECDC is limited to communicable diseases, areas for further collaboration between the Agency and the UCPM might be usefully explored around how the public health risk assessment developed by the ECDC and the Member States feeds into the general risk assessment developed by the Participating States under the UCPM.¹⁶⁴

DG SANTE has a mandate for working within the EU. This poses some restrictions to extra-EU cooperation with the UCPM. Cooperation builds on a 2011 Commission paper¹⁶⁵ on the structures for preparedness and response to cross-border health threats.

Positive developments include the approach to the medical evacuation (MEDEVAC) of health workers during the Ebola crisis, as well as more integrated approaches to floods

¹⁶² It should be noted however that the atypical nature of the response operations during the refugee emergency also meant that civil protection authorities, and practitioners, were one of numerous players involved in the process.

¹⁶³ It states that the UCPM "[...] should cover primarily people, but also [...] acute health emergencies, occurring inside or outside the Union".

¹⁶⁴ European Commission, 2016. European Medical Corps – ECHO Factsheet. Available at: http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/European_Medical_Corps_en.pdf [17February 2017].

¹⁶⁵ European Commission, 2011. Structures for preparedness and response to cross-border health threats. Available at: http://ec.europa.eu/health/sites/health/files/preparedness_response/docs/hsi_structures_en.pdf [17February 2017].

with health consequences. The work of DG SANTE and ECDC in carrying out a needs assessment of specific equipment for addressing capacity gaps is of direct relevance to the UCPM.

In the area of preparedness the Health Security Committee (HSC) plays a key role of EU-MS coordination for developing, strengthening and maintaining capacities for the monitoring, early warning and assessment of, and response to, serious cross-border threats to health. The HSC also plays a key role in coordinating national responses to serious cross border threats to health, where requests for assistance go via the ERCC. This happened during the Ebola outbreak when WHO requested assistance through the ERCC, and return transport was coordinated by the ERCC. In order to facilitate cross-sectorial coordination at EU-level the ERCC organised an Ebola Task Force. The HSC contributed to these meetings and shared results with public health authorities. As acknowledged in a 2015 Commission's report: *"this multi-faceted coordination process also supported the setting up and running of the Union medical evacuation system for cases and suspected cases of Ebola Virus Disease to Europe. The CECIS was instrumental in identifying aerial means, while the "selective exchange" facility of the Early Warning and Response System allowed the coordination on the provision of suitable hospital treatment capacities"*¹⁶⁶.

Further coordination here is evident from the launch of the European Medical Corps (EMC) in 2015. The EMC - part of the Voluntary Pool –aims to rapidly deploy teams and equipment from Participating States to provide medical assistance and public health expertise in response to emergencies inside and outside the EU. EMC teams are formed on an ad hoc basis, and include ECDC experts. The institutionalisation of cooperation and coordination between ECDC, DG SANTE and DG ECHO is ongoing. Therefore, the sometimes ad hoc nature of cooperation needs to be addressed, although this is understandable at this early stages of EMC operations. Issues around the mandates of players involved (such as for ECDC) raise important questions for the years ahead.

Further synergies could be found by increasing the health component in training, and cooperation with DG SANTE is relevant for understanding the specific training needs for both DG SANTE and DG ECHO in the area of cross-border health threats. For specific outbreaks (such as Zika) finding the right experts and medical staff is a challenge where a swift, EU response is warranted.

2.5.2.4 Maritime emergencies

The split of responsibilities between the UCPM and European Maritime Safety Agency (EMSA) in marine pollution is set out in the UCPM Decision¹⁶⁷ and EMSA regulations.¹⁶⁸ Based on the need to reinforce cooperation for maritime emergencies, a new working arrangement was signed between DG ECHO and EMSA in November 2014, replacing the 2004 arrangement. It aims to further improve coordination on marine pollution preparedness, monitoring and response. The working arrangement recognises the

¹⁶⁶ European Commission, 2015. COM(2015)617 final. Report on the implementation of Decision No 1082/2013/EU. Available at:

http://ec.europa.eu/health/sites/health/files/preparedness_response/docs/report_decision_serious_crossborder_threats_22102013_en.pdf [17February 2017].

¹⁶⁷ The Decision indicates that it "covers actions in the field of prevention of, preparedness for and response to marine pollution with the exception of actions falling under Regulation (EC) No 1406/2002 of the European Parliament and of the Council.

¹⁶⁸ The EMSA Regulation states that: "requests for mobilisation of anti-pollution actions shall be relayed through the EU Civil Protection Mechanism" and EMSA "may also provide assistance in case of pollution caused by ships as well as marine pollution caused by oil and gas installations affecting those third countries sharing a regional sea basin with the Union, in line with the EU Civil Protection Mechanism".

Regulation establishing EMSA. Available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2002:208:0001:0009:EN:PDF>

latest developments (e.g. establishment of the ERCC and launch of CleanSeaNet¹⁶⁹), but does not provide further details on what cooperation should look like in terms of working mechanisms, institutional structures, working groups and committees. In addition to DG ECHO and EMSA, regional agreements exist in each European sea basin, and are key to fighting maritime pollution.

In this multi-player environment, the maritime safety and civil protection authorities are still rather distinct communities. As stressed in the 2014 ex-post evaluation of the UCPM (2007-2013) and reiterated in interviews during this evaluation, more effort is needed to integrate the two communities and to convince them of joint added value.

A positive example is the joint development of a training course on maritime pollution under the UCPM, with EMSA involved early in the preparation process.

Regarding prevention, two projects directly linked to marine pollution were financed between 2014 and 2016, namely:

- The Open-Source tools for regional risk assessments for improved European preparedness and response at sea (OPENRISK) ensures that the outcomes of the previous projects linked to regional risk assessment at sea (i.e. BRISK, BRISK-RU in the Baltic (2009-2012), the DG ECHO funded BEAWARE I & II in the greater North Sea (2012-2014) as well as the MEDESS-4MS project in the Mediterranean (2012-2015)) are fully exploited by creating an inter-regional and pan-European dialogue on maritime risk assessment initiatives.¹⁷⁰ However, it is not clear how EMSA will be involved.
- The Economics of Prevention Measures Addressing Coastal Hazards (EcosHaz) projects which seeks to establish a sustainable knowledge framework addressing the costs and benefits of prevention and response to coastal hazards resulting from hydro-meteorological events (flooding, shoreline erosion, storm surges, and sea level rise) and oil spill accidents.¹⁷¹

Five preparedness projects were identified linked directly to maritime pollution:

- European module for Oiled Wildlife Emergency Response Assistance (EUROWA MODULE): it aims to develop a so called Module (experts and their equipment) for international Tier-3 oiled wildlife response in Europe.¹⁷²
- Improving Preparedness to face a Harmful and Noxious Substances (HNS) pollution of the marine system which aims to develop a decision-support tool for coastguard operators to better evaluate the consequence of HNS pollutions occurring in the Bonn Agreement (BA) area and in the Bay of Biscay.¹⁷³
- Preparedness for Oil-Polluted Shoreline Area Clean-up and Oiled Wildlife Interventions (POSOW II) which is an extension to POSW I focusing on the dissemination of its results and oil spill waste management.¹⁷⁴
- Multinational Response and Preparedness to Oil and Chemical Spill (MARPOCS) which builds on developments at international and EU level in different aspects of accidental marine pollution by developing and implementing an integrated operational framework for preparedness and response to oil and HNS spills in the Atlantic sub-region involving Morocco, Madeira and Canary Islands. One of the specific objectives of this project is to link the results of the project with

¹⁶⁹ The European Satellite Oil Spill Monitoring Service.

¹⁷⁰ More details available here: https://portal.helcom.fi/meetings/RESPONSE%2022-2016-351/Presentations/1_OPENRISK%20project.pdf

¹⁷¹ More details available here: <http://www.ecoshaz.eu/site/>

¹⁷² More details available here: http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection-europe/selected-projects/european-module-oiled_fr and <http://www.oiledwildlife.eu/eurowa/background>

¹⁷³ More details available here: https://www.hns-ms.eu/downloads/HNS-MS_intro_presentation.pdf

¹⁷⁴ More details available here: http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection-europe/selected-projects/preparedness-oil-polluted-0_en

EMSA's CleanSeaNet, although it appears that to date no specific request has been made to EMSA.¹⁷⁵

- Underwater robotics ready for oil spills (URready4OS): it aims to provide European Civil Protection with a fleet of autonomous underwater vehicles (AUVs), unmanned aerial vehicles (UAVs) and unmanned surface vehicles (USVs) with operational capability to intervene against oil spills in European Seas using new cooperative multivehicle robotic technologies.¹⁷⁶

With the exception of the MARPOCS project it is unclear how EMSA can or will be involved in the projects relevant to its mandate (i.e. touching on pollution at sea). For some of the relevant exercises involved, EMSA was brought on board relatively late in the process. Also in the development of a module on firefighting on ship, EMSA's involvement is unclear. Because civil protection and maritime pollution communities operate independently, early involvement can have mutual benefits, particularly with EMSA conducting studies on firefighting on board passenger ships, for example.

In disaster response, the ERCC was activated twice for maritime pollution response interventions. While no formal lessons learnt exercises were carried out between EMSA and DG ECHO, possible improvements include the improvement of CECIS in the area of maritime safety, expanding transport assistance for the deployment of EMSA's assets and improving complementarity between EMSA assets and the Voluntary Pool.

In the future, a common package of services and support to maritime safety and civil protection authorities rather than two separate systems would be beneficial (i.e. EMSA assets and UCPM support through Voluntary Pool and transport assistance).

2.5.2.5 European Neighbourhood Policy (ENP) and Enlargement Policy, including implementation of the European Neighbourhood Instrument (ENI) and the Instrument for Pre-accession Assistance (IPA) programmes.

Cooperation between UCPM activities and DG NEAR's initiatives within the ENP and enlargement framework is grounded in the current Decision¹⁷⁷ and there is evidence of numerous initiatives being undertaken. There is also considerable scope for further defining complementarity and cooperation on outputs and approaches.

Enlargement policy

Four IPA beneficiary countries are participating states of the UCPM¹⁷⁸. Therefore the UCPM is also playing a significant role in bringing partners closer to the EU at policy and operational level in a sustainable manner.

In addition, the IPA CP Cooperation Programme II continued cooperation in civil protection beyond 2013 for beneficiaries in the Western Balkans¹⁷⁹ and Turkey. They aim at improving these countries' ability to cooperate effectively with the UCPM. This is achieved via training, field exercises, the EoE programme, table top exercises, and

¹⁷⁵ More details available here: <http://marpocs.eu/>

¹⁷⁶ More details available here: <http://www.upct.es/urready4os/?lang=en>

¹⁷⁷ Article 28 of the Decision indicates that: "Financial assistance [...] may also be granted to candidate countries and potential candidates not participating in the Union Mechanism, as well as to countries that are part of the ENP, to the extent that that financial assistance complements funding available under a future Union legislative act relating to the establishment of the Instrument for Pre-Accession Assistance (IPA II) and a future Union legislative act relating to the establishment of a European Neighbourhood Instrument."

It also lists actions for which non-EU Member States might receive financial assistance under the mechanism, namely: Studies, surveys, modelling and scenario building to facilitate the sharing of knowledge, best practices and information; Training, exercises, workshops, exchange of staff & experts, creation of networks, demonstration projects & technology transfer; Monitoring, assessment and evaluation actions; Public information, education and awareness raising; Establishment and running of a programme of lessons learnt from interventions and exercises; Co-financing peer reviews; Transnational detection, early warning and alert systems of European interest; and Supporting the preparedness activities.

¹⁷⁸ FYROM, Montenegro, Serbia and Turkey.

¹⁷⁹ Albania, Bosnia-Herzegovina, FYROM, Kosovo, Montenegro, and Serbia.

various other means (such as workshops). The Programme is implemented by a consortium from Croatia, Germany, Italy, Slovenia, and Sweden.¹⁸⁰

Furthermore, in the context of the EU response to the 2014 floods that affected Bosnia and Herzegovina and Serbia, significant IPA-funded support was deployed to provide help both countries in recovering from this large-scale disaster. In Bosnia and Herzegovina, the ERCC actively participated in the selection of experts for the recovery needs assessment and carried out a related preparatory mission. ECHO also collaborated closely with DG NEAR ahead of the July 2014 international donor conference of the country.¹⁸¹

European Neighbourhood policy

The European Neighbourhood Policy (ENP), developed throughout 2004 and further revised in 2011 and 2015, governs the EU's relations with 16 of the EU's closest Eastern and Southern Neighbours.¹⁸² The ENP provides a specific reference to civil protection, calling for a pooling of resources and strengthening of cooperation and coordination to increase prevention, preparedness and respond to natural and man-made disasters such as forest fires, floods, chemical accidents and earthquakes.¹⁸³ On-going negotiations with interested Southern and Eastern Partners in concluding administrative arrangements. ENP action plans setting out partner countries' agendas for political and economic reforms (short and medium-term priorities) show that strengthened cooperation on civil protection matters has been agreed with Ukraine, Palestine, Israel, Jordan and Tunisia.

Other key programmes relevant to the UCPM are PPRD South II and PPRD East II¹⁸⁴, which both fell within the period of this evaluation (2014-2016).

Links between PPRD South II and UCPM included workshops on host nation support and the Sendai framework (see also 2.5.3). The workshops within the context of the Sendai framework are relevant globally but less so in practice because of sensitivities around the focus on risk, knowledge and assessment of risk and no clear agreement on a common approach to risk management in third countries.

There are some concerns about the sustainability of projects in PPRD South II, and issues around the monitoring and evaluation framework and unrealistic expectations due to funding limitations. The Evaluation of PPRD South II¹⁸⁵ concluded that the approach of the UCPM is not well understood in partner countries and existing coordination structures are limited. It raised doubts about the cost-effectiveness of some regional activities, and issues around the transition from PPRD South I to II. It highlighted room for improvement in better aligning expectations between the EU and partner countries involved, and more cooperation with the UCPM at institutional and operational level.

This is not only relevant for PPRD South, but also for the UCPM since it would allow more effective coordination and cooperation where the current mechanism provides third country funding. The evaluation recommends, the facilitation of procurement of small equipment to ensure interoperability with authorities involved.

¹⁸⁰ Croatia: National Protection and Rescue Directorate (NPRD), Italy: Civil Protection Department (DPC), Germany: Federal Agency for Technical Relief (THW), Slovenia: Administration for Civil Protection and Disaster Relief (URSZR) and Synergies, and Sweden: Civil Contingencies Agency (MSB)

¹⁸¹ ECA Special Report - Union Civil Protection Mechanism: the coordination of responses to disasters outside the EU has been broadly effective, at http://www.eca.europa.eu/Lists/ECADocuments/SR16_33/SR_DISASTER_RESPONSE_EN.pdf

¹⁸² Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine, Syria, Tunisia, Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine, at https://ec.europa.eu/neighbourhood-enlargement/neighbourhood/overview_en

¹⁸³ https://eeas.europa.eu/headquarters/headquarters-homepage/330/european-neighbourhood-policy-enp_en

¹⁸⁴ Limited information is available for PPRD East II, mainly due to absence of an ex-post evaluation of the programme.

¹⁸⁵ Evaluation of PPRD South II Regional project (ENI South), June 2016 – December 2016

Further synergies with the UCPM are possible through EU delegations in those countries, although staff and specific knowledge of civil protection are uncommon. Nonetheless, the uptake of counterterrorism experts in EU delegations is an example of how knowledge and expertise on specific topics can be integrated into delegations.

In the area of Chemical, Biological Radiological and Nuclear (CBRN) threats there is further cooperation between DG ECHO and DG DEVCO through the Centres of Excellence on CBRN that are funded under the Instrument contributing to Stability and Peace (IcSP). In third countries where DG ECHO has field offices the cooperation is generally smoother (this includes place where there are operational regional centres of excellence on CBRN).

2.5.2.6 Climate change adaptation policy

Further progress has been made in embedding the UCPM into the wider context of climate change awareness and activities to support environmental disaster risk prevention. Challenges remain in streamlining cooperation across EU stakeholders, national authorities and international partners.

The impact of climate change on disaster risks is well documented and recognised by the Decision¹⁸⁶, which calls for a coherent approach to risk prevention. The EU Adaptation Strategy and its associated impact assessment recognised the key role of the UCPM in supporting disaster risk prevention across Europe, and promoting the adoption of integrated risk management approaches. The UCPM is considered a key instrument to influence EU Member States' planning and actions and as having direct impact on awareness and approaches to climate change adaptation (CCA).

These two mandates frame the cooperation between DG ECHO and DG CLIMA. There are no direct, formal cooperation mechanisms linked to the UCPM between the two DGs but they work closely together on the different activities and initiatives. For example, both DGs are part of the JRC DRMKC and exchange knowledge on disaster risk management. This has led to better information-sharing and certain results on data exchange and damage loss (e.g. indicator developed in the framework of the Sendai framework for disaster risk reduction).

There is further progress in the designation of adaptation to climate change and risk prevention as a priority for Cohesion policy funding under the remit of regional and urban policy.

In the area of prevention, the Risk Assessment and Mapping Guidelines for Disaster Management published by the Commission in 2010 ask Participating States to adopt a longer term perspective to adequately capture the potential impacts of climate change on certain types of disasters such as floods and droughts¹⁸⁷.

Despite this direct reference, the guidelines are not mandatory and many EU Member States do not (yet) fully integrate climate change adaptation into their NRA. Finland published a report on resilience building for disasters¹⁸⁸ complementing its National Disaster Risk Reduction Platform, and including research projects addressing key topics of risk management (like climate change adaptation, forecasting and warning). National programs can boost transferability of good and innovative practices and

¹⁸⁶ In its preamble, the Decision states that “the Union Mechanism should include a general policy framework for Union actions on disaster risk prevention, aimed at achieving a higher level of protection and resilience against disasters by preventing or reducing their effects and by fostering a culture of prevention, including due consideration of the likely impacts of climate change and the need for appropriate adaptation action”. Such approach is also highlighted in Article 5, which calls for “an exchange of good practices on preparing national civil protection systems to cope with the impact of climate change”.

¹⁸⁷ European Commission, 2010. SEC(2010)1626. Risk Assessment and Mapping Guidelines for Disaster Management. Available at: https://ec.europa.eu/echo/files/about/COMM_PDF_SEC_2010_1626_F_staff_working_document_en.pdf [20 February 2017].

¹⁸⁸ Building resilience to disasters: Assessing the implementation of the Hyogo Framework for Action (2005-2015)

contribute to developing and implementing EU policy initiatives in disaster risk management in EU Member States and neighbouring countries.

In order to improve awareness of the synergies between CCA and DRR, DG CLIMA and DG ECHO organised in 2014 a workshop for national civil protection experts and national climate adaptation experts. This was the first meeting of its kind. During the workshop, various avenues for the mainstreaming of climate change adaptation within the disaster risk prevention agenda of the UCPM were identified. Firstly, the assessment of risk management capabilities. Secondly, the development of an EU overview of risks, including climate impacts. Thirdly, the peer reviews of disaster risk management policies organised in the framework of the UCPM. Other initiatives exist via the PLACARD Network.¹⁸⁹

DG CLIMA mainstreamed civil protection into the Guidelines on developing adaptation strategies published in 2013.¹⁹⁰ The guidelines advise EU Member State authorities to work with civil protection authorities and to inform and involve them in the CCA process. DG CLIMA is currently evaluating its 2013 Strategy on Adaptation to Climate Change, which will examine the synergies and coherence between the Strategy and the disaster risk reduction and prevention parts of the UCPM.

CCA has also been successfully mainstreamed into prevention projects objectives of the UCPM. Projects were expected to improve the knowledge base on the future impacts of climate change and how to adapt to these impacts. Projects resulting from this priority related to the impact of sea level rises in the Mediterranean, the impact of climate change on high wind risks and the integration of disaster risk reduction with climate change adaptation at urban level. For example, one UCPM funded project¹⁹¹ fine-tuned a tool (SCORECARD) integrating DRR and CCA and provides a basis for concrete action plans at the city level.

Horizon 2020 has funded research and promoted an eco-system based adaptation, including at the urban level, which contributes to disaster risk reduction.

Another sign of the cooperation and streamlining between the UCPM prevention agenda and EU climate adaptation policy is that DG ECHO was appointed to represent the Commission at the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts (Loss and Damage Mechanism).¹⁹²

In the area of preparedness, there is less cooperation between DG CLIMA and DG ECHO, although DG CLIMA is involved in preparing the UCPM training programme. This cooperation occurred mainly at programme level as DG CLIMA staff helped DG ECHO to identify where in the training programme climate change adaptation should be mainstreamed. DG CLIMA is not (yet) involved in the delivery of these trainings.

To further improve cooperation and coherence between the UCPM and the EU climate change adaptation agenda, four areas of work are identified by DG CLIMA:

- Urban adaptation agenda: at local level it is often easier to link disaster risk reduction and climate change adaptation as this is the relevant level for

¹⁸⁹ See: <http://climate-adapt.eea.europa.eu/knowledge/adaptation-information/research-projects/placard>

¹⁹⁰ European Commission, 2013. SWD(2013)134 final. Guidelines on developing adaptation strategies. Available at: https://ec.europa.eu/clima/sites/clima/files/adaptation/what/docs/swd_2013_134_en.pdf [20 February 2017].

¹⁹¹ 2014 prevention project "Managing urban risks in Europe: Implementation of the City Disaster Resilience Scorecard (U Score)"

¹⁹² This Mechanism was established during the 19th Conference of the Parties of the United Nations Framework Convention on Climate Change (UNFCCC) with the objective to: Enhance knowledge and understanding of comprehensive risk management approaches to address loss and damage associated with the adverse effects of climate change, including slow onset impacts; Strengthen dialogue, coordination, coherence and synergies among relevant stakeholders; and Enhance action and support, including finance, technology and capacity-building, to address loss and damage associated with the adverse effects of climate change, so as to enable countries to undertake actions.

concrete project implementation. But this requires a coherent and integrated strategy at various EU, regional and national levels;

- CCA and DRR at macro-region level: A number of macro regions, in particular the Alpine and Baltic regions, already work on disaster risk reduction issues. It would be worth exploring whether and how the synergies between disaster risk reduction and adaptation are considered and how the current experience could be shared across Europe;
- A joint peer review system would help exploring synergies between CCA and DRR, assessing scope for improvement (in particular when defining, assessing and measuring risk assessments) and supporting lessons and best practices sharing;
- While DG CLIMA is not involved in the response pillar of the UCPM, it would be worth exploring how climate change adaptation objectives could be included in post-disaster reconstruction activities.

2.5.2.7 Environmental policy

DG ECHO and DG ENV cooperate within the UCPM across two key domains – floods and industrial accidents – highlighted by the Decision¹⁹³.

Flood management

The Flood Management Directive applies to all kinds of floods (i.e. river, lakes, flash floods, urban floods, coastal floods, including storm surges and tsunamis) and requires EU Member States to approach flood risk management in three stages¹⁹⁴. The integrated framework approach to disaster risk assessment provided by the Decision allows EU Member States and the Commission to look at multiple hazards simultaneously. This is particularly relevant to cascading effects, which are frequently associated with floods. In that sense, the UCPM directly contributed to the objectives of the Flood Directive.

The Flood Directive and the Decision could potentially strongly reinforce each other. The preliminary flood risk assessment, flood risk maps and flood risk management approaches should feed into the development of NRAs. But DG ENV finds that EU Member States do not always integrate them while the strength of this link varies greatly.

In a recent survey of EU Member States' authorities carried out by DG ENV, 41 per cent of respondents¹⁹⁵ indicated that the introduction of the Flood Directive did not influence policy areas outside water policy, although among authorities who did consider it had impacted other policy domains, two-thirds said it influenced their approach to disaster and emergency planning and civil protection¹⁹⁶.

There is scope for the scientific community to be more involved in developing the European Flood Awareness System (EFAS). At the moment, EFAS sends information about upcoming flood events to those National Hydrological Services (NHS) that are

¹⁹³ Article 1 of the Decision states that “the protection to be ensured by the Union Mechanism shall cover primarily people, but also the **environment** and property, including cultural heritage, against all kinds of natural and man-made disasters, including the consequences of acts of terrorism, technological, radiological or **environmental** disasters”. The UCPM directly links with two different areas of the EU environmental policy landscape, namely: Natural disasters such as floods which are tackled through the Flood Directive; and industrial accidents and the Seveso Directive on the prevention, preparedness and response to such accidents.

¹⁹⁴ Whereby by 2011 Member States had to undertake a preliminary flood risk assessment; Develop flood hazard maps and flood risk maps; and Develop flood risk management plans for the zones identified in the above maps.

¹⁹⁵ Out of a total of 31 respondents.

¹⁹⁶ European Commission, undated. The Floods Directive first cycle questionnaire results report. Available at: https://circabc.europa.eu/sd/a/0fbde723-0ec1-4232-b9fb-f21f32296564/Report_implementation%20_Floods_Directive_15July2016_DRAFT-R1-00_for%20MS%20comments.pdf [20 February 2017].

members of the EFAS partner network, the EU Civil Protection Emergency Response Coordination Centre (ERCC) and the COPERNICUS rush mode mapping service,¹⁹⁷ and better awareness of the possibilities of EWS would have clear advantages.

¹⁹⁷ JRC (2015), The benefit of continental flood early warning systems to reduce the impact of flood disasters: <https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/benefit-continental-flood-early-warning-systems-reduce-impact-flood-disasters>

Control of major accident hazards involving dangerous substances (Seveso)

The Seveso Directive on the control of major-accident hazards involving dangerous substances requires operators and EU Member States to meet a series of obligations to prevent accidents and to ensure working mechanisms in the case of accidents. This includes producing external emergency plans for upper tier establishments, deploying land-use planning for the placing of establishments and ensuring that any necessary action is taken after an accident including emergency measures. Although there is no evidence of systematic, direct cooperation between relevant stakeholders in the UCPM and key stakeholders implementing the Seveso Directive, there is a degree of overlap within the integrated framework approach to disaster risk assessment provided by DG ECHO. The NRA developed under the UCPM can be very useful to put Seveso risks in context, and to generate better understanding of the importance of Seveso risks compared to other risks.

A 2015 Commission survey suggests that more effort is needed to strengthen cooperation between responsible DGs and relevant mechanisms towards better implementation of the Seveso Directive since nearly four-fifths of members and observers of the Seveso Expert Group indicated that the emergency response and post-accident activities are the most important priorities, highlighting the strong links between the UCPM and the Seveso Directive.¹⁹⁸

CBRN Disasters are among the priorities for preparedness activities and for international cooperation with Candidate and Neighbouring countries in the UCPM Work Programme 2016. The fourth meeting of the Seveso Expert Group in January 2016 confirmed that through the UCPM, *'the Commission can provide satellite images which could also be used for managing industrial disasters, or to facilitate land-use planning'*.¹⁹⁹ Such support can be provided and supported by the ERCC, the European Emergency Response Capacity and Participating States' obligations on risk assessment and management.

Improving cooperation between environmental authorities and civil protection authorities could be achieved by:

- Raising awareness among both authorities in flood risks, industrial hazards and incidents, and civil protection authorities about the potential for further cooperation, including communication to ensure that findings from the flood risk assessments are duly considered;
- Ensuring civil protection authorities include data requirements in the production of flood risk maps to tailor them to their needs and keep them relevant;
- Including Seveso risks in the NRAs developed under the UCPM; and,
- Promoting the use of UCPM tools as support to activities, interventions and exercises in major-accident hazards involving dangerous substances.

2.5.2.8 Regional policies

While the UCPM coordinates EU risk management, EU cohesion funds provide a substantial financial contribution to the implementation of disaster prevention and management policy at local and regional level. For 2014-2020, the EU has allocated EUR 8 billion through its cohesion funds for climate change adaptation and risk prevention and management. For EU Member States to access this funding, there is an ex ante condition requiring each to have a national or regional risk assessment for

¹⁹⁸ European Commission, 2015 - Seveso-III-Directive: Towards an implementation support strategy: at <https://circabc.europa.eu/d/a/workspace/SpacesStore/e65cfe62-8c1c-4ee3-9f6b-f0e4da8f02de/151013%20survey%20analysis.pdf>

¹⁹⁹ 4th Meeting of the Commission Expert Group On The Control Of Major Accident Hazards Involving Dangerous Substances ("Seveso Expert Group") – Draft summary records: at [https://circabc.europa.eu/d/a/workspace/SpacesStore/20f25bfb-657f-4452-9841-c4347450d12f/160301%20SEG-4%20draft%20summary%20v0-2%20\(sent%20to%20SEG\).doc](https://circabc.europa.eu/d/a/workspace/SpacesStore/20f25bfb-657f-4452-9841-c4347450d12f/160301%20SEG-4%20draft%20summary%20v0-2%20(sent%20to%20SEG).doc)

disaster management taking into account climate change adaptation. This is directly aligned with the requirements set in Article 6(a) of the Decision.

Twenty EU Member States have selected the theme of 'Climate change adaptation and risk prevention and management' as a specific objectives for 2014-2020. The highest share of cohesion funding is allocated to Poland (more than EUR 1 billion) and Italy (around EUR 0.9 billion). In addition, EUR 0.5 billion went to trans-country cooperation programmes that had reserved funding to this specific objective (the largest budgets were allocated to Italy-Croatia,²⁰⁰ Italy-France²⁰¹ and Romania-Bulgaria²⁰²).²⁰³ The activities supported include – development of strategies, reinforcement of monitoring and early warning systems, awareness raising and education, flood and coastal defence, logistical support for civil protection units, ecosystem-based solutions, and disasters-resilience and climate-proofing of public infrastructure.

The inclusion of ex-ante conditions is therefore an important success of the UCPM and it directly leverages funding into risk prevention and management at a scale far larger than could be achieved within the mechanism itself. Indeed, UCPM funds allocated to prevention (EUR 13 million in 2014-2016) and preparedness (EUR 12 million in 2014-2016) are small in comparison to the cohesion funds. It is, therefore, particularly important to identify where prevention and preparedness projects of the mechanism can complement activities funded through the cohesion funds.

2.5.2.9 Security, asylum and migration

Security

The UCPM has a mandate through the Decision to cover prevention and response to security-related incidents, such as terrorist attacks, nuclear and radiological incidents (CBRN). The preamble of the Decision also refers to critical infrastructure protection²⁰⁴.

In critical infrastructure protection, there is evidence that DG HOME is involved in UCPM actions, particularly in UCPM exercises (which DG HOME can attend as an observer). Joint exercises have also been held between DG ECHO and DG HOME, such as ARETE in 2014.²⁰⁵ Coordination between the two DGs can be strengthened in regards to third countries (e.g. high level meetings on critical infrastructures protection with Canada), while inter-service consultations should be fostered when new measures/actions are developed by one of the two DGs.

Better management of the consequences of security related incidents (such as terrorist attacks) may entail procedures similar to the consequences of a natural disaster (e.g. involving serious injuries, etc.), which could entail the UCPM adopting an 'all-hazard approach'.

A main barriers to the involvement of civil protection in security related events at national level seems to be the organisational structure of authorities in Participating States. Some highlighted coordination and cooperation issues with the relevant Ministries or authorities involved in the operational response to such events.

Asylum and migration

²⁰⁰ EUR 51 million

²⁰¹ EUR 45 million

²⁰² EUR 41 million

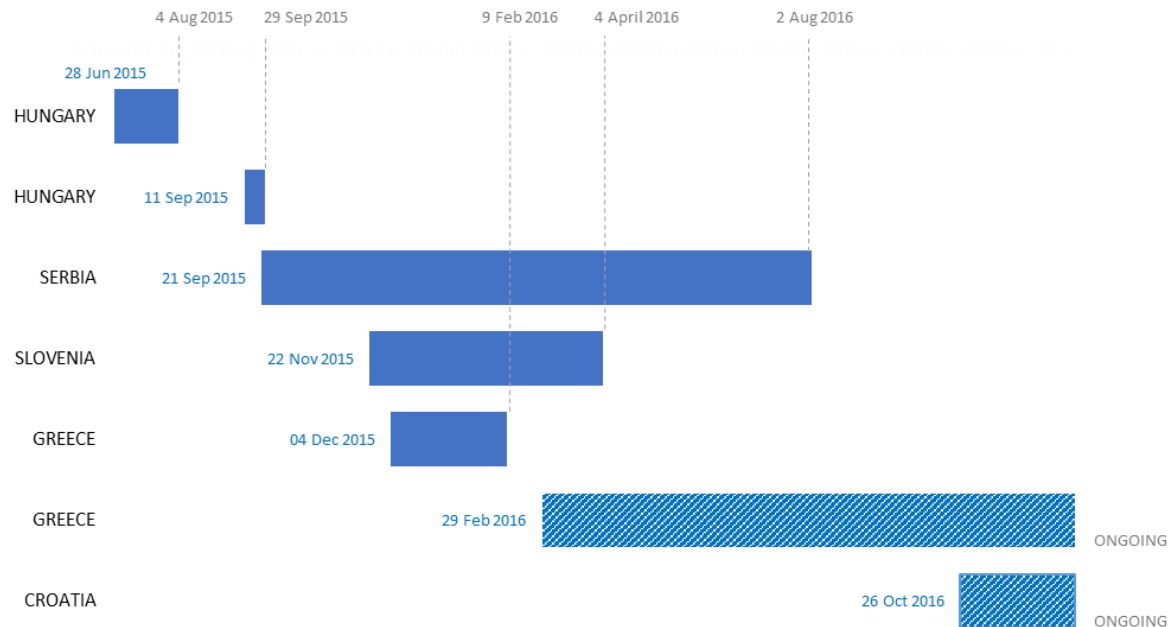
²⁰³ Cohesion Policy (March 2016), Funding opportunities to support disaster risk prevention in the cohesion policy 2014-2020 period

²⁰⁴ Indicating that the Union Mechanism should exploit synergies with relevant Union initiatives, such as the European Programme for Critical Infrastructure Protection (EPCIP)".

²⁰⁵ See: https://ec.europa.eu/home-affairs/what-is-new/news/news/2014/20141120_01_en

The mechanism was activated seven times between 2015 and 2016 to help Participating States to cope with the refugee influx from the Eastern Mediterranean route, i.e. through Greece and then through the Balkan countries. Based on available information, the mechanism is still active in some Participating States in 2017, as shown in Figure 34.

Figure 34. Activation of the UCPM for refugee crisis in Europe



Source: DG ECHO flash reports, ICF elaboration

Due to the extent of the support, an Emergency Support Instrument with a financial envelope of EUR 83million was made available to respond to urgent humanitarian needs in Greece.²⁰⁶ In-kind assistance was provided through the mechanism²⁰⁷, although no request for expertise was made by Participating States involved.

A key concern mentioned during the refugee emergency case study was ensuring there would be no duplication with organisations on the ground, such as the Red Cross, IOM and UNHCR. While the refugee emergency was atypical (compared to other UCPM operations) in-kind assistance provided was appreciated and considered useful by the Participating States concerned, despite limits to its scope and impact.

Experience in 2015-2016 improved the UCPM's readiness to respond to this type of emergency, although the mechanism remains supportive (second tier) rather than instrumental (first tier) in these situations as an organisational or operational driver on the ground of in-kind items and expertise.

Participating States judged support as helpful, although not necessarily the most important source of support.²⁰⁸ Humanitarian aid support was not coordinated directly through the mechanism but through other channels, namely with the coordination of Ministries of Interior.

²⁰⁶ EUR 15.6 million have been allocated to fund primary health care, referral to hospital, psycho-social support

²⁰⁷ E.g., protective equipment (25,000), blankets (20,440), clothing-disposable raincoats (18,000), roll mats (15,520), sleeping bags (12,430), beds (6,305), bed clothes (5,275) and others. As part of more expensive items it includes – solar lanterns (800), heaters (580), latrines (90), residential containers (20), power generators (12), sanitary containers (3) and others

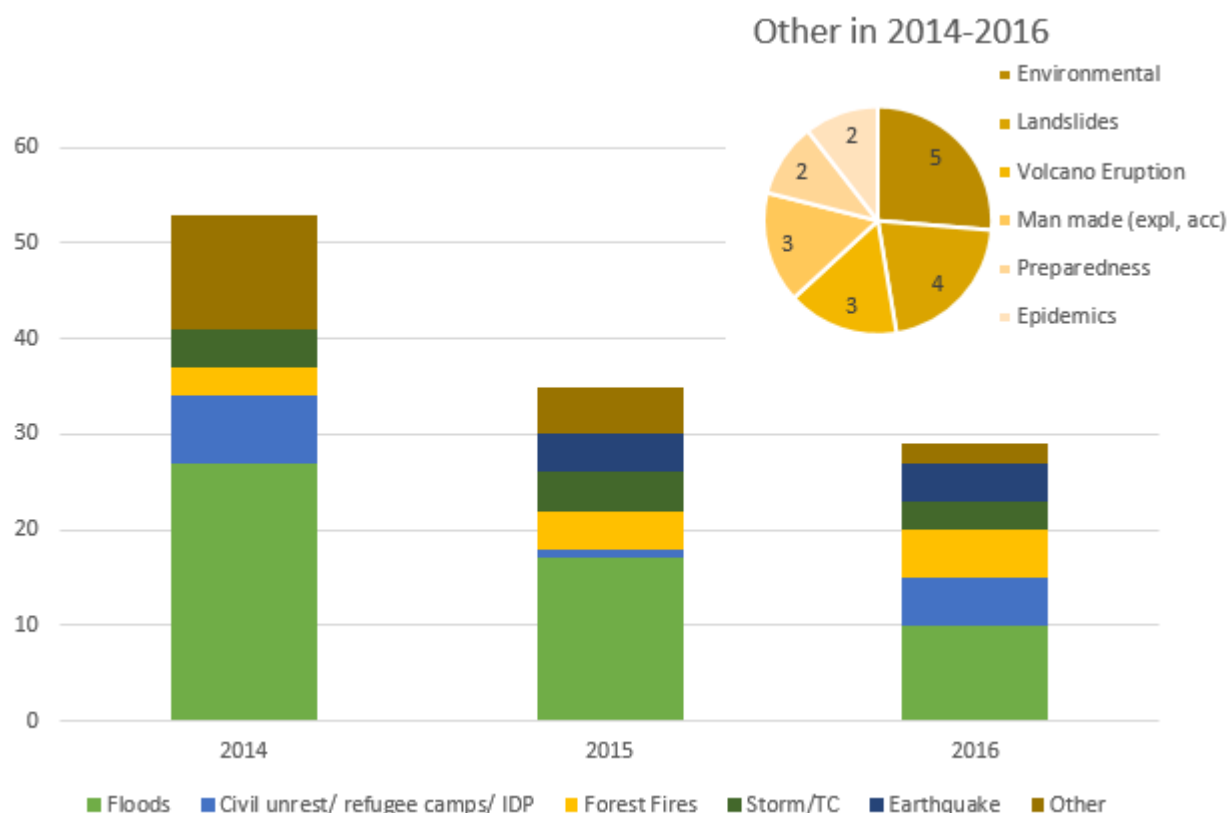
²⁰⁸ Data from one Member State showed needs to be met only for a small percentage of what was requested.

2.5.2.10 Research and innovation

The UCPM has made considerable progress in research and innovation, ensuring general coherence with the research and innovation agenda of the Commission through a number of channels. The UCPM directly finances the DRMKC managed by the JRC²⁰⁹. It also supports the Major Accidents Hazards Bureau of the JRC, a special unit within the JRC Institute for the Protection and Security of the Citizen, Hazard Assessment Unit, dedicated to scientific and technical support for the actions of the European Commission in the area of the control of major Industrial Hazards.²¹⁰

Figure 35 provides an overview of the emergency requests during 2014-2016, with 54 in the area of floods, 13 regarding civil unrest/refugee emergencies, 12 regarding forest fires, 11 for storms, eight for earthquakes and 19 other, which are highlighted separately.

Figure 35. Overview of emergency maps requested between 2014-2016



Source: DG ECHO, ICF elaboration

It also informs the research agenda and activities of initiatives such as the Copernicus Emergency Management Service of the JRC and the ARISTOTLE projects that will deliver world-leading multi-hazard capability to the ERCC²¹¹. Copernicus is the EU's earth observation programme for real-time observation and monitoring through satellites and ground-based measurement systems.

The integration of the early warning systems of EFAS and EFFIS into the Emergency Management System (EMS) of Copernicus in 2012 has streamlined cooperation channels between the JRC (responsible for the design of the systems themselves), DG

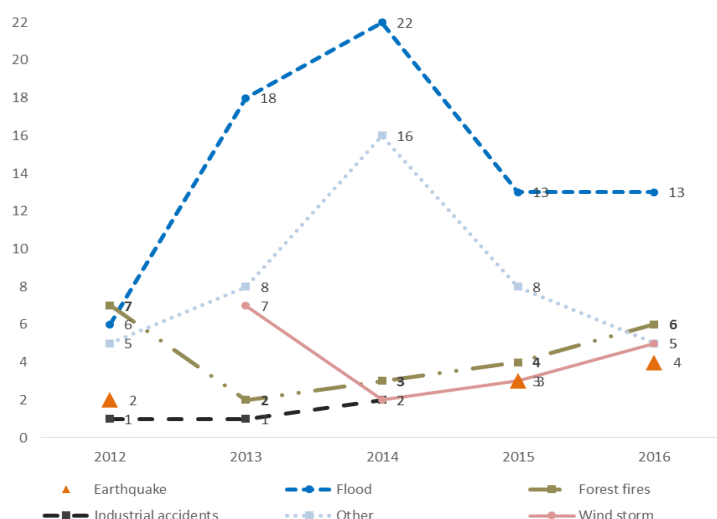
²⁰⁹ See: <http://drmhc.jrc.ec.europa.eu/>

²¹⁰ This supports the implementation of the Seveso Directive by the enlargement countries not participating in the Mechanism and European Neighbourhood Policy countries

²¹¹ See: <http://aristotle.ingv.it/>

GROW/Copernicus (managing the EWS) and DG ECHO (bringing together important end-users of the systems). Similarly, the Rapid Mapping products²¹² allow on-demand and quick provision of geospatial information for, during and after emergencies and are relevant to civil protection end-users of the service. The number of requests received (shown in Figure 36) received was around 33 per year. Some Participating States are more aware of this service and future awareness raising could bolster knowledge and use of such systems among the civil protection community, particularly at local, regional and UN level.²¹³

Figure 36. Rapid mapping service requests received by DG GROW



Source: DG GROW, ICF elaboration

Copernicus (DG GROW) expects further improvement to the quality of the various technologies currently being used, and those expected in the future (e.g. very high resolution satellite data, use of drones), plus a move towards more integrated EWS and into risk & recovery. Institutional arrangements exist within DG ECHO²¹⁴, although better cooperation could tackle existing fragmentation.

Synergies with DG ECHO activities exist within the wider research area. Key publications cover capacity-building and preparedness in the European Neighbourhood²¹⁵, flood early warning systems²¹⁶, IT solutions for Situation Awareness

²¹² See: <http://emergency.copernicus.eu/mapping/ems/ems-rapid-mapping-products>

²¹³ See: <http://emergency.copernicus.eu/mapping/ems/copernicus-ems-user-guide> & http://emergency.copernicus.eu/mapping/sites/default/files/files/EMS_Mapping_Manual_of_Procedures_v1_1.pdf

²¹⁴ such as the Copernicus committee, Copernicus User Forum, annual user workshops of EFAS and EFFIS (coordinated by the JRC) and an annual mapping event

²¹⁵ JRC (2015) Strategy for Capacity Building on Chemical Accident Prevention and Preparedness Programmes in EU Neighbourhood Countries: <https://ec.europa.eu/jrc/en/publication/strategy-capacity-building-chemical-accident-prevention-and-preparedness-programmes-eu-neighbourhood>

JRC (2015) Strengthening Chemical Accident Prevention and Preparedness in European Neighbour Countries. <https://ec.europa.eu/jrc/en/publication/strengthening-chemical-accident-prevention-and-preparedness-european-neighbour-countries-prepared-dg>

²¹⁶ JRC (2015), The benefit of continental flood early warning systems to reduce the impact of flood disasters: <https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/benefit-continental-flood-early-warning-systems-reduce-impact-flood-disasters>

and Incident Management of relevance for civil protection²¹⁷, and lessons learnt from EU exercises in critical infrastructure protection.²¹⁸

In 2016, JRC published the report 'Science policy interfaces in disaster risk management in the EU'²¹⁹ which concluded that "*[i]n emergency response, uncertainty and accountability are sometimes problematic, affecting some of the features of an efficient S[cience]P[olicy]I[n]terface. In those cases, it would be positive to have a clear legal framework and carry out capacity-building activities for each community [...] policymaking, SPIs are common for prevention and preparedness although scientists are sometimes not engaged in policy implementation or review [...] it is proposed to boost more and stronger SPIs for prevention and more cross-sectoral networks including research, linking different sectors and administrative levels*".

Stronger relationships between the scientific community and policies on prevention, preparedness (especially) and response will help create a more robust community of practice to cover all activities of the UCPM.

2.5.3 The external coherence of the UCPM: synergies and complementarities with national or international frameworks/initiatives

Work with international organisations mainly occurs at policy level, and via specific agreements. Challenges remain on practical and operational coordination of activities. There is evidence of external coherence in implementing Sendai framework for disaster risk reduction and for training activities.

Several international partners alluded to the scope for expanding training capacities to third countries, accompanying development activities, arguing that this would improve future response operations. Training could also improve coherence to the Sendai framework. According to one interviewee, this is currently part of national and UN training courses, but lacks EU-level elements. There have been positive steps, however, as the World Food Programme (WFP) signed a Memorandum of Understanding with DG ECHO in 2016 covering training in different areas.

2.5.3.1 Sendai framework for Disaster Risk Reduction

The Sendai framework for Disaster Risk Reduction 2015-2030, adopted at the third UN World Conference in Sendai (Japan), formally succeeds the Hyogo Framework for Action on 'Building the Resilience of Nations and Communities to Disasters'.²²⁰ The Sendai framework was built on four main priorities for action:

1. Understanding disaster risk;
2. Strengthening disaster risk governance to manage disaster risk;
3. Investing in disaster risk reduction for resilience; and
4. Improving disaster preparedness for effective response and to 'Build Back Better' in recovery, rehabilitation and reconstruction.

Under priority two, there was strong emphasis on the peer reviews as an instrument to promote mutual learning and exchange of good practices and information. Here, DG ECHO worked with OECD and UNISDR (UN International Strategy for Disaster Risk Reduction) to implement the UCPM peer review programme on DRR. All eight reviews carried out within the programme (including the first two pilot reviews) benefitted

²¹⁷ JRC (2014) Situational Awareness & Incident Management SAIM2014. 5th JRC ECML Crisis Management Technology Workshop: <https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/situational-awareness-incident-management-saim2014-5th-jrc-ecml-crisis-management-technology>

²¹⁸ CIPRNet (2014), CIP Scenarios: Lessons learnt from EU Exercises, <https://ec.europa.eu/jrc/en/publication/articles-journals/cip-scenarios-lessons-learnt-eu-exercises>

²¹⁹ Joint Research Centre (2016): Science policy interfaces in disaster risk management in the EU: Requirements and conditions for efficient SPIs in practice

²²⁰ Sendai Framework for Disaster Risk Reduction 2015 – 2030, United Nations – available at http://www.preventionweb.net/files/43291_sendaiframeworkfordrren.pdf

from OECD High-Level Risk Forum guidance and experience in conducting peer reviews in disaster risk management policies. Cooperation with the OECD has brought complementarity to UCPM activities, as the Participating States or third countries where peer reviews were/are carried out are different (so far), and calls for further collaboration. DG ECHO and OECD also collaborated (with the JRC) on developing indicators and terminology of the Sendai framework.

In the context of Priority one (understanding disaster risk), in 2015 the Commission developed its Risk Management Capability Assessment Guidelines.²²¹ Although NRAs performed by all Participating States to date contributed to the implementation of the Sendai framework, there is room for better coherence between the civil protection sector and other sectors on the one hand and on the other between EU, national and regional levels. Cooperation with relevant players responsible for housing standards, urban planning, health, law enforcement, environment, infrastructure, agriculture and forestry, can be further strengthened.

Civil protection authorities surveyed perceived UCPM interventions, actions and services to be coordinated with, and complementary to, interventions, actions and services conducted by their own country, other countries, other EU actors and other international organisation working in civil protection/disaster risk management. However, the majority of respondents to the OPC argued that there should be more support for the EU Action Plan on the Sendai Framework for Disaster Risk Reduction (2015-2030), particularly in relation to Priority Area III²²² in promoting risk-informed investments for all EU external financial instruments.

Finally, DG ECHO has managed to develop its resource capacity to improve preparedness, response, and recovery measures, directly helping to achieve the goals in priority four.²²³ For example, new early warning technological systems have been developed to enable the detection and adequate response to potential natural disasters, such as the European Forest Fire Information System (EFFIS), the European Flood Alert System (EFAS) and the Global Disaster Alert and Coordination System (GDACS). This further enhance the external coherence between international developments and the UCPM.

²²¹ Risk Management Capability Assessment Guidelines (2015/C 261/03), [http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52015XC0808\(01\)](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52015XC0808(01))

²²² Investing in disaster risk reduction for resilience

²²³ Sendai Framework for Disaster Risk Reduction 2015 – 2030, United Nations. See, for example, paragraph 33 (b): To invest in, develop, maintain and strengthen people-centred multi-hazard, multi-sectoral forecasting and early warning systems, disaster risk and emergency communications mechanisms, social technologies and hazard-monitoring telecommunications systems.

2.6 The added value of the UCPM for Participating States and third countries

This section assesses the EU added value of the mechanism and whether Participating States could have carried out the investments necessary for the implementation actions of similar scale in the field of civil protection in isolation. The principle of subsidiarity (Article 5 of the Treaty on European Union) states that the EU should only act when objectives are better achieved by the EU.

Overall, individual Participating States have benefited from coordinated EU action in civil protection. Under the prevention pillar, coordination includes a common strategic approach to disaster risk prevention via the national risk assessments. Under the preparedness pillar UCPM has increased capacity and deployment capabilities due to training and exercises. In the area of response, the mechanism has enabled significant response capacities and coordination at EU-level, including modules, experts and equipment.

2.6.1 EU-added value of UCPM assistance (*compared to bilateral and other forms of assistance*)

Individual Participating States have benefited from coordinated EU action in civil protection, especially through increased capacity (technical expertise, modules and equipment), and cooperation with neighbouring countries and other countries sharing similar risks. A joint approach to civil protection activities also raises the visibility of the civil protection sector as a whole.

2.6.1.1 Prevention

EU added value of the results achieved through prevention activities

Prior to the development of a strategic approach towards disaster prevention policy at EU level, not all Participating States had well developed policies aimed at preventing disasters. The prevention activities undertaken through the UCPM have encouraged Participating States to develop prevention policies, specifically through prevention projects. Participating States have also benefitted from the exchange of good practices and expert meetings organised at EU level.

The following prevention activities implemented through the UCPM contributed to a shared and more effective disaster risk reduction strategy across the EU, in line with the Sendai Framework and the Cohesion Policy (see also Section 2.5.3.1 on the Sendai framework for DRR):

- NRAs became common practice for UCPM Participating States under the new Decision.²²⁴ Risk assessment guidelines and related workshops (e.g. on risk awareness) contributed to an integrated preventive approach across administrative and geographical boundaries (such as in integrated flood risk management plans), through the EU Cohesion Policy or through regional strategies such as the Danube Strategy and Baltic Sea strategy. The UCPM makes available guidelines and methods and helps with adopting common approaches, beyond disaster risk management. Such risk assessments are expected to lead to the identification of risks across the EU, more coherent risk management practices and ultimately enhanced preparedness.

²²⁴ The OECD has worked with DG ECHO in this approach in view of its experience with NRAs to support Participating States in developing their NRAs. In this regard the OECD will soon develop a cross comparison of 21 PS, based on case studies, of how NRAs are used as a risk governance tool, in order to decide what capabilities need to be developed (to be published in May 2017).

- As regards the Sendai framework, the 2016 Commission action plan for 2015-2030²²⁵ is considered beneficial, and the NRAs feed into this framework. While the UCPM plays a supporting role, it contributes to a changing strategic and operational landscape in disaster risk reduction.
- Building a community of (scientific) practice through the JRC DRMKC, including on EWS and amalgamating the latest scientific knowledge (through reports and channels for communication exchange, meetings, and committees) is part of the work in pillars and improves prevention policies and approaches. This generates better early warning and detection systems and more science and research based prevention and preparedness approaches.
- Prevention and preparedness projects achieved results that could not have been achieved alone by Participating States without UCPM. Project coordinators highlighted the difficulties in ensuring funding at national or regional level indicating the scale of this activity would have been less without UCPM. Most projects involved several partners from different Participating States. The establishment of good working relationships continued to be a feature of these projects and to prove vital in disaster interventions overseas. These projects also supported the establishment of informal channels between national authorities responsible for emergency situations. The scale of projects in disaster risk management and prevention via cohesion policies is indicative of EU added value. The involvement of DG ECHO in enabling this process contributes to the added value of the UCPM.
- In spite of these positive developments, there is a risk of duplication because of the variety of funding mechanisms supporting prevention and preparedness activities, (e.g. Civil Protection funding mechanism, ERDF, IPA, InterReg MED Programme, etc.). For projects with similar objectives, it makes sense to further develop mutual learning activities, particularly during project implementation, since one project's success could be passed on to another project, supporting the sustainability of results (see also Section 2.7 on sustainability). The work carried out on prevention with, for example, the JRC (which can be mobilised via the ERCC), the Aristotle project or the European Space Agency (ESA) was only partially exploited. Avoiding duplication and increasing exploitation of scientific findings would further increase the EU added value.

2.6.1.2 Preparedness

The Voluntary Pool and the intervention modules have added value to concrete actions in different context, including during emergencies, with high visibility. The resulting capacity and its deployment capabilities (including training and interoperability), are larger than would have been possible through national capabilities alone. Other examples of EU added value of the UCPM-supported preparedness activities include the quality assessment of EU-wide experts trained, the innovativeness of preparedness projects (new elements added following research, new management or operating methodologies).

The EU added value of preparedness activities, such as training and exercises, lies in their ability to encourage national and EU capacity-building efforts. While there is concern about how the effectiveness and efficiency of some of its elements (see also Section 2.4.4) impacts on its added value (such as creating better value for money), there is EU added value in creating synergies between participants, and providing a platform for joint training and exercises relevant to deployment. There would have

²²⁵ Commission Staff Working Document (2016), Action Plan on the Sendai Framework for Disaster Risk Reduction 2015-2030, A disaster risk-informed approach for all EU policies http://ec.europa.eu/echo/sites/echo-site/files/sendai_swd_2016_205_0.pdf

been less overall EU capacity without these elements, while coordination in the field (such as during deployments among team leader and staff) would have been less effective during emergencies.

- **Voluntary pool and modules**

The Voluntary Pool of Participating States' assets on standby for EU operations facilitated the planning of operations and added predictability, ensuring that key assets could be relied upon when needed, thus improving EU-wide contingency-planning and the adequacy of EU response in emergencies, as well as maximising synergies among the various deployed assets.

The civil protection assistance modules conformed to minimum quality requirements and respected the applicable international and EU guidelines, thus enhancing the quality and robustness of the EU response capacity, strengthening cooperation and developing Participating States' joint rapid response. Modules directly supported the national response to disasters in affected countries, since Participating States profited from a wider pool of capacities, equipment and expertise, and thereby created considerable EU added value. This may be offset to a small extent by some duplication of efforts, although not necessarily within the UCPM, but because of existing capacities at international level.

A DG ECHO capacity gap report highlighted modules underrepresented in the Voluntary Pool. An increasingly needs-driven process, as opposed to resource-driven, would increase EU added value. When measuring results achieved by the mechanism, focusing on the «input» criterion (e.g. number of capacities in the Voluntary Pool) might draw attention away from other relevant factors, including quality and value of the assistance provided, the impacts of the deployments and the strategies or measures behind the planning.

- **Training, simulation exercises and exchange of experts programme**

As regards training and table top and modules exercises, the UCPM contributed to a robust European network of civil protection professionals. This network contributed to the exchange of expertise and best practice while simultaneously establishing common operating procedures and standards across Europe. This networking effect facilitated cooperation and on-the-ground interventions and thus EU added value. In this context, the new Disaster Management Training Network (to be introduced in the course of 2017) should further facilitate cooperation in training by pooling together interested stakeholders, including universities, professional disaster management organisations, volunteers and private companies.

The exchange of experience and learning from best practices remain the key effects of the EoE programme. While a relatively small financial component, the practitioners involved over the years have created a considerable EU-wide body of knowledge and expertise. The training, exercises and EoE programme would have been unlikely to exist without the mechanism. This is not only a financial matter, the mechanism also added value by developing expertise and capabilities, and creating opportunities for knowledge sharing and networking.

The access to training and exercises for smaller Participating States that otherwise would not have the financial or human resources to participate is another example of EU added value in this area.

The inconsistency in implementing lessons learnt identified (after every single training, exercise or exchange) and how they feed back into the design and planning of these activities, diminishes slightly the EU added value.

- **Pilot projects and preparatory actions**

Pilot projects and preparatory actions contributed to the establishment of common procedures and standards and thus EU added value for all Participating States.

The pilot projects, EUFFTR (firefighting) and the ARTISTOTLE project (aimed at supporting the ERCC in improving coordination efforts across the EU via a European Natural Hazard Scientific Partnership), plus the preparatory actions, contributed to the development of additional capacity that would not have been developed by Participating States acting alone.

Cooperation between Participating States was strengthened by involvement in these actions. In most cases, preparatory actions helped deepen the understanding of civil protection authorities' activities and operational procedures, leading to improved coordination between authorities in case of a major disaster.

2.6.1.3 Response

The EU added value of EU-level organisation of response operations, through the ERCC, is high. It has enabled the better identification of capacities, the development of a large reserve of deployable experts and the coordination of efforts, particularly in more complex emergencies where bilateral or regional cooperation might not generate sufficient capacities or expertise. For third countries and international partners, the ERCC has enabled partners to reach out and request assistance from Participating States via a single platform. This provides Member State NCPs access to a huge reserve of capacities and expertise. Criteria relevant to measuring such EU added value include overall EU capacities available for emergency response (both quantity and quality), time intervals when these capacities can be deployed, and speed of communication (time intervals between requests and replies) across multiple Participating States.

In its role as coordinator of the deployment of assistance and experts in case of disasters within the EU or outside the EU, the EU added value of the ERCC also lies in supporting regional forms of cooperation. There are still bilateral forms of support among EU Participating States and international coordination (e.g. UN Agencies) for disasters outside the EU, while for some regional emergencies, civil protection authorities found bilateral forms of cooperation easier to set up and use than the ERCC.

A number of other activities contribute to EU added value in the area of response:

- By supporting transport pooling and providing co-financing for the transport of the assistance under certain circumstances, the Commission added value since it facilitated the deployment of teams and assistance that would not have happened without its support.
- Early Warning Systems, mapping services and satellite imagery enable Participating States to access state-of-the-art alert systems covering the full spectrum of hazards. These are particularly important to Participating States that otherwise would not have the human or financial resources to develop these.
- CECIS is considered a useful centralised information sharing platform, a 'one-stop-shop' for responding to disasters, with clear EU added value. CECIS standards were noted as a best practice in OECD recommendations, making it a useful tool for crisis communication among emergency networks and contact points. In spite of room for improvements around data extraction, managing bilateral offers in a coordinated manner would be more complex and cumbersome without CECIS.

2.6.2 The added value of the UCPM for third countries

UCPM interventions in third countries aimed to: (1) improve the civil protection capacities of these countries, (2) reduce the risk of disaster occurring and the possible consequences; and (3) generate a more integrated approach to prevention, preparedness and response to disasters, while bringing third countries closer to the UCPM.

The IPA programme on Civil Protection Cooperation²²⁶ and the PPRD South and East brought added value to third countries where implemented, despite concerns raised (see section 2.5).

In general, UCPM activities helped reinforce the partner countries' knowledge and response capacity thus reducing their vulnerability to disasters, in various areas: the development of risk assessment and analysis tools; trainings, workshops, study visits, and technical assistance missions; regional exercises; information and communication campaigns. The activities undertaken by the mechanism via these programmes increased cooperation, not only with the EU but also between partner countries in the regions. These programmes affected national policies and strategies included contribution to the development of a national strategy on civil protection, identification and closure of gaps in civil protection legislation and practices or through the set-up of a permanent liaison officer post, etc.

The activation of the mechanism in third countries also added value by providing assistance, including the use of resources and equipment (e.g. aircrafts to fight forest fires). The activation of the mechanism also provided beneficiary countries with practical experience of the workings of the mechanism and offered lessons learnt in response capacity and host national support structures. Here, cooperation with international partners, such as OCHA, has proved essential and has substantially progressed, particularly involving knowledge of the UN guidelines on interventions at international level. The action of the mechanism in third countries has also brought visibility to the EU, by expressing solidarity to disaster-affected countries.

The added value of actions with third countries is still slightly reduced by difficulties in risk management and response capacity planning, notably in conjunction with international organisations involved. Therefore, there is the risk of duplicating efforts (e.g. in areas such as water purification or field hospitals already present within Red Cross/IFRC modules), potentially undermining the EU added value of the mechanism (see also Section 2.5.3). There are opportunities for improving the lessons learnt programme and embedding it more fully into the mechanism operational processes and to further increase the focus on prevention.

The lack of time dedicated to assessing needs during the post-disaster phase highlights the need for more systematic interaction between the UCPM and post-disaster assessments, and the need to feed DG ECHO expertise and evaluations into the long-term recovery assessments/post-disaster management. This was highlighted by experts, an international partner and some EC officials.

Civil protection is considered a good entry point to discuss risk assessment/management with third countries and the international agency with mandate on response to disaster is also usually responsible for prevention (e.g. floods in Malawi in 2015, managed by United Nations Disaster Assessment and Coordination (UNDAC) mission).

The added value of the mechanism in responding to major disasters outside the EU could be increased by further exploring the links between civil protection and humanitarian aid (see Section 2.5.3 [Humanitarian aid](#)) and through reinforced civil-military cooperation. But the shift of the UCPM from a civil protection tool to a humanitarian aid tool needs to be carefully assessed, particularly considering the limited share of the civil protection budget in the total budget of DG ECHO, compared with the humanitarian action budget (less than 5 per cent).

²²⁶ The second phase of the IPA programme on Civil Protection Cooperation started at the end of 2013 while the IPA Programme on flood prevention in the Western Balkans and Turkey took place in 2014-2016.

2.7 The sustainability of the UCPM

The evaluation has considered sustainability in terms of assessing how far the effects of actions performed within the UCPM have lasted even after the intervention ended. Sustainability is especially important for prevention and preparedness activities. Response activities are normally short-term.

Participating States conduct activities to ensure sustainability of UCPM funded actions. Knowledge sharing and awareness raising activities contributed to the sustainability of the UCPM. These initiatives are further supported by meetings and/or events with national and regional/local authorities to stress the importance of outputs and results. Factors that can negatively impact on sustainability include ad hoc rather than institutionalised action and staff departures leading to knowledge and expertise gaps.

2.7.1 Exchange of experts programme, training and exercises

Data gathered on the EoE programme illustrates how knowledge and skills at UCPM level can create a broad base from which to exchange skills and knowledge. There are however, some concerns about relying on the skills and competences of individuals rather than institutionalised structures ensuring continuity. Overall the EoE programme helps raise awareness about the UCPM, it enhances international relationships and allows teams to expand their network of contacts for further cooperation at international level, enhancing overall capacity.

The EoE programme is relatively small in terms of budget, but involves many people and has an important capacity-building function. Through the programme expertise and knowledge gets circulated between civil protection authorities, which can be further shared and promoted by those persons having been involved in the exchanges. While most experts (i.e. EoE participants) pointed out that knowledge gained through the programme is shared with colleagues at national level, this cannot be easily verified. But the tools and mechanisms exist to ensure the sustainability of knowledge acquired through the programme, particularly via specific reporting requirements and dissemination activities at national level, as well as other tools.²²⁷ There are however, some risks, since ad hoc structures – while functional and focused on meeting specific needs – can lead to loss of ‘institutional memory’ when key participants or organisers withdraw. The structures and reporting/sharing requirements and mechanism at national level affect whether knowledge and learning is further disseminated.

Financial sustainability is uncertain because the size and scope of the programme of experts participating in exchanges across the EU would not be sustainable in its current form unless national governments funded their own experts.

Training and exercises

Training and exercises support the exchange of knowledge and skills, factors that encourage the success of a sustainable community of practitioners. The number of people involved and the quality of training and exercises play a positive role in ensuring sustainability, again through the significant build-up of capacity across the EU.

The main concerns relate to the sustainability of knowledge and to what extent there is take-up of the lessons resulting from trainings and module exercises. In particular, it can be questioned whether the existing contractual arrangements through which trainings and exercises are arranged are conducive to sustaining UCPM activities. For example, the lack of a unified system for organising and sharing lessons learnt from previous training may limit opportunities to consolidate knowledge and share experiences and know-how across consortia. Concerns about some training courses

²²⁷ Including Archives of photos; Dissemination of cascade information at a local level; Presentations and workplace reporting; Publishing of articles in press; Exercises; National congresses and workshops; and, Trainings and forums.

not being properly interlinked could pose a threat to the sustainability of knowledge and lessons learnt in training. While this does not necessarily threaten the sustainability of the training itself, it does provide risks to the sustainability of knowledge acquisition.

In spite of high levels of *reported* sustainability of results and lessons learnt through MODEX, the Estonia MODEX case study illustrates that at least in *some* cases learning practices are promoted and carried out by the contractors rather than by systematically collating good practices and lessons implemented by the contracting authority. The evaluation of the previous mechanism 2007-2013 showed that more frequent opportunities to exercise the (inter)operability of modules even on a smaller scale and during less complex exercises would contribute to their sustainability in terms of up-skilling of participants.

Participants in training courses mentioned dissemination of knowledge at national level and capacity building activities of local and national stakeholders. However, dissemination and capacities at Participating State level was beyond the scope of this evaluation and could not be verified.²²⁸

The 2017 Estonia MODEX illustrated participants' general satisfaction with the current number and frequency of UCPM exercises. The organisation of a small table top exercise prior to the start of a MODEX could help EUCPT members revise what was learnt in UCPM training. This recommendation was partially addressed in recent module exercises through the organisation of refresher trainings for the EUCPT team, ensuring sustainability of knowledge gained.

2.7.2 Prevention and preparedness projects

Tools and practices for ensuring sustainability

The following activities pertinent to sustainability were *perceived* by stakeholders as adequate:

- Communication and awareness raising efforts to disseminate information on the results of the UCPM funded projects;
- Knowledge management efforts to allow civil protection and other disaster risk management stakeholders to easily access data and knowledge produced by UCPM-funded projects; and,
- Efforts to present and convey the results of UCPM-funded projects in a format easily usable by the civil protection and other disaster risk management stakeholders in Europe and beyond.

A stronger coordinating role by DG ECHO could enhance the potential for sustainability of interlinked preparedness activities and guarantee a sufficient level of knowledge sharing among different contractors, and follow-up of activities on completion. For example, when knowledge gained through the training system is applied in a table top exercise, strong coordination is crucial to ensure that this is applied in a controlled environment, generating optimum learning during training and module exercises.

Continuation of projects through national and other levels of funding

Findings of the 2014 ex-post evaluation of the previous mechanism (2007-2013) indicated that, in general, project results were not directly absorbed at national level following completion of planned activities. Concrete project outputs (e.g. guidelines or procedures developed) could not always be implemented at national level because of a lack of resources (financial or human resources), capacity or expertise, or the necessary transnational coordination mechanisms (e.g. in case of project with transnational relevance).

²²⁸ While information was requested in stakeholder interviews, the evaluation was not in a position to verify information obtained from Participating States through such interviews by carrying out further primary research.

During 2014-2016, the perception of sustainability of projects increased and most projects are scheduled to continue and/or be scaled up using other funding sources, such as national, regional or other EU funding. There are no data, however, indicating as to whether such take-up is possible.

Funding from sources other than the civil protection budget is needed to continue supporting certain activities. In other cases, despite the end of funding, project results can last longer and trigger activities and initiatives at national level. Indeed certain projects from 2007-2013 carried over into 2014-2016.

Examples of project continuity

A 2013 CURIE exercise on risk awareness continued even after the project ended. Activities aimed at involving the local population were developed based on the exercise. Similarly, the project 'EURACARE - European Assistance Team for Citizens in Areas of Evacuation' implemented in Austria developed into a multinational module shared by Johanniter and the Government of Styria, enabling further partnership building, training and mission preparedness activities after the end of UCPM funding. Another example provided is the 'BaltFloodCombat', a multinational active module providing flood response capacity and including members located in three countries - Estonia, Latvia and Lithuania.

Compared to the previous mechanism, the UCPM 2014-2016 has been more effective in disseminating project results to a wider audience, something that may boost project sustainability. The 2014 ex-post evaluation showed that the results of prevention and preparedness projects were not extensively promoted and made visible to national civil protection authorities and to the general public. The dissemination of results involving a transnational mechanism are likely to increase the overall effectiveness by ensuring sustainability and multiplier effects of the use of the end results. Awareness raising activities to disseminate information on the results of the UCPM-funded actions are now being carried out by most of Participating States. Project coordinators often consider prevention and preparedness project results to be replicable in other EU and non-EU countries.

3 Conclusions and recommendations

3.1 Conclusions

This sub-section provides conclusions of the Interim Evaluation of the UCPM 2014-2016 presented in Section 2. It is structured around the evaluation criteria and the evaluation questions addressed by the evaluation.

3.1.1 Effectiveness

Evaluation Questions

To what extent have the objectives of the Decision been achieved?

To what extent has progress been made in achieving a high level of protection against disasters by **preventing** or reducing their potential effects? (article 3 (a))

To what extent has progress been made in enhancing **preparedness** at Member State and Union level to respond to disasters? (article 3 (b))

To what extent has progress been made in facilitating rapid and efficient **response** in the event of disaster or imminent disaster? (article 3 (c))

To what extent has progress been made in increasing **public awareness** and preparedness to disasters? (article 3 (d))

To what extent the UCPM contributed to achieving the general objectives of the Decision?

Given the current timeframe, is the UCPM on track to achieve the specific objectives of the Decision?

To what extent have the objectives of the Decision been achieved?

To what extent the UCPM contributed to achieving the general objectives of the Decision?

Overall, the UCPM has progressed towards the objectives set by the 2013 Decision. The mechanism has so far been particularly effective in improving cooperation and coordination between stakeholders in the civil protection sector, including Participating States, international partners and certain EU services. This was largely due to the coordination of activities at EU level enabled by the establishment of the ERCC. Other activities involving exchange of experiences amongst Participating States such as those implemented under the training programme, the exercise programme and within prevention and preparedness projects were also contributed to improved cooperation and coordination in the civil protection sector.

External factors presenting challenges to the functioning of the UCPM included the advent of atypical emergencies such as the refugee humanitarian crises. Internal constraining factors include the limitations in the monitoring arrangements, transport financing, and the approach to capacity-building activities such as training and exercises.

Other factors undermining overall effectiveness of the mechanism were linked to horizontal activities, including the selection of prevention and preparedness missions and insufficient capitalisation on lessons learnt.

The evolving scope of civil protection interventions and, in particular, the blurred definition of such interventions in humanitarian aid response operations, was a challenge impacting the ability to achieve the objectives.

The horizontal activities of the UCPM have been largely effective, but there is room for improvement in all three key activities:

- **Peer reviews:** while six peer reviews were scheduled for 2015 and 2016, debate around how the system could work most effectively highlights that more needs to be done to improve and explain their use;
- **Prevention and preparedness missions:** several missions were organised successfully during 2014-2016. There are still challenges around the visibility and accessibility of such missions among third countries, and concerning the follow-up of results;
- **Lessons learnt:** the UCPM has been relatively effective in identifying lessons learnt across the three pillars, although important challenges remain in applying lessons learnt consistently and effective implementation (also across different activities).

To what extent has progress been made in achieving a high level of protection against disasters by preventing or reducing their potential effects? (Article 3 (a))

The UCPM has made important progress in the area of prevention. There are a number of activities that have supported the mechanism in ensuring a higher level of protection against disasters through prevention actions:

- Disaster risk assessment and disaster risk management activities – the UCPM legal basis for the mechanism was crucial to the development of NRA. While the depth and quality of the summaries provided differs, they provide a solid basis for mapping EU-wide risks, particularly as the NRAs are scheduled to be updated every three years. While some areas are currently underreported/underdeveloped in these NRAs (such as climate change adaptation, health, environment) EU-wide or Participating State-level individual gaps can be identified and followed-up.
- Research activities carried out by the JRC DRMKC have increased over the past years, and there have been improvements to Early Warning Systems for detecting disasters. There is evidence of these activities being better shared with DG ECHO and the civil protection community in Participating States, although knowledge about these activities is not yet sufficiently disseminated among Participating States and relevant practitioners.
- Prevention projects particularly contributed to a) improving the knowledge base on disaster risks and disaster prevention policies and raising the awareness of disaster prevention thus leading to a better understanding of approaches for adapting to the future impacts of climate change, and b) enhancing cooperation and exchange of good practices in the prevention field. Dissemination and visibility of results and sustainability (see further below) are concerns, however.

To what extent has progress been made in enhancing preparedness at Member State and Union level to respond to disasters? (Article 3 (b))

The UCPM has made considerable progress in enhancing preparedness at EU and Member State level. The activities that contributed most to achieving the specific objective of preparedness²²⁹ to respond to disasters were:

- **The establishment of the Voluntary Pool of resources:** good progress was made in achieving the EERC's initial capacity goals. The establishment of the EERC ensured a minimum quality of the modules, creating a more reliable system. It shifted from a reactive and ad hoc coordination system to a more predictable, pre-planned and coherent organisation of EU disaster response. While there has been good progress in the number of modules and other

²²⁹ Defined in the Decision as "a state of readiness and capability of human and material means, structures, communities and organisations enabling them to ensure an effective rapid response to a disaster, obtained as a result of action taken in advance": <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32013D1313>

capacities registered, with targets met comfortably in most areas, there is still room for improvement in the way capacity goals are established and targets set.

- **The training programme and exercises:** both were effectively coordinated at EU level, significantly improving EU capacity (stock) of experts, and look likely to reach top quality standards. The programme also achieved its goal in relation to improving the coordination, compatibility and complementarity between capacities of countries. Challenges exist in ensuring that the programme continues to move from a system focused on stock/output (number of participants) towards a better identification of training needs, courses required and access to courses for smaller Participating States. Positive steps in this direction are highlighted by identifying gaps in training and exercises, take-up of lessons learnt and participant feedback. The small proportion of people trained who are subsequently deployed is, however, a concern.

To what extent has progress been made in facilitating rapid and efficient response in the event of disaster or imminent disaster? (Article 3 (c))

The UCPM made progress towards achieving a rapid and efficient response in the event of disaster or imminent disaster and has been broadly effective in facilitating the coordination of the responses to disasters both inside and outside the Union.

The key contribution to achieving a rapid and efficient response in the event of disaster or imminent disaster was the effective flow of information and coordination of disaster response at EU level through the ERCC. The centre acted as a coordination hub, enabling information-sharing and effective coordination of activities, with increased staffing and resources and better capabilities for coordination compared to its predecessor, the MIC. The ERCC helped strengthen response of the civil protection sector both at EU and national level, particularly through the Voluntary Pool.

For response outside the EU, there are some concerns over the increasingly blurred links between civil protection and humanitarian aid interventions and the need to establish a better definition of what civil protection interventions entail.

*To what extent has progress been made in increasing **public awareness** and preparedness to disasters? (article 3 (d))*

The UCPM was somewhat effective in increasing public awareness of disaster risk in their region and at national and EU level. Stakeholders consulted considered that the UCPM played its role in increase the level of awareness of disaster risks among the general public.

The UCPM has not been very effective in raising public awareness and preparedness to disasters²³⁰. Stakeholders with a prior knowledge of UCPM responding to the OPC were rather critical regarding the UCPM contribution to the increased preparedness of the general public for disasters. While no precise data are available on public awareness and preparedness to disasters, the Special Eurobarometer survey in 2017 shows the majority of the general public consulted considered that insufficient efforts are made to prepare for disasters.

The UCPM has been generally effective in raising awareness of its own and related EU activities. UCPM Communication actions were well perceived among civil protection authorities, although certain improvements were mentioned.

Given the current timeframe, is the UCPM on track to achieve the specific objectives of the Decision?

²³⁰ The Decision stressed the importance of organising (in the Participating States with support from the Commission) awareness-raising, public information and education related activities to raise public awareness on the importance of risk prevention and preparedness.

There are no major risks of the UCPM not being able to achieve its objectives over the period 2014-2019. However, the basis for measuring progress against the specific objectives of the UCPM needs to be improved.

The risk of the UCPM not meeting the objective of achieving a high level of protection against disasters through fostering a culture of prevention is very low. Based on the submissions of the summaries of NRA the UCPM, as laid down by the indicator in Decision, the UCPM has met the objective of showing progress in implementing the disaster prevention framework. There are some concerns in regards to the visibility of the knowledge base, ensuring the comprehensiveness of the NRA, and the quality and visibility of the peer review programme and the prevention and preparedness missions. These concerns are not likely to significantly impact the UCPM's ability to meet this specific prevention objective.

The overall risks of the UCPM not being able to meet the objective to enhance preparedness at Member State and Union level to respond to disasters is low.

Progress has been made in the rapid and efficient response in the event of disasters, but the actual speed and efficiency of response cannot be measured precisely. There are limitations in monitoring processes and an absence of a baseline or existing targets (such as on response speed). There is a risk therefore in not *knowing* whether the UCPM has met the response objective.

3.1.2 Efficiency

Evaluation questions

To what extent are the costs of the activities performed under the UCPM justified when compared to their benefits?

To what extent did DG ECHO achieve cost-effectiveness in its actions under the UCPM?

Were there significant differences in costs and objective achievement between the Participating States?

To what extent are the costs of the activities performed under the UCPM justified when compared to their benefits?

To what extent did DG ECHO achieve cost-effectiveness in its actions under the UCPM?

There are no indications that costs of the activities performed under the UCPM overall are higher than the benefits. However, there are a number of concerns in relation to the UCPM training programme, horizontal activities such as the Lessons learnt programme and the Prevention and preparedness missions, as well as the system of transport reimbursements.

Limited data could be accessed on actual expenditure of the various activities and components of the mechanism. The limitations in the monitoring of the functioning of the mechanism, and the absence of key performance indicators (KPIs), are obstacles to the measurement of cost-effectiveness. This is also the case for assessing the cost-effectiveness of the management of the ERCC, which was not possible due to a lack of data on human resources.

Limited visibility of the outputs and outcomes of some activities raised concern. For instance, while the lessons learnt programme has a relatively small financial allocation, the limited information available about its outputs does not allow for measuring its success and cost-efficiency. Similarly, the current structure and approach to prevention and preparedness missions do cast some doubt as to whether these missions could be organised with higher value for money.

The training programme has an important leverage function in allowing for the dissemination of knowledge and skills, though the existing format creates an ever-expanding pool of experts whose knowledge is not necessarily drawn upon through response operations and deployments, thus diminishing benefits against its costs.

Were there significant differences in costs and objective achievement between the Participating States?

The differences in achievement of each Participating State within the UCPM is very difficult to estimate²³¹. The budget allocated to specific actions and by Participating States was not available. The evaluators looked at the variation of participation of Participating States in certain activities of the mechanism²³². Participating States were involved in the UCPM activities to varying degrees. Southern Participating States were the most active in contributing to prevention and preparedness projects (IT, EL, CY and ES). Smaller Member States benefitted more from the training activities than larger Member States, relative to the size of their population. The Member States benefitting the most from training activities were Sweden, Austria and Finland, while UK, France, Spain and Germany benefitted less. The Member States benefitting the most from the training activities have seen their experts being deployed more extensively than other Participating States. The number of modules registered by Participating States also differed. Some of the Participating States participated more (FR, AT, NL) than others (UK, DE, IT). With few exceptions, larger Member States were less involved in UCPM activities, relative to the size of their population, than smaller Member States. Since the level of participation varied among Participating States, it can be reasonably assumed that the level of achievement derived from participation also varied in the same proportion.

The extent to which some Participating States were more efficient than others in taking part in UCPM activities could not be measured other than by reference to anecdotal evidence. For instance, stakeholder consultations mentioned differences in the costs of actions undertaken by Participating States, particularly in relation to transport reimbursements. The evaluation identified that better monitoring and measurement of the transport reimbursement system could potentially generate efficiency savings in certain areas, especially if additional details about requested transport reimbursements was registered and reported on. While the evaluation has found differences in costs claimed during response operations for transport (including in the choice between transport options, such as planes or trucks) the differences are not necessarily a consequence of sub optimal choices. It is, however, a possible factor and enhanced reporting would allow for a more in-depth assessment of these differences and establish relevant benchmarks of cost ranges for specific items or methods of transport.

3.1.3 Relevance

Evaluation questions

To what extent do the general and specific objectives of the Decision still correspond to current needs within the EU?

²³¹ This would imply the ECHO in its annual work programme set targets for participation in the mechanism on a Participating State basis.

²³² The analysis includes only elements where data per Participating State is available – number of prevention and preparedness projects, number of individuals taking part in at least training, number of modules registered and number of experts deployed. The share of population each country represents out of total population of all Participating States is taken as a reference indicator. The assumption is that each Participating State should have been involved in a proportion of UCPM activities commensurate to the proportion of the population to be protected. This method was applied in the absence of costs per Participating States and in the absence of a better reference indicator.

Has the mechanism been flexible enough to address new developments in the disaster risk management arena?

To what extent UCPM's interventions and activities under the three pillars (as well as horizontal activities) were relevant to the needs of stakeholders/on the ground?

To what extent was the UCPM able to capitalise on and take up past recommendations, issues identified, evaluation findings and lessons learnt?

To what extent do the general and specific objectives of the Decision still correspond to current needs within the EU?

The general and specific objectives of the Decision are relevant to the needs within the EU. The evaluation evidence indicates that the general and specific objectives of the Decision currently correspond to the needs of the civil protection sector and that stakeholders across categories, and specifically civil protection authorities, consider the annual priorities of the mechanism to be relevant.

There is a need for further clarity with respect to the role of the UCPM in a context of a changing landscape of response operations, particularly humanitarian crisis contexts.

Has the mechanism been flexible enough to address new developments in the disaster risk management arena?

The current Decision facilitates the ability of the mechanism to be flexible in addressing and adapting to new developments in disaster risk management. The mechanism has needed to adjust its modus operandi during interventions especially during the refugee emergency. The UCPM was able to respond effectively, though stakeholders, including Participating States and international partners have raised concerns about whether the mechanism is an appropriate structure for addressing emergencies such as refugee crises.

A general concern remains as to how the UCPM will address future challenges that are currently not considered to lend themselves to civil protection response operations. New types of emergencies such as those in humanitarian contexts and responding to man-made disasters are currently not fully covered by the Decision. Whilst the UCPM has been flexible in its response there is a danger of 'mission creep' if the scope of the decision is not clarified.

To what extent were UCPM's interventions and activities under the three pillars (as well as horizontal activities) relevant to the needs of stakeholders/on the ground?

The UCPM activities were relevant to the needs of the civil protection sector, and perceived as such by civil protection authorities. This was further evidenced by the enhanced cooperation with international partners. The two case studies on response operations illustrated that the responses provided matched the needs on the ground.

There are however elements where relevance can be increased, including:

- Training programme and exercises – the size of the number of persons involved in training and exercises ensures significant capacity build-up, but should be better focused on linking individuals to overall deployment needs.
- EoE programme - while participants considered that the most relevant needs were covered by the programme, there is little monitoring of the exchanges and how they ensure increasing expertise and knowledge at Member State level.
- Prevention and preparedness projects – the funding from UCPM is small in comparison to other EU funding sources available for DRR and management. Thus outcomes are less visible and this may reduce their relevance.

- Awareness-raising activities carried out are relevant to prevention needs at national level, particularly the workshops, meetings, exchange of experiences and practices²³³. However, these activities meet the needs of experts within the sector rather than raise awareness amongst the general public. The UCPM awareness raising activities are not as relevant as they might be to the needs of the wider public.

To what extent was the UCPM able to capitalise on and take up past recommendations, issues identified, evaluation findings and lessons learnt?

The UCPM has capitalised on and implemented some past recommendations. For example, the introduction of the NRA has enhanced prevention activities and the development of the Voluntary Pool helped improve preparedness and raise overall capacities. However, some of the specific recommendations made in the 2014 ex-post evaluation were not fully implemented. This included the better implementation of lessons from the 'lessons learnt' programme and other UCPM activities across the pillars.

3.1.4 Coherence

To what extent is the UCPM internally and externally coherent?

To what extent are the potential synergies between the UCPM and other EC policy areas as well as international frameworks/initiatives being exploited?

To what extent were UCPM activities on the ground complementary with national and international interventions of similar nature?

Internal coherence

To what extent is the UCPM internally and externally coherent?

A number of elements have been included to improve the internal coherence of UCPM in comparison to the previous mechanism. These include a more integrated approach to the disaster management cycle and the establishment of the lessons learnt programme. Civil protection authorities generally perceived the UCPM as promoting sufficient linkages and synergies between the main stages of the disaster risk management cycle, and that the Commission contributed to effectively establishing and ensuring such synergies.

However, there was some concern about the internal coherence across all pillars. This included concern over the ability to take up lessons learnt in the prevention, preparedness and response pillars. Another point of concern was the rather low proportion of between people both trained and deployed.

External coherence

To what extent are the potential synergies between the UCPM and other EC policy areas as well as international frameworks/initiatives being exploited?

Relations between the UCPM and many EC services have been strengthened during 2014-2016 and are expected to continue to intensify. There are key interlocutors for the implementation of the UCPM with whom there are a variety of links, initiatives and synergies. These include DG CLIMA on climate adaptation, DG REGIO on the Sendai framework and disaster risk management, DG NEAR on the European Neighbourhood Policy, DG ENV on floods and industrial accidents and DG MOVE and EMSA on marine pollution, SANTE and ECDC on health emergencies and DG HOME on security and migration.

²³³ NCP survey: 19 agreed and 2 had no opinion

Compared to the period 2007-2013 evaluated in the 2014 ex-post evaluation, external coherence has improved considerably. Coherence and complementarity is especially strong with environmental and climate policies, as well as in the area of health, and on research and innovation. Building on this cooperation has emerged from specific activities undertaken such as in the area of science in relation to the JRC DRMKC, and DG GROW on Copernicus and early warning systems. In other areas, including maritime affairs and transport, critical infrastructure protection and other security areas overall coherence is in practice less.

Institutionalised structures and processes that embed specific policies and practices are important for ensuring coherence across policy areas. While ad hoc, or personal, relations can further cooperation, these relations are often short-lived and render coherence less sustainable, because of staff turnover or personnel/function changes. Such risks to cooperation were identified in the health and security policy areas.

There is further room for improvement in information exchange and coordination, training, multi-sector research and for more institutional fora for cooperation (committees, working groups).

To what extent were UCPM activities on the ground complementary with national and international interventions of similar nature?

Work with international organisations occurs at policy level and operationally during response operations. Over the period 2014-2016 a memorandum of understanding was signed with several international partners, and others forms of cooperation have also shown positive results, including training and peer reviews.

There is evidence of external coherence in implementing the Sendai framework for disaster risk reduction and for training activities, and the UCPM has successfully been embedded in a wider international framework.

A key concern among many stakeholders of different type was the nexus between EU civil protection and humanitarian interventions. Questions were raised over the role UCPM and the civil protection community during UCPM activations in humanitarian contexts (such as in Mosul). While the UCPM can play a positive, complementary role, involvement in humanitarian aid situations may create misalignment or friction with humanitarian organisations.

3.1.5 EU added value

Evaluation questions

What is the EU added value of the UCPM, including the added value to other Participating States?

What results of the intervention can be identified that could not have been achieved without a coordinated effort at the EU level?

Which criteria could be considered to demonstrate EU added value of the UCPM-supported interventions in prevention, preparedness, and response?

What is the added value of the UCPM compared to existing national interventions in the field of civil protection?

What is the EU added value of the UCPM, including the added value to other Participating States?

What results of the intervention can be identified that could not have been achieved without a coordinated effort at the EU level?

Individual Participating States benefit from coordinated EU action in civil protection. This is evidenced especially by increased capacity (technical expertise, modules and equipment) and cooperation with neighbouring countries and other countries sharing similar risks.

In the area of prevention, the development of a strategic approach to disaster prevention policy at EU level, through the drafting of NRA, ultimately benefits all Participating States. The development of an EU-wide overview of risks and capacity gaps is an aspect of EU added value. Peer reviews benefit Participating States and not merely those directly involved as knowledge sharing is of benefit to all Member States.

In the area of preparedness, EU assistance to Participating States in organising resources via the Voluntary Pool and the intervention modules have added value to concrete actions, with high visibility. The resulting capacity and its deployment capabilities (including training and interoperability) are greater than would have been possible through national interventions alone.

Training and exercises support national and EU capacity building efforts. They also contribute to the development of synergies between participants, and provide a platform for joint training and exercises relevant to deployment. There would have been less overall EU capacity without these elements, while coordination in the field (such as during deployments among team leaders and staff) would have been less effective during emergencies. The UCPM also facilitates access to training and exercises for smaller Participating States that otherwise would not have the financial or human resources to participate. Nonetheless, concerns were raised over the effectiveness and efficiency of the growing pool of experts.

In the area of response, the mechanism ensures a comprehensive overview of capacities available at the EU level, which would not be possible without the UCPM. The large reserve list of deployable experts enhanced potential readiness in spite of issues surrounding the size of the overall pool of practitioners. The establishment of national contact points and the possibility to request assistance from Participating States via a single platform has added value in terms of the EU capacity available for emergency response (both quantity and quality), time intervals when these capacities can be deployed, and speed of communication (time intervals between requests and replies) across multiple Participating States. The measurement of EU added value, however, is constrained by the limitations in the monitoring systems in place.

Which criteria could be considered to demonstrate EU added value of the UCPM-supported interventions in prevention, preparedness, and response?

Criteria that potentially demonstrate EU added value of the UCPM-supported prevention activities include: the EU-wide gaps shown by national risk assessments; the quality and reach of scientific outputs and research that benefit civil protection experts and practitioners across the EU;

Criteria that potentially demonstrate EU added value of the UCPM-supported preparedness activities include: the quality assessment of EU-wide experts trained; the innovativeness of preparedness projects (new elements added following research, new management or operating methodologies); and, the relevance and need of Voluntary Pool modules in different emergencies.

Criteria that potentially demonstrate EU added value of the UCPM-supported response activities include: the extent of information-sharing and communications at the ERCC (including through CECIS); the quantity and quality of modules, Voluntary Pool modules and experts for deployment.

What is the added value of the UCPM compared to existing national interventions in the field of civil protection?

The UCPM contributed to the activities carried out at national level increasing their value. The pilot projects are an example of this. The EUFFTR (firefighting) and the ARTISTOTLE project (aimed at supporting the ERCC in improving coordination efforts across the EU via a European Natural Hazard Scientific Partnership), plus the preparatory actions, contributed to the development of additional capacity that would not have been developed by Participating States acting alone.

Preparatory actions were seen to add value in contributing to the understanding of civil protection authorities' activities and operational procedures, leading to improved coordination between authorities in case of a major disaster.

There are certain gaps, however. The added value of the UCPM in response operations in humanitarian contexts is less clear. The shift of the UCPM from a civil protection mechanism to a mechanism that can also play a role in supporting operations in humanitarian contexts has a number of risks (in civil protection practitioners having to adapt to different contexts and ways of working) that could impact on overall added value.

3.1.6 Sustainability

To what extent are the results achieved by the UCPM sustainable?

To what extent are the results achieved by the UCPM likely to last beyond the timeframe of the intervention?

Overall, Participating States are conducting activities to ensure sustainability of UCPM funded actions. There is variation on the level of achievement in doing so between different activities.

During 2014-2016, the perception of sustainability of projects increased and most projects are scheduled to continue in their present form or to be scaled up using other funding sources, such as national, regional or other EU funding.

The dissemination of prevention and preparedness project results to a wider audience has improved in comparison to the previous mechanism. Project coordinators consider prevention and preparedness project results to be replicable in other EU and non-EU countries.

The EoE programme is a good example of where knowledge and skills at the EU level can be transferred to national level. The programme also increased the awareness of the mechanism, strengthening international relationships and developing a network of contacts for future cooperation.

There is however a concern that structures in place for the EoE programme and prevention and preparedness projects are not able to fully demonstrate sustainability of these activities. This does not necessarily mean that they are less sustainable, but that the degree of sustainability cannot be accurately established. The reporting and sharing requirements and mechanisms vary at national level which may constrain sustainability.

The training and exercises supported the exchange of knowledge and skills, factors that encourage the maintenance of a sustainable community of practitioners. The large numbers of people involved and the good quality of training and exercises help ensure sustainability. However, there is some concern that the lessons resulting from training and exercises are not collated and exploited in a systematic way which may limit sustainability.

3.2 Recommendations

This section provides an overview of recommendations that follow from the main findings of the Study presented in section 2 and conclusions in sub-section 3.1.

3.2.1 Strategic and organisational recommendations

- There is a need to clarify further the definition of the scope of the UCPM in cases of man-made disasters. The EU response to security-related incidents (such as terrorist attacks) requires closer coordination between DG HOME and DG ECHO. Both services can help facilitate inter-disciplinary dialogue and

training in law enforcement, health and civil protection. Both DGs should clarify their roles in the response to security related incidents.

- There is a need to clarify further the exact scope of civil protection interventions outside the European Union through the appropriate definition of different types of emergencies and interventions. This would further specify the Decision and account for a changing civil protection landscape. This should provide a clearer distinction between civil protection interventions and humanitarian interventions carried out by DG ECHO or international organisations and partners. Account should be taken of humanitarian forecasts (e.g. the Humanitarian Futures Programme at King's College, London);
- Robust monitoring tools and corresponding systems for assessing UCPM's performance should be established. DG ECHO should install monitoring tools/systems to consistently and precisely measure the effectiveness and efficiency of UCPM activities. Monitoring needs to include a performance monitoring framework (e.g. key performance indicators for each of the activities of the UCPM), specific tools (e.g. data collection and aggregation exercises) and a reporting cycle (at least annually). DG ECHO should also assign specific and designated resources for managing the monitoring function of the UCPM.
- There is a need to develop standardised criteria to improve insights into the sustainability of funding (e.g. systematic collection of monitoring data after one and two years from the end of funding for projects, conducting a simple survey one or two years after projects end, and checking whether relevant websites still work). This is particularly important during the implementation of the project, and during follow-up (and less so for project selection where such criteria already exist).
- To improve the evidence base and readability of UCPM projects' final reports, DG ECHO should consider introducing an improved reporting structure. For example, the section on general information about the project²³⁴ could be replaced by/combined with closed-fields questions (i.e. with questions on project title, start and end date, countries involved, partners, target groups, etc.) rather than a full narrative text.

3.2.2 Recommendations on horizontal activities

- **Peer review programme**

While the peer review programme is on track to achieve its objectives, it should focus more on visibility and the follow-up of the recommendations it generates, by:

- Dedicating a section on the DG ECHO website on the peer review programme. When the current contract ends, there is a risk that knowledge is lost in the public domain. DG ECHO should provide a key factsheet of the peer review programme and highlight recommendations and results through an interactive map (allowing the website visitor to click on the specific country and find details about the programme and its results);
- Establishing, as a regular feature, follow-up three years after its completion to understand how the peer review recommendations were taken up by the Participating State or third country. This does not need to be an assessment (scrutiny) of the take-up of results, but rather a mapping of the state of play or progress. These results can then be used to update the section on the DG ECHO website with information about the peer review and could feature in the DG ECHO report and be discussed at Civil Protection Committee

²³⁴ Section "General Reminder of Project Objectives, Partnership And Expected Deliverables"

meetings. It is suggested that five per cent of the peer review budget is set aside for such follow-up. This is expected to improve the overall quality of the peer review programme.

- **The lessons learnt programme**

The functioning of the lessons learnt programme would be improved through the systematic capture of lessons learnt resulting from all relevant activities (including prevention and preparedness projects, advisory missions, training, exercises, response operations) and improving the take-up of lessons learnt directly feeding into the annual programming of UCPM activities. This should be achieved by:

- Organising a workshop on implementation of lessons learnt at Participating States level to encourage constructive familiarisation with implementation of lessons learnt for those in the organisation's evaluation unit or a high-ranking position able to take corrective action where necessary;
- Organising a lessons learnt session at least after every series of exercise and training sessions, and after every operation. The lessons should then be grouped according to activity and type and further prioritised. Three to five lessons should then be discussed at the Civil Protection Committee meetings (at two meetings per year);
- Adopting a matrix structure for systematically capturing and classifying the lessons learnt and monitoring their impact on the various actions of the mechanism.

- **Prevention and preparedness missions**

Improvements could be achieved by:

- Making available a factsheet about the purpose and possibilities of the prevention and preparedness missions (Advisory missions) to all EU missions globally (which could be shared with CP authorities in those countries) to raise awareness about these missions and to ensure fair access to this UCPM component.
- Launching an annual 'expression of interest' on prevention and preparedness missions for third country governments to apply for these missions that would include a needs statement (i.e. why such a mission would be beneficial). A committee should be established to select the applications for that year. This will enhance visibility and accessibility of the missions.
- Ensuring formal or informal follow-up of all prevention and preparedness missions (through a short summary report) three years after the mission to assess the state of play of the country's civil protection system and take-up of any points discussed or recommendations made. This will enhance the visibility and relevance of missions.

3.2.3 Prevention

The following recommendations would contribute to building a culture of prevention.

- **Prevention and preparedness projects** (not repeated under preparedness): While it is too early to assess the effectiveness and added value of prevention and preparedness projects of the UCPM compared with those funded under cohesion policy, the following will help in ensuring maximum value and relevance from these projects:
 - Drafting specific selection criteria for prevention (and preparedness) projects in view of the high levels of funding available via cohesion funds on disaster risk prevention and management so as to avoid duplication or overlap. These criteria should help to better ensure that the comparatively

small amount of funding available via UCPM projects is used more strategically for the most innovative projects adding EU value. These criteria should be integrated into the future UCPM (2020 onwards) by comparing results of UCPM projects and cohesion policy projects that met the ex-ante conditionality on disaster risk prevention and management. This can also include selection criteria around sustainability in the award/selection criteria of the calls. The requirement should be that on completion, awarded projects hand over a dissemination package collated centrally by UCPM, aggregated and made accessible (online) for dissemination and or reuse.

- Organising joint kick-off and closure meetings (particularly for projects sharing a common topic) with project coordinators, including presentations of project objectives (kick-off) and results (closure) to foster sustainability of actions and avoid duplication of activities.
- Consulting project coordinators and partners after projects finish to establish sustainability by:
 - Assessing the share of projects that had a website where this website is still accessible 12 or 24 months after project completion/closure; and
 - Assessing the extent of project management changes to establish institutional continuity.
- **NRA** In order to continue improving the quality and scope of the NRA the UCPM should support Participating States to cover topics not systematically reported on by all Participating States, such as climate change adaptation and health risks. Closer cooperation at national level with ministries and departments covering other policy areas should be supported, such as organising a workshop on comprehensive risk assessments (covering all relevant thematic areas) at least a year prior to the deadline of the next NRAs in 2019.
- The UCPM should build on the existing civil protection **knowledge base** (across all pillars, but also prevention) with the JRC to enhance visibility and relevance. Raising awareness of this knowledge base (and the JRC DRMKC) would be useful, through a workshop for practitioners in Participating States, a survey among practitioners on their research and knowledge needs, and enhanced visibility on the DG ECHO website and those websites of the civil protection authorities at national level. Results of the research carried out, and future planned research, should be more clearly signposted on JRC and DG ECHO websites (such as short 1-2 page factsheets with key research outputs and their significance for 2014, 2015, 2016, and plans for 2017 and 2018). The direct relevance of research for the UCPM should be clearly explained and shared.
- The UCPM should ensure good **complementarity with other EU funds** available (such as climate change adaptation and those related to the floods and Seveso Directive) for better impacts. Such complementarity can be achieved by building on this evaluation's initial mapping of external coherence of the UCPM with these policy areas through specific mapping of all initiatives and activities undertaken (including funding) with each of the responsible EU services. Specific contact points could be set up within DG ECHO and other Commission services to establish areas of complementarity and potential overlap and to ensure more consistent EU-wide funding and activities for 2020 onwards.
- There would be benefit in enhancing **UCPM visibility** and disaster prevention awareness by:
 - Carrying out bi-annual special Eurobarometer surveys to establish changes in people's disaster awareness. Progress here can only be effectively tracked over long periods and if the underlying question is the same each year;

- Enhancing visibility of the UCPM among third countries while providing more information to third countries on prevention and preparedness missions (as suggested above) via factsheets sent to contact points;
- Carrying out simple, targeted information campaigns (such as via the Dissemination plan of this evaluation) to enhance visibility to other DGs and Agencies.
- In order to enhance emergency and disaster awareness among citizens there would be benefit in:
 - Large-scale EU wide campaigns on disaster awareness (including via social media) that could have a positive impact in raising awareness itself, as well as raising the visibility of the UCPM and the civil protection community as a whole;
 - The mechanism playing a role in future EU efforts to raise awareness of risk, including security risks, and seeking complementarities with other relevant instruments and services of the Commission (in particular DG HOME). The UCPM has played an important role in raising awareness at EU level of risks of natural and man-made disasters. The risk landscape in Europe, and worldwide, has significantly changed in recent years with an increasing threat of terrorist attacks.
 - Obliging all contractors (such as those carrying out training and EoE programmes) to clearly reference the UCPM/DG ECHO. While primarily a competence of Participating States, it would be helpful to have Participating States civil protection authority websites be given a separate page on the UCPM.

3.2.4 Preparedness

To further improve the considerable gains made in preparedness through capacity-building of expertise, the following recommendations are made:

- Establish clear, specific capacity needs for the Voluntary Pool based on ongoing monitoring on the basis of commonly agreed criteria, rather than based on gaps in the number of modules available for each capacity type. These can be reviewed every three years. These criteria could generate an overall scoring of priorities among the capacities in the pool and could include:
 - The number of times a module has been requested and deployed during the previous three years;
 - The approximate average cost of a single module of that capacity type;
 - The size of the module (in terms of staff); and
 - The likelihood of certain emergencies happening in the EU and outside the EU, based on past trends, such as elaborated as parts of a 2015 DG ECHO Study on buffer capacities. While this remains a needs forecast at best, it is helpful to establish how problematic not having the module (or sufficient modules) is compared to its costs.
- **Training and exercises:**
 - Base the specific choice for module exercises included in the exercise training cycle on clear criteria to ensure a fair balance, such as between urban search and rescue courses and less common exercises. This could be based on a priority list as agreed by Participating States in the Civil Protection Committee, as well as on criteria including the number of modules available across EU Member States (including the Voluntary Pool) and the share of the specific module used in operations out of all modules deployed.

- Streamline the existing database of trained experts by establishing clear criteria and carefully monitoring the quantity and quality of training received and when participants last attended training courses (possibly with National Training Coordinators). Considering recent deployment figures and other criteria (personnel fluctuation, etc.), a permanent stock of 1,000-1,500 experts seems feasible. The general conditions for purely technical experts should be revised. Following the recommendation from the 2014 ex-post evaluation, it is again recommended to carefully draft expert profiles/types relevant to different types of situations/deployments. With the support of the Training Policy Group (TPG) the ongoing work on 'experts' profiles' should be intensified.
- **Evaluate the performance of the expert** in the training/exercise and also the deployment and add both key metrics and a qualitative assessment (by the trainer) into a central database of experts, possibly as a separate tool within CECIS. There may also be merit in establishing qualification criteria for trainers within the UCPM training scheme to further boost the overall quality of trainers.
- Establish a **selected pool of qualified trainers** to better ensure sustainability of lessons learnt through previous courses and, at the same time, keep trainers constantly updated with the latest findings and developments in the field.
- Make a **clearer distinction** between experts solely used for incoming international operations (Host Nation Support (HNS) system; CMI course only) and experts considered for international deployments.
- Incorporate more stringently the lessons learnt from missions in the design of training courses to focus on subjects and topics which appear as challenges for deployed experts (e.g. information management, a subject on several different training courses, but which lacks an underlying methodology, and the interface with humanitarian system within and outside DG ECHO). This would also help to add realism to such training courses.
- Develop a number of concepts (or further developed if they exist as 'draft'):
 - Mission (deployment) concept including standard operating procedures for EU civil protection teams;
 - Training concept;
 - Exercise concept; and
 - Concept for the certification of experts (not within the training courses, but possibly 'assessment centres').
- Include relevant training methods to meet the needs of participants with a fully-fledged **UCPM e-Learning Centre**. For example, distance-learning elements could be introduced to ensure that in those countries that operate with volunteers or limited human resources and staff could also participate in certain trainings, as well as more light-touch refresher courses for courses taken one or two years previously. The significant pool of experts currently in the system mean the Learning Centre could also be used – via a user-friendly portal – to prompt experts when an updated CV is needed, their knowledge is considered out of date (such as after two years) and when 'refresher' courses are available for full-time courses taken early.

- Map (as DG ECHO) national level civil protection training. This could be captured via a simple one-page template with key questions about the training practices, as exists in other areas²³⁵, such as:
 - Key features of the training;
 - Methodology used;
 - Relation to a specific theory or other initiative;
 - Target audience (civil protection experts for deployment, management staff, trainers, team leaders);
 - Training outputs (i.e. manual, handbook, guidelines);
 - Lessons learnt;
 - Monitoring and evaluation of the training (number of participants, participant feedback);
 - Transferability of the training (could the training also work at EU-level or in other Participating States?);
 - Start year of the training;
 - Sustainability and continuity (is the training expected to continue, does it depend on the annual civil protection authority budget); and
 - Contact details.

Such an overview of practices can help Participating States to design their own national training programmes (with the UCPM in a facilitating role) while also establishing specific needs and gaps at EU-level that can be used to adapt the EU training programme (with the UCPM in a direct role).

- **Exchange of experts programme:**

For this programme there would be merit in:

- Increasing the impact of the programme at national level by encouraging more active involvement of national civil protection authorities in monitoring the cascading of knowledge process (possibly through formal requirements set out in the programme's application guidelines). For example, the national authority should:
 - encourage participants to report on activities and knowledge gained through the exchange and disseminate the report within relevant CP units; and
 - provide DG ECHO (at least once a year) with information on steps carried out at national level to distribute/publicise the knowledge and experience gained in the exchange (e.g. through sharing events, workshops, etc.) as well as main target audience (see also 3.2.2 on lessons learnt).

- **Deployment of experts:**

There would be merit in:

- Organising a general call for experts as DG ECHO to select EU Civil Protection Teams, after which experts express their availability. DG ECHO could then select the experts (based on existing criteria) for deployment.

²³⁵ Such as for example the DG Justice and Consumers judges training programme: http://ec.europa.eu/justice/criminal/european-judicial-training/index_en.htm

Collection of training practices as part of the DG Migration and Home Affairs Radicalisation Awareness Network Centre of Excellence: https://ec.europa.eu/home-affairs/what-we-do/networks/radicalisation_awareness_network/ran-best-practices_en

This would mirror more closely the UNDAC system. This will help in enhancing relevance and quality of the experts;

- Reducing the pool of experts by creating micro-pools to increase the relevance/quality of experts. In case of deployment, for example, a smaller pool of certified experts, who have already been deployed and have relevant experience, could provide staff for a first-line deployment, thus speeding up and facilitating a high-quality response. Additional experts could then be chosen by Participating States, following a formal request from DG ECHO. A 'micro-pool' of experts with deployment experience would particularly benefit DG ECHO in the choice of the EUCPT team leader.
- **Increase awareness on the use of EWS at national level.** There is scope for a stronger involvement of the scientific community to further develop EWS. At the moment, EFAS sends information about upcoming flood events to those National Hydrological Services (NHS) that are members of the EFAS partner network, the EU Civil Protection Emergency Response Coordination Centre (ERCC) and the COPERNICUS rush mode mapping service. The Commission should enhance its cooperation with Participating States to raise awareness of the possibilities that these systems and other EWS have at national level. This could also feature as a question in the Special Eurobarometer. Reference to these systems can also be added to a separate UCPM webpage on the website of Participating State civil protection authorities.
- **Develop, strengthen and pool scientific and technical approaches to assess hazards,** developing detection methods, assessing vulnerabilities and developing communication and awareness-raising policies at European level, through the JRC; the European Space Agency; the Copernicus network and; the different DGs concerned in particular, SANCO-RTD - HOME-MOVE-CONNECT. Here, **EWS harmonisation** would be beneficial, as there are no 'EU' borders for natural disasters such as cyclones or tsunamis. This would help generate foresight in certain areas and provide better quality responses on the ground.

3.2.5 Response

The following recommendation would build on the quality and speed of response operations:

- Enable the ERCC to play a stronger role in **clarifying requests (needs) before publishing them on CECIS**. Being more specific in initial communications can save time in either requesting or receiving states or the ERCC having to provide further clarification. This can be achieved, for example, via a standardised glossary of civil protection terms and concepts (available in all EU-languages) to reduce ambiguities. This could improve the quality of requests.
- **Strengthen a number of EU delegations in the area of civil protection through engaging civil protection advisors**, (such as achieved already through specialised counter-terrorism advisors). This would help to build capacity in the civil protection (and possibly also humanitarian aid) domain.
- Make **further improvements to CECIS and develop dedicated tools for statistics**. In particular, for monitoring UCPM performance on the response side, there are several elements in a search tool that can improve the ability to find information and compare it. A CECIS search tool should include the following:
 - Search by type of emergency;
 - Search by year and month of request;
 - Participating State providing support;
 - Participating State requesting support;

- Disaggregated data or breakdown for each type of module requested/ provided; and
- A search tool by tags, allowing the finding of certain key words in specific fields. While searching also requires knowledge on how to use the search engine (by avoiding common terms yielding many results).
- **Assess the speed of response** (as per this and the ECA report) as **standard practice** (monitoring tool) after every response operation inside or outside the EU. The resulting information should be collated into a simple, annualised factsheet also available on the DG ECHO website.
- Add a **search tool with detailed characteristics of experts**, which enables search of their last year of deployment, number of deployments, and qualitative information on performance (as indicated above under the expert profiles). This can make identifying the most appropriate experts for deployment more efficient. In the current system whereby Participating States nominate experts, identification is only possible for experts already in the database.
- **Transport grants:**
 - Consider raising the minimum amount eligible for transport grants from EUR 2,500 to lower the relative administrative burden. Alternatively, simplify the administrative procedures for low-level reimbursements of under EUR 10,000.
 - Consider implementing more effective ways to record information on transport grants to increase their comparability. Details about the assistance provided by Participating States against which reimbursement is required are currently collected through a general text string.
 - Start recording information consistently using pre-defined entries (e.g. drop-down lists in excel) or by developing/purchasing software that allows for the entry of single data and automatic reporting in a comparable way to enhance comparability of data. For example, such detailed data should be collected on:
 - Type of assistance (e.g. in kind assistance or module);
 - Voluntary pool or general pool;
 - Checklist for individual procurement items (e.g. tents, food rations, blankets, etc.) and their number;
 - Number and type of planes used;
 - Participating State or third country where the operation took place, and other places if they are more than one
 - Distance of the travel; and
 - Number of module team members deployed.
 - Participating States should be asked to fill out a simple online form about what was included in the operation. Incoming online information can then be collated by the ERCC and automatically added to the overview of requests.
 - Establishing benchmarks for unit cost ranges and the characteristics of transport costs can clarify the appropriateness of transport costs. Based on the recommendations above, it would be possible to establish these benchmarks. This can be achieved by calculating a lower and upper range of costs of an operation and track the approximate costs. While a full comparison is only possible based on a detailed invoice for a transport grant by requesting costing information of each individual item, it should be possible to establish approximate cost ranges for the various transport grant requests.

- Offer training or organise a workshop and handbook (or online wiki/learning page) for Participating States on transport procedures, including the use of the transport grant, broker and pooling to improve understanding and potentially increase take-up. Table-top exercises including pooling of transport resources are also recommended to better explain transport procedures. A set of transport pooling case studies could show how pooling could be organised in practice, and how it would apply to both the ERCC and Participating States.

Annex 1 Glossary of terms

Article 4 of Decision No 1313/2013/EU provides a number of key terms that are relevant in the context of the UCPM:

- 'Disaster' means any situation which has or may have a severe impact on people, the environment, or property, including cultural heritage;
- 'Early warning' means the timely and effective provision of information that allows action to be taken to avoid or reduce risks and the adverse impacts of a disaster, and to facilitate preparedness for an effective response;
- 'Host nation support' means any action undertaken in the preparedness and response phases by the country receiving or sending assistance, or by the Commission, to remove foreseeable obstacles to international assistance offered through the Union Mechanism. It includes support from Participating States to facilitate the transiting of this assistance through their territory;
- 'Logistical support' means the essential equipment or services required for expert teams referred to in Article 17(1) to perform their tasks, inter alia communication, temporary accommodation, food or in-country transport.
- 'Module' means a self-sufficient and autonomous predefined task- and needs-driven arrangement of Participating States' capabilities or a mobile operational team of the Participating States, representing a combination of human and material means that can be described in terms of its capacity for intervention or by the task(s) it is able to undertake;
- 'Preparedness' means a state of readiness and capability of human and material means, structures, communities and organisations enabling them to ensure an effective rapid response to a disaster, obtained as a result of action taken in advance;
- 'Prevention' means any action aimed at reducing risks or mitigating adverse consequences of a disaster for people, the environment and property, including cultural heritage;
- 'Response capacity' means assistance that may be provided through the Union Mechanism upon request;
- 'Response' means any action taken upon request for assistance under the Union Mechanism in the event of an imminent disaster, or during or after a disaster, to address its immediate adverse consequences;
- 'Risk assessment' means the overall cross-sectoral process of risk identification, risk analysis, and risk evaluation undertaken at national or appropriate sub-national level; and
- 'Risk management capability' means the ability of a Participating State or its regions to reduce, adapt to or mitigate risks (impacts and likelihood of a disaster), identified in its risk assessments to levels that are acceptable in that Participating State. Risk management capability is assessed in terms of the technical, financial and administrative capacity to carry out adequate: (a) risk assessments; (b) risk management planning for prevention and preparedness; and (c) risk prevention and preparedness measures.

A number of additional terms have been further added:

- 'Climate Change Adaption' "means anticipating the adverse effects of climate change and taking appropriate action to prevent or minimise the damage they can cause, or taking advantage of opportunities that may arise"²³⁶.
- 'Participating State' refer to the members of the UCPM which currently include all 28 EU Member States in addition to Iceland, Montenegro, Norway, Serbia, the former Yugoslav Republic of Macedonia and Turkey²³⁷.
- The 'European Forest Fire Information System' (EFFIS) was established by the European Commission in collaboration with the national fire administrations "to support the fire management services in the EU and neighbour countries and to provide the EC services and the European Parliament with harmonised information on forest in Europe"²³⁸.
- The 'European Flood Awareness System' (EFAS) is "the first operational European system monitoring and forecasting floods across Europe. It provides complementary, flood early warning information up to 10 days in advance to its partners: the National/Regional Hydrological Services and the European Response and Coordination Centre (ERCC)"²³⁹.
- The 'Copernicus Emergency Management Service' (EMS) "provides all stakeholders involved in the management of disasters, man-made emergency situations and humanitarian crises, with timely and accurate geospatial information derived from satellite remote sensing and complemented by available in-situ or open data sources. It is funded by the European Commission and implemented through framework contracts"²⁴⁰.
- The 'ARTISTOTLE project'²⁴¹ supports the Emergency Response Coordination Centre (ERCC) in improving coordination efforts across the EU. The pilot project aims to build a unique European Natural Hazard Scientific Partnership which will improve the assessment capacity of the ERCC.
- The 'European Emergency Response Capacity'²⁴² (EERC, or 'Voluntary Pool') brings together a range of different stakeholders and services from a number of EU countries, including relief teams, experts and equipment. These assets can be made readily available as soon as needed for EU civil protection missions all over the world.
- 'Buffer capacity' refers to the act of addressing temporary shortcomings in extraordinary disasters²⁴³.
- 'Transport grant' refers to the provision of grant agreements for transportation services by the UCPM²⁴⁴.
- 'Transport broker' provides logistics to help vehicle management/transport²⁴⁵. The current broker on behalf of DG ECHO is Kuehne Nagel.

²³⁶ European Commission. 2017. https://ec.europa.eu/clima/policies/adaptation_en

²³⁷ http://ec.europa.eu/echo/what/civil-protection/mechanism_en

²³⁸ EFFIS. 2017. <http://forest.jrc.ec.europa.eu/effis/>

²³⁹ EFAS. 2017. <https://www.efas.eu/>

²⁴⁰ UN 2017. <http://www.un-spider.org/space-application/emergency-mechanisms/copernicus-gio-emergency-mapping-service>

²⁴¹ Aristotle. 2017. <http://aristotle.ingv.it/>

²⁴² http://ec.europa.eu/echo/what-we-do/civil-protection/european-emergency-response-capacity_en

²⁴³ ECHO Work Programme 2017. Action 2.9. http://ec.europa.eu/echo/sites/echo-site/files/2017_awp.pdf

²⁴⁴ ECHO. 2017. http://ec.europa.eu/echo/what/humanitarian-aid/logistics_en

²⁴⁵ ECHO. 2017. http://ec.europa.eu/echo/what/humanitarian-aid/logistics_en

- The 'Sendai Framework for Disaster Risk Reduction' refers to the "15-year, voluntary, non-binding agreement which recognizes that the State has the primary role to reduce disaster risk but that responsibility should be shared with other stakeholders including local government, the private sector and other stakeholders"²⁴⁶.
- 'Prevention and preparedness mission' is also referred to as an 'advisory mission' or 'EUCPT advisory mission' and is an undertaking of experts deployed to a third country, deployed upon their request, to provide advice and technical support to the country's civil protection system. It includes a regular/standard mission report shared within DG ECHO, and a report shared with the authorities of the country in question. These missions should not be confused with the EU advisory mission (such as deployed to Ukraine).

²⁴⁶ Sendai Framework for Disaster Risk Reduction 2015-2030. <http://www.unisdr.org/we/coordinate/sendai-framework>

Annex 2 Methodological approach to the stakeholder consultation

This annex provides an overview of the methodological approach to the stakeholder consultation as part of the evaluation.

As per figure below, the stakeholder consultation took place in two parts of the evaluation – inception and research phases. In inception phase the study team conducted scoping interviews with representatives of the EC services. The research phase involved stakeholder consultation through

- interviews with relevant EC services, international organisations, Participating States and other organisations (see Section A2.2);
- wider consultation with stakeholders involved in the mechanism through five targeted surveys (see Section A2.3);
- specifically targeted consultation on three topics through case studies (see Section A2.4); and
- consultation with general public through two Open Public Consultation surveys, one for public with no knowledge and other with public with in-depth knowledge of the sector (see Section A2.5).

The figure below provides an overview of the timeline of the consultation undertaken.

Figure A2.1 Timeline of the stakeholder consultation

	November					December				January				February				March					
Week nr	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	
Phase I: Inception																							
1.2 Conducting scoping interviews																							
Phase II: Research																							
2.1 Launching two OPC surveys																							
2.2 Undertaking stakeholder interviews																							
2.2 Launching five targeted online surveys																							
2.3 Undertaking three case studies																							

The remaining of the annex also provides how the sampling for consultation was developed to ensure that views from all stakeholder groups are involved in the consultation. It also highlights the efforts made by the evaluation team to provide an opportunity for all stakeholders to provide inputs (e.g., extended consultation period, more than one reminder sent). Table A2.3 provides an overview of all relevant consultation and their results. It also highlights discussion topics where diverging views between the same groups or different groups of stakeholders were collected.

In order to meet the Commission's minimum standards for the consultation process, the following steps were ensured:

- All communication relating to consultation was accompanied with clear and concise background information, including expected deadlines, contact details and information on how the contribution will be integrated in the evaluation report;
- The stakeholder consultation included the target groups affected by the policy, those who will be implementing the policy, and those directly interested in the policy;

- The time limits set for participating to the consultation were set in line with the Better Regulation Guidelines²⁴⁷, however to facilitate the number of responses received in several occasions this was extended;
- The results of Open Public Consultation are published on DG ECHO website.

A2.2 Interviews

Telephone and face-to-face interviews were conducted with a broad range of stakeholders: key DG ECHO officers, relevant European Commission officials from DG ENV, DG CLIMA, DG NEAR, DG HOME, DG SANTE, DG ENER, EU-Agencies (ECDC, EMSA, EASO, EEA), DG ECHO international partners including disaster management-focused organisations (including UN agencies) and national authorities from Participating States. Interviews with professional organisations (e.g. EoE programme Manager Exercise provider, Transport provider) and with external evaluators (External Evaluation of EMSA, External Evaluation of PPRD South II) were also carried out.

Interviews were expected to be completed by end of February. In agreement with the ISG, it was decided to extend the consultation period until April to finalise two interviews with an EU Agency and an external evaluator that could not be undertaken beforehand.

Table A2.2 provides an overview of the total number of planned versus completed interviews, per stakeholder group. In some cases, a higher number of interviews were carried out, when additional relevant stakeholders were identified or recommended. While Table A2.2 provides an overview of key discussion points/ results per stakeholder group and evaluation question.

²⁴⁷ Better Regulation, Guidelines on Stakeholder Consultation, Mandatory timeframes for consultation and feedback, available at: http://ec.europa.eu/smart-regulation/guidelines/ug_chap7_en.htm

Table A2.1 Overview of stakeholder interviews carried out in the evaluation

Stakeholder group	Planned interviews	Completed	No response, rejected interview invitation, less relevant, etc.
Scoping interviewees, including key DG ECHO officers (research interviewees) ²⁴⁸	~20	11 (scoping) + 10 (research) = 21	-
EU Agencies and other DGs	~10-15	14	1
DG ECHO international partners, including UN Agencies and other international organisations	~5-10	9	1
National authorities from Participating States	NA	18	NA
Other (including professional organisations) ²⁴⁹	2	2	-
Total	40	64	2

²⁴⁸ In some cases, more than one interview was carried out with the same person (e.g. scoping and research interview).

²⁴⁹ EoE Programme Manager Exercise provider, Transport provider, External Evaluation of EMSA, External Evaluation of PPRD South II

Table A2.2 Overview of key discussion points/ results per evaluation criteria and stakeholder group

Evaluation Question	Group of stakeholders	Discussion points/key results
Effectiveness	EC services	<p><u>General:</u></p> <ul style="list-style-type: none"> • The framework for integrated approach with relevant services • The importance and effectiveness of the NRA, the reflection of climate and environment policies • The use of DRM guidelines by MS and the role of these in the context of climate change, floods and cohesion policy • Contributions to the Sendai framework and points for improvement • Opinions and use of maps and involvement of the JRC DRMKC • Effectiveness of advisory missions and potential improvements, e.g., more strategic approach versus ad hoc • The use of the ECHO field network for the purpose of civil protection • The importance of communication and awareness raising for the general public <p><u>Health:</u></p> <ul style="list-style-type: none"> • The development of the European Medical Corps and operational framework around it, e.g. elements on costs, working hours, cooperation etc. – diverging views with those of some PS • Legislative and operational changes following Ebola outbreak <p><u>Climate:</u></p> <ul style="list-style-type: none"> • The interlinkage among Climate and flood elements with those of the mechanism • Routes to improve the integration of climate change adaptation into DRR assessments and strategies at MS level: Integrate climate adaptation into the peer review process of the UCPM; Monitor the progress of the MS on climate adaptation and on the implementation of the Sendai Framework for Disaster Risk Reduction.

Evaluation Question	Group of stakeholders	Discussion points/key results
		<p><u>Energy:</u></p> <ul style="list-style-type: none"> The importance of involving all relevant stakeholders from the energy sector to ensure effective response in a case of emergency
	International partners	<p><u>Nexus with humanitarian aid:</u></p> <ul style="list-style-type: none"> Links with the local communities developed by HA actors and how CP could benefit from such synergies The perception of PS civil protection operations in extra-EU settings as less neutral than international organisations, and the potential limits in cooperation with the humanitarian aid community and local communities on the ground Sharing of lessons learned also with humanitarian aid community UCPM role in developing standards and setting quality requirements. In relation to interventions within a humanitarian contexts, standards can be different and more civil protection oriented Operation with international standards when deployed outside EU (especially in terms of length of the missions) <p><u>General:</u></p> <ul style="list-style-type: none"> Development of the EERC (compared to MIC) in recent years in terms of operations, expertise and logistics Deployment of experts through the ERCC Quality of experts deployed/ suggested for deployments. Rotation in longer emergencies. The variation of qualifications and experience of experts deployed Effectiveness of training to address gaps identified Development of professional networks Exchange of practices and knowledge Long-term vision of the mechanism, future strategy

Evaluation Question	Group of stakeholders	Discussion points/key results
		<ul style="list-style-type: none"> • Discussion on the High Level Risk Forum and its links to the NRA, Risk communication and peer reviews • Limited information/ awareness on how NRA are fitting into the future strategy, what is the overall objective • Resilience of critical infrastructure – possible gaps and improvements in relation to the DRM • Interlinkage with the UCPM and post-disaster needs assessment
	Participating States	<p><u>Deployments:</u></p> <ul style="list-style-type: none"> • Role of PS in selecting experts for deployments – diverging views among PS and with those of ECHO • Selection of the EU CPT e.g., how some experts are chosen over others – diverging views with those of ECHO • Share of those trained vs deployed - if limited number of people trained then limited choices for deployment – diverging views among PS and with those of ECHO • Rapid deployment of experts before deployment of modules was seen as a factor contributing to the effectiveness • The level of English spoken by teams and experts <p><u>Training:</u></p> <ul style="list-style-type: none"> • The allocation of training quotas – diverging views among PS • Recognition of training undertaken, e.g. similar to what Network on Humanitarian Action (NOHA) does for humanitarian aid <p><u>Interventions with HA:</u></p> <ul style="list-style-type: none"> • Issues identified when working closely with humanitarian aid – huge differences in length of missions, different budget lines, overlap of mandates of the two <p><u>Lessons learned:</u></p>

Evaluation Question	Group of stakeholders	Discussion points/key results
		<ul style="list-style-type: none"> Issues with dissemination and implementation of lessons learned from activities under all three pillars Dissemination of lessons learnt <p><u>Communication:</u></p> <ul style="list-style-type: none"> The overall goal of prevention activities and its definition The activities under the prevention pillar Identification of target audiences for risk awareness activities Focus of prevention activities <p><u>Other:</u></p> <ul style="list-style-type: none"> The need and usefulness of peer reviews – diverging views among PS Exercising in modules in different contexts (situations where civil protection authorities are volunteers and where they are not) – diverging views among PS Bilateral agreements – the proximity, historical relationship with countries, insurances for people deployed, operational and logistical requirements The activation of the mechanism inside and outside the EU and differences in their effectiveness
Relevance	EC services	<ul style="list-style-type: none"> Relevance of advisory missions – diverging views with those of some PS Long term strategies versus ad hoc activities of elements of the mechanism Relevance of exercises – diverging views across all stakeholder groups Cooperation between different Commission services to ensure relevant strategy documents.
	International partners	<ul style="list-style-type: none"> Further use of the risk assessment mapping Training and exercises, their relevance to the needs of international partners, international deployments

Evaluation Question	Group of stakeholders	Discussion points/key results
		<ul style="list-style-type: none"> • Relevance of experts deployed and/ or proposed for deployment • Identification of new needs, like negotiations due to the change of type of emergencies the mechanism is activated for • The integration of innovative and interactive tools such as maps. • Comments on SOPs and guidelines, e.g. host nation guidelines • UCPM as an entry point to discuss DRM with third countries
	Participating States	<p><u>Strategy/ mandate:</u></p> <ul style="list-style-type: none"> • Development of a strategic approach – what does the mechanism want to achieve, how are activities under each pillar relevant to other activities • The extent to which the strategies match the UCPM mandate and strategic plan of what are the core activities to be supported • The share of budget dedicated to prevention and the activities employed under its pillar • Transparency on the resources allocated to assess the relevance • Allocation of resources to new types of emergencies should be based on thorough needs assessment and not political pressure <p><u>Trainings:</u></p> <ul style="list-style-type: none"> • The relevance of trainings for preparing for international missions – the role of lessons learned from missions when adapting the training • The content and frequency of specialised and general courses – diverging views among PS • Capacity building as defined by the number of people trained – diverging views among PS • Competency-based trainings – diverging views among PS • Effectiveness of the EoE programme

Evaluation Question	Group of stakeholders	Discussion points/key results
		<ul style="list-style-type: none"> The list of topics to be covered by UCPM training at national level – diverging views among PS <p><u>Deployments:</u></p> <ul style="list-style-type: none"> Relevance of information provided by the ERCC due to the requirements to be fast, and the extent to which it is focused and specific Focus, detail of requests and extent to which they are needs-based The expansion to third countries in relation to the CP mandate Relevance of CECIS <p><u>Visibility:</u></p> <ul style="list-style-type: none"> Website of DG ECHO and visibility of results Visibility of the mechanism in what has it achieved, where has it participated, what role in missions with the UN has it played etc. Visibility of the DRMKC <p><u>Other:</u></p> <ul style="list-style-type: none"> The opinions on the NRA differed based on the level of national preparedness – diverging views among PS The relevance of gap analysis in relation to assessing the adequacy of capacity to respond – diverging views among PS The Voluntary Pool and buffer capacities should be implemented with caution not to encourage PS to be too EU reliant – diverging views among PS
Efficiency	EC services	<ul style="list-style-type: none"> Transport grants and reimbursement system/mechanism in place Use of the transport broker – diverging views with those of some PS Use of pooling between Participating States – diverging views with those of some PS Efficiency of in-kind assistance – diverging views with those of some PS

Evaluation Question	Group of stakeholders	Discussion points/key results
	International partners	Limited information
	Participating States	<ul style="list-style-type: none"> • Cost-effectiveness of UCPM activities - diverging views among PS • Efficiency and added value of prevention and preparedness projects - diverging views among PS and with those of ECHO • The impact of trainings. Efficiency of training programme depends on the objective – i.e. to train people for deployments or train for increase of knowledge - diverging views among PS • Implementation of lessons learned also for exercises with a cost-effectiveness in mind • Recognition on the issues with invoicing costs of transport, especially for those modules involving huge assets and aerial means • Pooling resources • Transport grants and reimbursement system/mechanism in place <p><u>Digitalisation:</u></p> <ul style="list-style-type: none"> • Use of digitalisation for some of training elements to reduce the costs and increase the participation from volunteers • Digitalisation of administrative parts of projects • Visibility of the mechanism could be approached in more efficient way – use of social media etc.
Coherence	EC services	<p><u>General:</u></p> <ul style="list-style-type: none"> • Cooperation between ECHO and other Commission services and EU agencies, and recent developments in policy sector. • The differences between audiences and mandates of the services, awareness and communication

Evaluation Question	Group of stakeholders	Discussion points/key results
		<p><u>Health</u></p> <ul style="list-style-type: none"> • Cooperation with ECDC and DG SANTE on preparedness pillar for actions within EU. • Restrictions to the ECDC mandate. • Methodologies developed by ECDC that can be of relevance to the UCPM • Following Ebola outbreak, ECDC operational plans on processing similar requests, and how to integrate international procedures of CP missions <p><u>Climate:</u></p> <ul style="list-style-type: none"> • Relations between ECHO and DG CLIMA i.e. informing about existing risks, prevent them and mitigate impacts • Direct reference of the UCPM Decision to climate change as a tool for facilitating the mainstreaming process and ensuring coherence between the two policy areas. • Two potential areas for more synergies: Urban adaptation agenda and Climate adaptation and disaster risk reduction at macro-region level (e.g. Alpine region, Danube region) <p><u>European Neighbourhood Policy:</u></p> <ul style="list-style-type: none"> • Relations between ECHO and DG NEAR, and existing synergies • Complementarity with IPA II, PPRD South II and PPRD East II • Extent to which initiatives in third countries (neighbourhood) can benefit UCPM <p><u>Maritime emergencies:</u></p> <ul style="list-style-type: none"> • Relations between ECHO and DG MOVE, and ECHO and EMSA • Functioning of the EMSA information platforms vis-à-vis CECIS • Complementarity between the civil protection and maritime emergency communities <p><u>Environmental policies:</u></p>

Evaluation Question	Group of stakeholders	Discussion points/key results
		<ul style="list-style-type: none"> • Relations between ECHO and DG ENV • Complementarity with policies and activities under the Seveso Directive and Flood Directive • Role of the scientific community, also in enhancing cooperation with the CP community • Possibilities for improving cooperation between environmental authorities and civil protection authorities <p><u>Regional policies:</u></p> <ul style="list-style-type: none"> • Relations between ECHO and DG REGIO • Role of the UCPM in the introduction of ex-ante conditionality on disaster risk management and prevention in the new cohesion policy funding • Relevance of disaster risk management and prevention projects under cohesion policy funding vis-à-vis UCPM prevention and preparedness projects <p><u>Security:</u></p> <ul style="list-style-type: none"> • With terrorist threats increasing, both sides (HOME and ECHO) need to strengthen cooperation. The number of meetings and discussions have increased • Identification of new risks in the sector and ways how to respond to them • CP and security fields are complementary and cooperation is going to be further developed <p><u>Research and innovation:</u></p> <ul style="list-style-type: none"> • Relations between ECHO and JRC DRMKC between ECHO and GROW on Copernicus • Development of and functioning of early warning mechanisms and tools • Development of Copernicus, risk mapping tools and Emergency Management Service, its visibility and use among MS • Development of a scientific community, its links with the civil protection community

Evaluation Question	Group of stakeholders	Discussion points/key results
		and its role in developing prevention and preparedness projects
	International partners	<p><u>Work with humanitarian aid actors:</u></p> <ul style="list-style-type: none"> • Nexus between CP operations and humanitarian aid operations, and potential overlap/competition • Development of cooperation tools between EERC and HA community • Humanitarian principles with the involvement of PS through the mechanism directly in conflict situations • Coordination with the UN and international standards/ guidelines. <p><u>Other:</u></p> <ul style="list-style-type: none"> • Mandate for each organisation • Coordination among stakeholders on training activities • Role of DRM in implementing the Sendai framework • Peer reviews and risk assessment tools • Interaction with international partners during missions and follow-up. E.g., feeding into long term recovery plans • Interaction and complementarity with EU delegations • Relations between ECHO and UN in developing post disaster needs assessment (PDNA) • Investment in trainings for third countries and ability to improve response capacity
	Participating States	<ul style="list-style-type: none"> • Risk of duplication of efforts • Use of the CP budget and its coherence with other policy areas and in regards to its mandate • Complementarity between the variety of topics put on the agenda by MS during their presidency at the council

Evaluation Question	Group of stakeholders	Discussion points/key results
		<ul style="list-style-type: none"> Risk of duplication of training activities at EU and national level - diverging views among PS
Sustainability	EC services	Limited information
	International partners	Limited information
	Participating States	<ul style="list-style-type: none"> Support to national EWS and bringing them together in EU platforms - diverging views among PS Question on the sustainability of knowledge gained through the trainings in the absence of deployments Need to follow up on recommendations to the beneficiary country, any follow up if these are implemented to reduce future risks Evidence of sustainability of activities carried out through some exercises, e.g. 2013 CURIE exercise Evidence sustainability of international modules (e.g., FI +SE), initially established under mechanism but still functioning Less sustainability for PP projects but there is added value of networking and creation of consortiums
EU added value	EC services	<ul style="list-style-type: none"> The EU added value of the UCPM for other agencies operating in a similar environment
	International partners	<ul style="list-style-type: none"> Capacity building at EU-level Support to improve preparedness inside EU for modules, especially on fire fighting Uniqueness of the risk assessment mapping
	Participating States	<ul style="list-style-type: none"> Functioning of the ERCC Monitoring of results for establishing EU added value

Evaluation Question	Group of stakeholders	Discussion points/key results
		<ul style="list-style-type: none"> • Development of networks • Exchange of experiences • Possibility to extend cooperation from neighbouring countries to regions and further
Future outlook	EC services	<ul style="list-style-type: none"> • Need to further develop strategies, networks and synergies between different EC services • Activities and synergies in the areas of health, climate change adaptation, disaster risk management, environment and security policies • Transport reimbursements and possible adaptations to the existing mechanism • Functioning of the training programme and exercises in relation to capacity building and quality assurance
	International partners	<ul style="list-style-type: none"> • Nexus between the civil protection sector and humanitarian aid community • Institutionalisation in order to address an issue of cooperation with ECHO based on personal relationship • Dissemination of lessons learned/ missions reports/ good practices • Cooperation with international partners in relevant areas (methodologies, operations on the ground, complementarity during response operations) via a memorandum of understanding or other forms of cooperation
	Participating States	<ul style="list-style-type: none"> • Future collaboration between the civil protection and humanitarian aid communities • The use of NRAs • Capacity-building through training and exercises

A2.3 Online survey

Table below provides an overview of the response rate for each type of surveys against the number of invitations sent.

The response rates for the NCP/CPA survey was higher than expected, as well as for Ministries and experts in the EoE programme. Responses received from NCPs were followed up with phone interviews. The response rate from NTCs was initially lower than for civil protection authorities and project coordinators (initially due to missing contact details) but additional reminders were sent and the survey closure date was extended to the end of February 2017.

Table A2.3 Overview of number of survey responses

Survey	Survey invitations sent	Responses	No response, email address no longer valid (bounced invitation), etc.
NCPs and national partners	34	28 ²⁵⁰	4
Other relevant national authorities	NA ²⁵¹	47 ²⁵²	NA
Trainers and National Training Coordinators (NTCs)	57	15 ²⁵³	44
Civil protection experts in the EoE programme	426	97 ²⁵⁴	329
Project leads	89	22 ²⁵⁵	67
Total	606	209	444

A2.4 Case studies

Three case studies were also carried out as part of the stakeholder consultation for this evaluation. The information collected was analysed and used to triangulate information received from all consultation tools. The case studies also served to test and confirm preliminary findings.

The case study on forest fires in Cyprus was carried out on 20-22 March. The rationale was to demonstrate preparedness for forest fires. The case study assessed the effectiveness and efficiency of monitoring services and tools such as EFFIS and other activities such as meetings and exchange of information on forest fires.

The case study on the module exercise (MODEX) in Estonia was carried out on 27 February-2 March. This case study explored the functioning and quality of the exercise and its relevance, along with the links to prevention activities. In view of this exercise

²⁵⁰ 28 NCP/CPA respondents from 20 different Participating States.

²⁵¹ The total number of invitations sent for this survey is not available as invitations were sent directly by each NCP.

²⁵² 47 PS Ministries respondents from 17 Participating States.

²⁵³ 15 NTCs respondents from 15 Participating States.

²⁵⁴ 97 EoE respondents from 23 Participating States.

²⁵⁵ 22 Project leads respondents from 9 Participating States.

being the only one falling within the timeframe of the study, it was selected as one of three case studies, although the scope of the evaluation covered activities carried out under the UCPM in the timeframe of January 2014 - December 2016.

The case study on the response to the migration emergency on the Balkan route was undertaken with the purpose to explore the interventions of players from the CP sector with other players. It aimed to assess challenges in the response, specifically in regard to coordination and in-kind assistance provided. Interviews with stakeholders from Hungary, Serbia, Slovenia and Croatia were carried out and a background document containing analysis of different information sources was prepared. The case study was carried out throughout March.

Table below provides an overview of the number of interviews planned, completed and non-completed (e.g. no response or rejected interview).

Table A2.4 Overview of stakeholder interviews carried out in the evaluation

Case study	Planned interviews	Completed	No response, rejected interview, less relevant, etc.
Cyprus	5	7	-
Estonia	5	11	-
Migration	5	6	-
Total	15	24	0

A2.5 Open Public Consultation

The Open Public Consultation (OPC) was closed on 24 February. DG ECHO extracted results and provided information to ICF for analysis. The analysis of results from the OPC were analysed and used to triangulate information received from the above-mentioned stakeholder consultation tools.

The Open Public Consultation report was drafted and published in March²⁵⁶ (see Annex 11)

²⁵⁶ Available on DG ECHO website:

Annex 3 Risks of the UCPM not achieving its objectives

The evaluation finds on the basis of evidence over 2014-2016 that there are no major risks of the UCPM not being able to achieve its objectives over the period 2014-2019. Some areas of concern, however, are outlined below for reach of the specific objectives of the UCPM. Providing that the areas of concern are addressed the UCPM should be able to meet its objectives on the basis of the remaining period 2017-2019.

1. The Union Mechanism shall support, complement and facilitate coordination of Member States' action in pursuit of the following common specific objectives:

Objective: to achieve a high level of protection against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services;

Indicator: progress in implementing the disaster prevention framework: measured by the number of Member States that have made available to the Commission a summary of their risk assessments and an assessment of their risk management capability as referred to in Article 6;

The risk of the UCPM not meeting the objective of achieving a high level of protection against disasters through fostering a culture of prevention is considered very low. Based on the submissions of the summaries of NRA the UCPM has met this objective. The indicator is nonetheless considered too restrictive to be able to fully measure progress against this objective. On the basis of evidence of the growing knowledge base in the area of prevention, leveraging of funding on disaster risk prevention and management via cohesion funds, NRA and the peer review programme, UCPM is on course to meet this objective. Areas of concern do remain (in regards to visibility of the knowledge base, ensuring a comprehensive nature of the NRA, quality and visibility of the peer review programme, prevention and preparedness missions) but it is not considered these will significantly impact the UCPMs ability to meet this specific objective.

Objective: to enhance preparedness at Member State and Union level to respond to disasters;

Indicator: progress in increasing the level of readiness for disasters: measured by the quantity of response capacities included in the Voluntary Pool in relation to the capacity goals referred to in Article 11 and the number of modules registered in the CECIS;

Preparedness has been enhanced at Member State and EU-level through capacity-building (especially via training and exercises) and the quantity of response capacities in the Voluntary Pool.

The indicator, however, is rather limiting (in referring only to the quantity of response capacities) and does not capture the full scope of the specific objective. There are some risks that capacity gaps are not being filled by 2019. Nonetheless, when progress is measured across different activities, overall risks of the UCPM not being able to meet its objective is considered very low.

Objective: to facilitate rapid and efficient response in the event of disasters or imminent disasters; and

Indicator: progress in improving the response to disasters: measured by the speed of interventions under the Union Mechanism and the extent to which the assistance contributes to the needs on the ground; and

Progress has been noted in the ability (via the ERCC) to facilitate rapid and efficient response in the event of disasters, the actual speed and efficiency of response cannot be accurately measured. First of all, comparability of response operations is a challenge, even for operations of a similar emergency type. Secondly, the monitoring tool CECIS does not lend itself to quick and easy extraction of relevant data. Such monitoring is

rather time-consuming and it is therefore unlikely that resources will be available for consistently reporting progress against the Decision for the remaining years of this UCPM, i.e. 2017-2019. Thirdly, there is no baseline of the average speed of response operations, and data can thus not be compared across years and not across UCPM period (i.e. 2007-2013 to 2014-2020). Fourthly, the established targets on response speed are difficult to set without such a baseline.

The evaluation finds progress in this area but in the absence of continued, ongoing monitoring it cannot be established whether response operations could have been more rapid or efficient than is currently the case, and corrective measures cannot be taken in the absence of measurement until after an ex-post evaluation after 2019. This would in turn provide a risk of not being able to establish benchmarks for the period after 2020. Overall it is considered there is a medium risk of the UCPM not meeting this objective.

The extent to which the assistance contributes to the needs on the ground cannot be measured due to there being no clear, quantitative targets. Qualitative information available appears to show that assistance contributes to needs on the ground (though improvements in communications and messages from those requesting support are possible) and that the risk of the UCPM not meeting its objective is rather low.

Objective: to increase public awareness and preparedness for disasters.

Indicator: progress in increasing public awareness and preparedness for disasters: measured by the level of awareness of Union citizens of the risks in their region.

The UCPM is on track in increasing public awareness of the UCPM itself. A challenge remains in the ability to measure progress via Special Eurobarometer surveys as the exact phrasing of questions vary over time, providing a methodological obstacles in being able to assess whether perceived progress in awareness is due to actual facts or because of the way the question is phrased.

Progress is considerable in the area of preparedness to disasters, highlighted especially by the establishment of the Voluntary Pool of resources, the training programme and exercises. These have played a role in building capacity across the EU and contributed to enabling civil protection authorities in being better prepared for a variety of different types of scenarios and emergencies. Peer reviews also enhance preparedness in the Participating States that requested them.

Annex 4 Main lessons learnt

The Interim Evaluation of the UCPM 2014-2016 has revealed a number of key lessons relevant for the remainder of the UCPM 2017-2019:

Identify the main lessons learnt (positive and negative) in the three fields of action from the implementation of the Decision.

A4.1 Overall

- Adequate monitoring systems are not only important for the purposes of the indicators in the Decision itself, but are essential for any organisational structure in order to measure performance. Key performance indicators help measurement of performance and regular follow-up reporting facilitates taking corrective action where needed;
- The identification of lessons learnt is generally not considered difficult for most activities, but follow-up and implementation of corrective action is rather more challenging;
- Duplication of efforts between the UCPM and other policy areas can to a considerable extent be avoided by streamlining of activities with other EU services. Having priority focus on certain areas for cooperation can help dedicate relevant resources to mapping joint activities, potential overlap and synergies;
- UCPM can be perceived as stepping into non-typical UCPM areas of intervention, such as in humanitarian contexts and following the refugee emergency. Awareness of this perception can help the UCPM to draw lessons from these experiences and better define its own scope.

A4.2 Prevention

- The summaries of NRA are an initial stepping stone for establishing an EU-wide map of risks across different thematic areas. The identification of these risks has been a positive development for the UCPM, though should be further capitalised on in the years ahead. A key lesson is to not merely repeat the assessment of the national-level risk picture every three years but incrementally enhance cooperation with various authorities at national level to establish a comprehensive risk landscape across areas. For DG ECHO a key lesson is that such identification should be accompanied by closer cooperation to other services to identify key topics and themes that could be more comprehensively covered in the future;
- Prevention projects have a positive role to play in enhancing transnational prevention activities. They are best utilised, however, if they are accompanied by close alignment with other relevant projects (such as those in the area of cohesion funds);
- The focus on fostering a culture of prevention through an enhanced knowledge base can have immediate positive impacts on early warning systems, the ability to leverage knowledge for innovative research projects and better involving expertise and scientists into disaster prevention. Leveraging these effects is identified as crucial, especially through enhanced visibility at national level of relevant science and research activities;
- Peer reviews can play an important role in enhancing the quality of prevention and preparedness systems and approaches in Participating States and third countries, but need to be broadly supported and its advantages clearly communicated in a constructive manner. A peer review cannot be considered to be completed without effective follow-up a few years upon completion of the review (also valid under preparedness);

A4.3 Preparedness

- Prevention and preparedness missions (Advisory missions) provide for a beneficial tool to third countries but have most value when there is a level playing field in accessibility for all third countries. This benefits both the UCPM (quality of support, based on needs) and third countries (access) (also valid under prevention);
- UCPM allows for considerable capacity building in expertise and knowledge through training and exercises. A key lesson, however, is that the system is most effective when combining capacity building with careful quality assessment of an ever-growing pool of individuals;
- The Voluntary Pool has an important effect in ensuring readiness of EU emergency capabilities, but goal-setting of required capacities and how to act on alleged gaps is challenging.
- Visibility of the UCPM can be measured relatively easily, but enhancing visibility of the UCPM itself is more time-consuming. However, relatively simple approaches of improved signposting of information and factsheets, as well as references to the UCPM at Participating State level can have positive impacts on EU-wide awareness of emergencies and the role of the UCPM;

A4.4 Response

- The vastly different nature of response operations makes comparisons across indicators challenging, including on their speed and efficiency. Establishing a baseline and benchmarks for similar types of emergencies can be a way forward to enhancing comparability. A key lesson for the UCPM is that comparison is difficult, but methods exist to monitor and track performance;
- With response operations vastly different, comparison is equally difficult for transport reimbursements. An important lesson, however, is that limited information available or accessible does not allow for a full understanding of how operations really function, and how Decision-induced approaches meant to be cost-efficient, such as the use of the broker and pooling, can be beneficial.

Annex 5 Case study reports

A5.1 Case study: response to the forest fires in Cyprus in 2016

A5.1.1 Context and nature of the emergency

On 18 June 2016 a major forest fire started near Argaka village in the Pafos district, north-central part of the island. Whilst the National Authorities were able to bring it under control, on 19 June another major forest fire broke in the Evrychou zone, Nicosia district.

More than 1,700 ha of forest and mixed vegetation were still burning by 20 June, despite the immediate bilateral support provided by **Greece** and **Israel**.

Two firefighters were also killed in intervention, one of the largest forest fires in Cyprus recent history (of a lower magnitude, however, than the major and unparalleled fires of 1974, consecutive to the civil war and Turkey's invasion of northern Cyprus).

Cyprus activated the Union Civil Protection Mechanism (UCPM) on 20 June, requesting aerial firefighting assets, air tractors and 80 tons of flame retardant substances. In response three Participating State, **Italy**, **France** and **Greece**, sent a total of eight aircraft, including the deployment of the aerial firefighting buffer capacity, for the first time. **Copernicus Satellite Mapping** was also triggered to contribute to the damages' assessment. Greece had originally deployed two firefighting aircrafts and two helicopters. France then made available its firefighting planes from the Voluntary Pool of EU civil protection assets, in response to the UCPM activation. Two Canadair and a plane to ensure coordination arrived in the early evening of 20 June. Another Canadair plane then arrived from Italy on 21st June.

- **Greece** operated from 19-24 June, conducted 201 water drops;
- **France** operated 21-25 June, CL-415 planes conducted 46 water drops and flew more than 24h on site;
- **Italians** operated from 21-24 June, CL415 from buffer capacities conducted 32 water drops and flew for 12h20
- **Cyprus** capacity consisted of ground forces, four aerial assets (helicopters, air tractors), dropping 132,000l of water, and 1,100l of foam and 6,000l of retardant.

A5.1.2 Activation of the Mechanism

The fire started on Sunday just before the national holiday on Monday. There were two consecutive forest fires. The first one was extinguished with the national and Greek forces. However for the next one, the support was needed. The decision to activate the mechanism came from the Minister of the Interior. **The mechanism was activated in CECIS by the Civil Defence within an hour following the decision.**

A5.1.3 Players involved in Cyprus

Several players were involved by Cyprus in response to the forest fires. In case of a crisis, all the following players are involved in the decision on activating the mechanism:

- Ministry of Interior, Cyprus Civil Defence:
 - Civil Defence is the main actor for the crisis response. The National Contact Point and the National Training Coordinator for the Mechanism is within the department. Civil Defence is also the only player in the country with the access to the CECIS.
 - Only 31 permanent staff members

- Ministry of Justice, Cyprus Fire Service:
 - Player responding to the urban fires
- Ministry of Agriculture, Forestry Department:
 - Responsible for monitoring and warning mechanisms of forest fires
 - In charge of education campaigns on the forest fires
 - Forest fire fighting
- Ministry of Foreign Affairs, Crisis Management Department:
 - Relationships with Israel
 - Bilateral agreements
 - Diplomatic clearance
 - Release of capacities after emergency through embassies
- Ministry of Defence:
 - Involved when the air force and military forces are present/ utilised

A5.1.4 Bilateral relationships

Cyprus has bilateral relationships with several countries and the following ones were deployed in response to the forest fires in 2016:

- Greece (EL):
 - In civil protection matters, Cyprus has a close relationship to Greece. Also for the forest fires in 2016 they were requested support on a bilateral basis before the activation. Short distance flights can therefore reach Cyprus at an early stage.
 - Open channels for communication, usually personal (not necessarily institutionalised, rather ad hoc)
- Israel (IS):
 - Israel is the country with the shortest flying distance, and **their planes can be in Cyprus within 40 minutes' flight**. For that reason there are constructive relations with Cyprus – including training activities together etc.
- British military base:
 - Participate in all national activities
 - Provide a capacity of helicopters
- Russia:
 - The Crisis Centre, Ministry of Foreign Affairs had also agreed with Russia to receive reinforcement in a form of a forest fire plane (from EMERCOM), but as the fire was extinguished there was no more need for this assistance

Following reception of the assistance through bilateral relationships, it is the Ministry of Foreign Affairs who releases the response capacities received. The releasing process is carried out through the embassies. Following the emergency in 2016, Israeli and Greek capacities were on hold for a more extend period in the event where their assistance were required.

A5.1.5 Key messages and findings per evaluation question

A5.1.5.1 Effectiveness

Cyprus has a lot of experience in activating the mechanism. The first activation was on 2nd July 2006, this was just after the 1st July when Cyprus officially moved from training to operational mode. Since then, the mechanism was activated for an [explosion in 2011](#) and for several forest fires, the latest in 2016.

Cyprus did not have any issues/ delays of activation of the mechanism due to the lack of familiarity with the mechanism.

A5.1.5.2 Needs assessment

Request for assistance: players involved would like to see a **template that would permit to indicate as specific request for assistance as possible in a quick manner**. This would facilitate request and offers provided²⁵⁷. It was however found, that as part of the **EU Host Nation Support Guidelines**, such templates already exist. It could be noted to the Commission, that better and regular use of these should be encouraged (e.g., by linking them to the CECIS Request Overview).

Cyprus also received an offer from **Bulgaria** to send over ground forest fires fighting units, but at that time there was no need for such capacity and therefore refused the offer. The aerial means and retardant material (for slowing down the fires from spreading) were key needs in the emergency and those were received from **Israel, Greece, Italy** and **France**.

For the emergency in Cyprus, no EU CP team was deployed. There was no need for this, as local structures were considered to be functioning and adequate.

A5.1.5.3 Coordination

The aerial forces were coordinated according to the **national plan ICARUS**. This was carried out from the airbase in Pafos. The briefing was done by Cypriot pilot who is responsible for the aerial means fighting the forest fires. Authorities indicated there having been **no interoperability issues identified, nor communication issues**.

Although Israel is not part of the mechanism and its training activities, the two countries have had several trainings together. This was considered beneficial during the activation.

Authorities **did not identify any differences in** assistance provided by countries through the mechanism and those outside (Israel). All teams worked equally well, despite different trainings undertaken. The only difference reported is the response time due to the distance. Israel is the closest, therefore often preferred in view of the ability to be on-site within 40 minutes flight.

There seems to be an **awareness issue on access to the ERRC resources**. Cyprus has **only one access account to CECIS**. It was expressed by the MoFA that it would have been beneficial for them to have the access to also monitor the resources available (they have access to two other platforms – EIS (consular support), IPCR (Integrated Political Crisis Response)).

A5.1.5.4 Response

From the Italian side, the **intervention in Cyprus was found to be very positive**. One key point for such activations is the host nation support, meaning the availability of the

²⁵⁷ Comment also made by some Participating States through phone interviews.

requesting State to welcome foreign resources (Canadair in this case) as well as the resources that they provide on the ground. The host country, according to EU HNS Guidelines procedures, should compile a template and highlight which services they can offer to the Country which is offering help. This is very important as there are specific requisites that resources such as Canadair require (such as length and width of the airport runway, hangar for mechanical repairs, availability of specific fuel for the planes).

From the Cypriot point of view there were also **no issues highlighted** in relation to the response. It was found to be effective and timely.

The **mechanism was found to be flexible** enough to respond to new developments in the forest fires. According to several stakeholders consulted in Cyprus, mostly due to the climate change but also as a result of lands used for agriculture and now full with fuel waste, the forest fires are much more severe than used to be in the past. Experience from 2016 shows that there can be two strong forest fires in a row. Therefore there was a need for an external assistance for the second one, as the national capacities were exhausted after extinguishing the first one.

A5.1.5.5 Buffer capacities

In the context of buffer capacities, Participating States have established certain procedures which are functional and rigorous. There is a phase of pre-alert during which a Participating State communicates with the Commission daily (particularly in summer) and exchanges data on availability of planes and potential emergencies in other countries. For Cyprus, the first request arrived through one of these pre-alert communications (the COM called on the mobile phone of the Italian Civil protection officer).

Subsequently, but still in the pre-alert phase, the Civil Protection made an internal assessment of the situation which involved the Department of Civil Protection and the Fire department (owner of the Canadair), passing the information to the office of the Prime Minister. During the authorisation process, the Civil Protection authority was already preparing resources for the possible request. Carrying out the resources preparation process already at pre-alert phase allows Italy to promptly respond to the actual activation of the mechanism (for example, for Portugal in 2016 the Canadair took off from the airport 1 hour after the actual activation).

In 2016 Italy responded to 3 activation of the mechanism involving Canadair (Portugal, Cyprus and Corsica).

A5.1.5.6 Lessons learnt

Although internally Cyprus carries out lessons learnt and does implement these on a regular basis, there still **has not been lessons learnt exercise for the activation of the mechanism** at the national level nor at the UCPM level that would also include lessons learnt from Italy, France and Greece.

A5.1.5.7 Training and exercises

Cyprus has also participated in exercises and found these very beneficial. Because of the team changes, regular exercising were found to be of high importance.

Having exercises in Cyprus were also found to be crucial, as it allows to **increase the participation rate** and would not require people to be sent to Brussels (e.g., budget and time constraints, especially for small country the human resources are rather limited). According to the stakeholders consulted, Cyprus more often have incoming exercises, and less often outgoing. So their personnel is less often exercising outside Cyprus. The reasoning for this is mostly the national budget and remoteness of the island.

However, the **operational people**, such as firefighters, **have not had any exercises within the mechanism**. Firefighters note that the techniques used by other countries are much more advanced. This could be improved with more exercises, more training outside the island.

The issue with the training is also the number of places that are allocated based on the population and council vote. For Cyprus it results to **1-2 places in the training**.

The added value of training through the mechanism is the **emergency element added**. Internal exercises are not of the same nature in comparison to an external exercise.

Exercises absorb considerable resources, and a main lesson learnt is that **results are not easily accessible to the general public**. Showing good examples from such capacity building could be a simple way to improve public perception and the **visibility of the UCPM**.

Currently, Cyprus is **planning to develop a module on forest fire fighting**. It is seen as a possibility to access more trainings with other countries and not only internally. In general, the training is perceived as one of the biggest pull factors of the mechanism.

Finally, outside the mechanism and just before the emergency in 2016, Greece, Cyprus, Israel and British base had a training together, which also helped to prepare to work together in an emergency.

A5.1.5.8 Prevention

The NRA was seen as a helpful tool in getting all players together, working on a bigger picture. Because of the forest fire, Cyprus sees the impact of the climate change very strongly and therefore reflects this in the NRA. The guidelines were found to be useful for this purpose – how to link NRA with the climate change.

Prevention and preparedness projects were identified as a good opportunity to fill in the gaps. These were seen particularly helpful for academia to apply, innovate and test new things.

Cyprus has a number of **national campaigns** in place to raise the awareness and prevent forest fires. There is high awareness on fires amongst relatively young people (annual campaigns in schools). Awareness is considered lower for older generations. However, all these activities are carried out nationally and not part of the mechanism.

There is however **limited awareness of the mechanism**. Even worse, there seems to be limited awareness about the mechanism within the sector.

Outside mechanism and on prevention, Cyprus also works together with Italy on the software to predict forest fires. This cooperation is based on national funding.

A5.1.6 Relevance

A5.1.6.1 Training

- There is no sufficient amount of training on **media coverage**, only in CMI. It was found to be very important that the EU CP team is capable to deal with the media.
- **Aerial assessment** was part of the AMC, but is not anymore. Again – especially for the forest fires this was found an important element.
- Stakeholders consulted thought that it would be relevant to train number of people, as Voluntary Pool for flood and forest fire emergency. These could be trained with the requirement to be available for certain number of years.
- There are **workshops for topic related CP modules team leaders**. It was suggested that these could be broadened and made into topic specific trainings. This could then feed into the above mentioned Voluntary Pool.

- Previous Table-Top exercises conducted by the ERCC with up to five Participating States to test and practise activation of the transport support procedures are no longer offered and Cyprus stressed their usefulness.

A5.1.6.2 Flexibility

Overall the mechanism was found to be flexible in addressing the needs. The capacities **requested were provided and in a timely manner**. However, there is an overall concern that the **remoteness of the island** has implications of the response time. While the **regional exposure to the forest fires** raises concerns whether other countries have capacities to support Cyprus while they themselves are exposed to the emergencies.

A5.1.6.3 Bilateral agreements vs Mechanism

In the specific case of Cyprus, some **bilateral agreements have advantages** due to of the shorter **response time** for Israel and Greece. This is the result of the remoteness of the island and not considered to be due to the mechanism itself.

The **buffer capacities is seen as one of the ways to improve the use of the mechanism**. This is of particular importance in the region where everyone is affected by the forest fires at the same time and usually limits the capacities made available for other countries in the region.

Another solution suggested by stakeholders consulted would be to split the southern region into two **sub-regional** (west and east) **mechanism** that cooperates stronger on the issue. This is currently inexistent.

A5.1.6.4 Buffer capacities

The buffer capacities (BC) system allows to have **additional resources, particularly in sectors where resources are scarce**. The main tools used through the BC system are Canadairs which, particularly during the summer months, tend to be too limited in number in order to face all the fire episodes in Europe.

Italy has an availability of 14 Canadair (for emergencies in Italy) and two additional planes which are always available in case the mechanism is activated. However, **financial resources allocated by the EU to buffer capacities are too low in comparisons to the needs**, particularly in terms of forest fires, which are becoming common for all EU MS (even Nordic countries). Another issue is that, at the moment, they do not see any additional field of activation of the BC other than the Canadairs.

A5.1.6.5 Coherence

According to those consulted, **developments in forest fires and the sector as such are not sufficiently supported within the EU**. Also due to climate change there is an uptick in the number and severity of forest fires. For Cyprus in the past such strong fires were rather rare, but last year there were two in a row resulting in the activation of the mechanism.

There is a **working group under EFFIS** that brings players together, but there is only one meeting per year. There used to be more meetings – before and after the season of forest fires, indeed suggested to be useful

In order to improve the response and also prevention on the topic, stakeholders consulted saw a need for more involvement from Participating States on the topic.

Copernicus/ EFFIS

Copernicus maps can be accessed through ERCC but also through EFFIS. There is an attempt to have a working group on Copernicus, to estimate the needs that can be further requested through the mechanism.

A5.1.7 Efficiency

A5.1.7.1 Transport

The 'Broker' contract is important for Cyprus. As it is a small, remote island and there is no national airline, Cyprus does not have its own means to send any kind of assistance.

A5.1.7.2 Costs and transport reimbursements

As part of the Host Nation Support, Cyprus did provide for fuel, food, accommodation. Cyprus also covered all expenses of the maintenance.

For Italy there were no **issues with the reimbursement for buffer capacities** (85% of the transport costs).

A5.1.7.3 EU added value

- There is **always some capacity in the mechanism** which might not be available through the bilateral agreements, if the same emergency occurs in the entire region, then neighbouring/ regional countries would not be available to assist.
- The added value of the **knowledge centre** is the **one-stop-shop**, permitting any agency to access the information.
- EFFIS provide a **perspective on the situation in the EU**. Seeing the situation in the region, allows to manage the expectations on what can be received through the mechanism and what not.
- EFFIS is an added value for **countries that do not have full national monitoring systems/ databases** (due to capacity, expertise or resource constraints) . It provides a network and support to all countries involved.
- EFFIS and Aristotle can help for the **knowledge transfer**, these systems can serve as a base to develop something specific for individual countries.
- **EFFIS have different modules** that are extremely useful for Participating States:
 - Contamination of the atmosphere;
 - Statistical data and analysis of data on forest fires from all Participating States;
 - Financial losses assessment; and
 - Others.

A5.1.7.4 Other points

Italy reported another issue regarding needs assessment (not related to Cyprus forest fires). In the case of a deployment in Albania, Italy had sent Canadair but there was no real need for the use and deployment of such resources. **ERCC should put more emphasis on the assessment of real needs.**

A5.2 Case study: Union Civil Protection Module Exercise in Estonia, February-March 2017

A5.2.1 Context and nature of the exercise

This case study reports on consultation and observation activities carried out during the module exercise (MODEX) held in Estonia between the 27th of February and 2nd of March 2017, which involved a European Union Civil Protection Team (EUCPT), one ICT helpdesk, as well as three Urban Search and Rescue (USAR) modules. The aim of the exercise was to provide an opportunity to test, learn from and improve the response capability of Participating States in a controlled environment, as well as to meet general and specific learning objectives for both EUCPT and modules. Specific response capacities were tested during the MODEX, together with self-sufficiency, interoperability, coordination and standard operating procedures of response teams and equipment. The exercise also involved the certification process for the ICT team.

The field module exercise was carried out with the aim of training USAR teams from Austria, Czech Republic and Hungary, as well as ICT Helpdesk from Sweden and an EUCPT expert team. Most of the exercises took place on the training ground of the Estonian Rescue Board (ERB) and aimed at testing operations in cold conditions in an urban area. The average temperature during this period was 0°C and most of the field exercises, including key injects introduced by the Exercise Control Team, took place in the dark, due to short daylight in February (less than 9 hours).

This case study explores the functioning and quality of the exercise, its relevance, effectiveness, coherence, efficiency and EU added value. It will also look into the extent to which the exercise links to other preparedness activities, took into account the lessons learnt from past exercises and to the extent to which the exercise enabled testing response capacities, coordination and procedures of UCPM teams and equipment, leading to a better European response.

A5.2.1.1 Fictional activation of the Mechanism

The fictional scenario developed for the exercise focused on rescue actions following a major earthquake, with a number of powerful aftershocks, devastating the Estonian region of Väike-Maarja. The local government reported a number of collapsed villages in the Väike-Maarja district. The main focus of the Estonian Rescue Board (ERB) was Rakvere, a city with many collapsed houses. This issue caused conflict between the city and its suburban areas, as the latter felt forgotten by the rescue services and by the government. ERB in the scenario had run out of resources and could not anymore provide support to the areas around the city.

A5.2.1.2 Actors involved in the exercise

Several players were involved in the planning, organisation and execution of the module exercise. Falck was the company tasked with the organisation of the MODEX, with the support of Estonian local civil protection authorities. The full list of actors involved includes:

- Exercise Control:
 - Three Falck staff members;
 - One Chief Exercise Controller, one Venue Manager, one Safety Manager, One Quality Manager;
 - Three members of the video team;
- Trainers:
 - Six trainers (including one Main Trainer) and four co-trainers;

- European Commission:
 - One representative of DG ECHO;
 - Two DG ECHO officers (certification of ICT module);
- Urban Search and Rescue and ICT teams:
 - 32 USAR team members from Austria;
 - 38 USAR team members from Czech Republic;
 - 41 USAR team members from Hungary;
 - 4 ICT team members from Sweden;
- EUCPT experts:
 - Five EUCPT experts (including the Team Leader);
 - Two host country support personnel seconded to the EUCPT.

A5.2.2 Key messages and findings per evaluation question

A5.2.2.1 Effectiveness

Generally, the learning experience of the Estonia MODEX was perceived by participants as very positive, though certain potential improvements were highlighted through interviews or followed from observation activities. Module exercises are generally seen as a good way to strengthen the UCPM and to ensure that the European response to disasters is conducted in an effective as well as efficient manner. In addition to the evidence gathered on general UCPM features, such as visibility and lessons learnt, observers assessed the effectiveness of modules, the EUCPT and coordinating structure against the following types of learning objectives:

- Self-sufficiency;
- Procedures;
- Interoperability;
- Coordination;
- Learning opportunity; and
- Specific learning objectives.

A5.2.2.2 Lessons learnt

The case study found that lessons are perceived to be not sufficiently transmitted from exercises to other preparedness activities (particularly trainings) and vice versa. While the different consortia organising MODEX generally make use of the knowledge acquired in each exercise and adjust further exercises accordingly, this knowledge is not necessarily systematically stored. It may therefore partially get lost when a different contractor takes over, affecting continuity. Although, for example, the organisers of the Estonia MODEX reported to have regularly fed back to DG ECHO points for improvement, as well as experiences gathered in each exercise in order to foster lessons learning (e.g. particular issues with the EUCPT with the use of the Virtual OSOC), this does not yet amount to systematic knowledge-building. **A more efficient system for extracting lessons learnt in MODEX exercises and making them available to all stakeholders, at Commission level, would ensure systematic knowledge storing and sharing, enhancing sustainability UCPM training.** Among the participants in the Estonia MODEX, several members of the trainer team regularly act as trainers in UCPM training programme courses. Within this dual role, they try to export some of the lessons learnt during the exercise into training courses. It is in this context that some stakeholders suggested the establishment of “trainer forums” where issues and lessons learnt can be discussed and applied in future UCPM trainings, a valuable source of knowledge for putative systematic collection.

One very positive aspect to building on knowledge acquired was the EUCPT refresher training organised prior to the start of exercise operations. Previous exercises had shown the need for EUCPT experts to better apply the required theoretical knowledge to the practical activities carried out during a MODEX, especially with regard to coordination and procedures. **Such need was covered through the refresher training, and was unanimously perceived as a good practice to be replicated in further module exercises.**

A5.2.2.3 Visibility

Interview evidence suggests that Participating States generally receive sufficient information about the UCPM. However, issues related to the ownership and visibility of the Commission in module exercises (including the one in Estonia) were raised, particularly with regard to the “branding” of equipment used by participants. Despite the Commission funding and ultimately owning the MODEX, all players involved were provided with the organiser’s branded equipment (e.g. vests, hats), while the logo of the Commission was only visible on the vests of EUCPT experts. Such ownership issue affects the UCPM in particular, as **exercises and missions carried out under the UCPM flag are the activities involving the maximum potential visibility for the mechanism**, as they are carried out outside and in the presence of general public and media.

A5.2.2.4 Self-sufficiency

All teams involved in the exercise showed an **overall good performance with regard to self-sufficiency**. Camp set-up was done professionally through the use of appropriate equipment, and in an independent manner. Modules and host country support had sufficient power generation capacity for lighting and all other electricity needs throughout the operation. No outage was observed or otherwise noted.

Teams communicated well internally but there was **no evidence of significant communication between teams other than on site**, where external demands required such communication and when teams on very few occasions worked together (e.g. in joint assessments). It was particularly noted that each team set up a separate camp area, with no indication of shared resources or efficiency gains from setting up a joint camp.

All modules handled their transportation needs independently and were not a burden on the host country. EUCPT transportation in absence of the TAST was provided by host country support. While the Base of Operations (BOO) was set up well and initial planning had considered space needs of all expected units (EUCPT, ICT, AT, CZ, HU), additional space was not necessarily considered/ kept available for potential reinforcements. In the absence of a TAST, set-up for EUCPT was slightly delayed, affecting the effectiveness of the initial coordination by the EUCPT.

Very good performance was observed in relation to power generation and lighting, sanitation and hygiene, food and water, equipment storage and maintenance.

A5.2.2.5 Procedures

The reception and departure centre was supportive of learning in a realistic environment, and was used by participants to manage “virtual” arrivals and departure as part of the exercise.

The BOO was set-up well and functioned efficiently throughout the exercise. The USAR Coordination Centre (UCC) was tested for the first time in a module exercise, and the module in charge set up a well-organised centre, handling its function well.

Safety and security was guaranteed throughout the entire duration of the exercise and over the work of the modules. At no point during the exercise it was

observed was there any sense of teams rushing or taking shortcuts in applying USAR techniques. The Safety and Security officers were always clearly visible and available for the modules at the sites where they were working.

A5.2.2.6 Coordination

The quality of coordination between actors involved in the exercise could be observed and analysed on the basis of different levels:

- *Coordination between On-Site Operations Coordination Centre (OSOCC) and modules and teams:*

While the coordination structure was clear from the beginning of the exercise, the coordination between the On-Site Operations Coordination Centre (OSOCC) and modules appeared to be difficult at start and improved over the duration of the exercise. The EUCPT Team Leader correctly delegated the USAR Coordination Centre (UCC) to a module, freeing the OSOCC from the inter-module coordination. Information flow from the UCC to the OSOCC worked after both had established themselves. Injects ensured a high frequency of meetings especially after the first day. After the exercise it was clear that **all players involved in coordination experienced the exercise as a steep learning curve, including the modules who for the first time practised the operation of an UCC;**

- *Coordination and communication with international organisations:*

The EUCPT communicated well with all external actors, particularly after the establishment of the OSOCC tent. Generally, the quality of the EUCPT's coordination seems to depend on team members' experience. Due to the size of the expert pool, it appears that not many experts have ever been exposed to a simulated mission or to the international system. The trainings do not appear to be giving a sufficient basis for an effective coordination role in a real mission, particularly in relation to the EUCPT Team Leader role;

- *Communication with ERCC in Brussel:*

The video conference with the ERCC was a good learning element for the EUCPT. Inputs and additional information from the ERCC focal point helped the EUCPT in clarifying and more effectively report on results and needs. The conference however required a strong leading role from ERCC in order to obtain the necessary information from the EUCPT experts, underlining the limitations of prior experience of the EUCPT members.

A5.2.2.7 Interoperability

With regard to language, while **general communication between teams (especially on site) was productive** (even if limited due to mostly separate operation), challenges were observed in communication with affected populations. Most participants were able to communicate in English, making the teams independent of any need for translators. Some Team Leaders were not able to communicate in English and required support from other team members. On site teams effectively applied a code for operations (i.e. a commonly understood shorthand code for assessment results and any rescues carried out and pending).

Modules generally worked on separate sites, providing **little or no opportunity to share or combine equipment**. In any case, in the observed modules (USAR) equipment was predominantly self-powered (i.e. using combustion engines and not electric power that would require cabling and generators on site that could be shared).

The EUCPT was the element where most interoperability gaps could be identified through observation. At the start of the exercise, experts were given a refresher training on their roles and responsibilities, and all members had received previous trainings in their role. Despite this chance to prepare as a team, the initial team meeting appeared incoherent.

It also lacked required leadership and decision-making. Some good decisions were made nevertheless, such as the delegation of Base of Operations (BOO) to one team member together with the one of the modules. Furthermore, the ICT team was available and free in the first 12 hours to support EUCPT set-up, but the opportunity for early set-up of tent space, heating and power was missed, thus highlighting room for improvement in the coordination between the EUCPT and other modules/ TAST (although a TAST was not deployed, host country support was tasked to provide a similar role).

A5.2.2.8 Learning opportunity

The level of realism of the exercise was questioned by some stakeholders consulted. The Estonia MODEX was clearly perceived as an *exercise*, and participants did not appear to be in "mission mode". It was reported, however, that the workload, duration and continuity of the exercise (e.g. through injects, the OSOCC element, the UCC, the LEMA simulation) created sufficient pressure to have the required learning effect.

Further evidence of such feedback was also collected through observation. On site, teams were deliberating options, carefully debating approaches, and seemed to carry out rescue operations "textbook style" in what they clearly perceived as a learning environment. There is **scope for an enhancement of the sense of urgency, efficient and fast decision-making, and equally efficient and fast execution of decisions**. Despite the potential exposure of teams to somewhat higher risks brought by enhanced realism, the safety environment was sufficiently sound and the scenarios sufficiently well set-up (as outlined above) to allow some limited risk-taking in executing rescue operations.

A5.2.2.9 Relevance

Relevance of module exercises against training needs is currently assessed and planned at Commission level, where decisions on modules to be included in each lot of exercises are taken. Scenarios and practical needs are then discussed between DG ECHO and the different consortia organising module exercises through meetings.

At the moment, MODEX do not seem to be organised on the basis of a thorough needs assessment that accurately reflects the training needs of Participating States. Stakeholders affirmed that, particularly in the case of module exercises, **demand should be more driven by a combination of needs identified by Participating States on one hand, and from a general all-encompassing UCPM needs assessment** which would feed relevant needs identified through the whole range of prevention, preparedness and response activities into the training objectives of MODEX. Furthermore, in order to effectively plan the execution of module exercises, DG ECHO should be able to receive information on training needs of Participating States well in advance (at least two years before).

Nevertheless, there are numerous positive developments in terms of the relevance of module exercises. Prior to the start of the exercise, staff from participating modules are asked whether they have specific needs and objectives to be tested, and the exercises are usually adapted to such specific needs, showing flexibility. There was also evidence of operational learning from past exercises. The need to include more than one Safety Officer was identified in a MODEX carried out in Italy in 2016. In the Estonia MODEX, one safety officer was assigned to each team, allowing a better coordination between safety officers and trainers as well as between the modules' Team Leaders and the safety officers.

A5.2.2.10 Coherence

This criterion was analysed on the basis of evidence gathered on the internal coherence of the module exercise with other UCPM activities. There is no clear operational link between UCPM trainings and module exercises (with the exception of the Module Basic

Course) according to some of the stakeholders consulted. The way training courses are currently implemented gives Civil Protection experts an overly theoretical knowledge of tools and practices to be used in a deployment, and trainers interviewed reported a general lack of 'hands-on' skills on how to utilise such tools in practice. Furthermore, the large size of the pool of "trained and deployable" experts has a reflection in module exercises, particularly in the selection of the Team Leader of the EUCPT team. Stakeholders reported that while a large amount of experts participate in management training courses, **stricter criteria should apply for the selection of the expert tasked with the management of an emergency and coordination of the whole EUCPT team.**

At Commission level, there is currently no common exercise-training strategy. It was suggested to create one working group strategically covering both activities.

A5.2.2.11 Efficiency

Generally, the procedures followed by DG ECHO for the organisation of the exercise were perceived as satisfactory by stakeholders involved. The timeframe given to Participating States for their internal planning and preparation of modules (currently 3-4 months) is appropriate and in line with legal requirements (e.g. notification periods for air transport which cannot be waived in a shorter timeframe unless for an emergency case) as well as with the potential for maximising the learning experience. Furthermore, modules' Team Leaders considered the lack of advance information on the exercise environment and tasks as an excellent feature of their team's learning objectives.

However, in the case of the EUCPT, DG ECHO could consider implementing a formula through which the actual date of the exercise is not communicated too much in advance to experts (e.g. by providing a timeframe rather than the exact dates). Such a change would contribute to maximise the realism of the MODEX and provide EUCPT experts with a stronger "mission" experience.

A5.2.2.12 EU added value

Participating States see Module exercises as a strong resource for testing the international logistical capacity of their Civil Protection modules. Modules' Team Leaders reported that such international learning opportunity contributed to better understanding and planning best options for long distance deployments, which are rather difficult to assess during exercises carried out at national level.

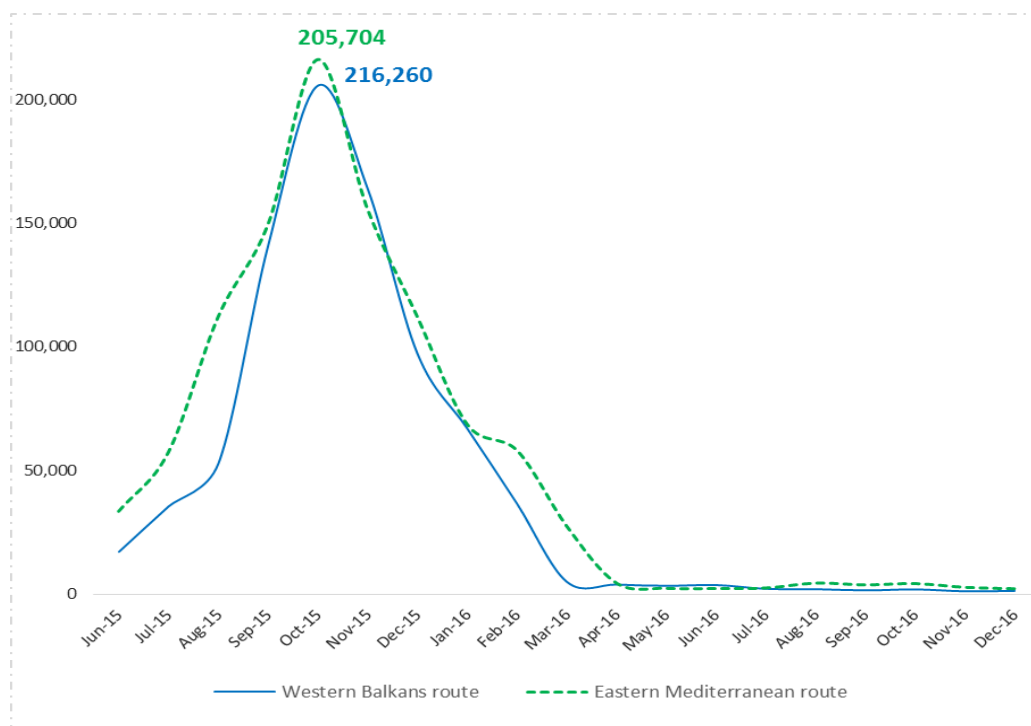
A5.3 Case study: UCPM response to the refugee emergency (June 2015 to December 2016)

In view of the number of Participating States involved and the scale of the emergency the refugee emergency was selected as one of the three case studies for the interim evaluation of the UCPM 2014-2016. Of the Participating States invited to participate in the case study, consultations were carried out with four countries (Hungary, Croatia, Slovenia and Serbia).

A5.3.1 Context and nature of the emergency

Following massive protracted population displacement resulting from conflicts in the EU's near neighbourhood, a shift in the migratory routes to Europe in summer 2015 took place and a new migratory route through South-Eastern Europe was opened.²⁵⁸ EU Member States and several Western Balkan countries along the so-called **Western Balkan route** were faced with tremendous challenges in the reception and coordination of the response to a potential humanitarian crisis.²⁵⁹ The figure below provides for an illustration of the incoming number of migrants and asylum seekers on the Western Balkans route and the Eastern Mediterranean route.²⁶⁰

Figure A5.1 Number of migrants and asylum seekers along the Western Balkans and Eastern Mediterranean route (June 2015-December 2016)



Source: Frontex Risk Analysis Reports 2015-2016

Although a peak of incoming migrants and asylum seekers was reached in **October 2015**, the UCPM was already mentioned by the European Commission as early as 2013

²⁵⁸ [http://www.europarl.europa.eu/RegData/etudes/BRIE/2016/573949/EPRS_BRI\(2016\)573949_EN.pdf](http://www.europarl.europa.eu/RegData/etudes/BRIE/2016/573949/EPRS_BRI(2016)573949_EN.pdf)

²⁵⁹ ; http://europa.eu/rapid/press-release_IP-16-269_en.htm.

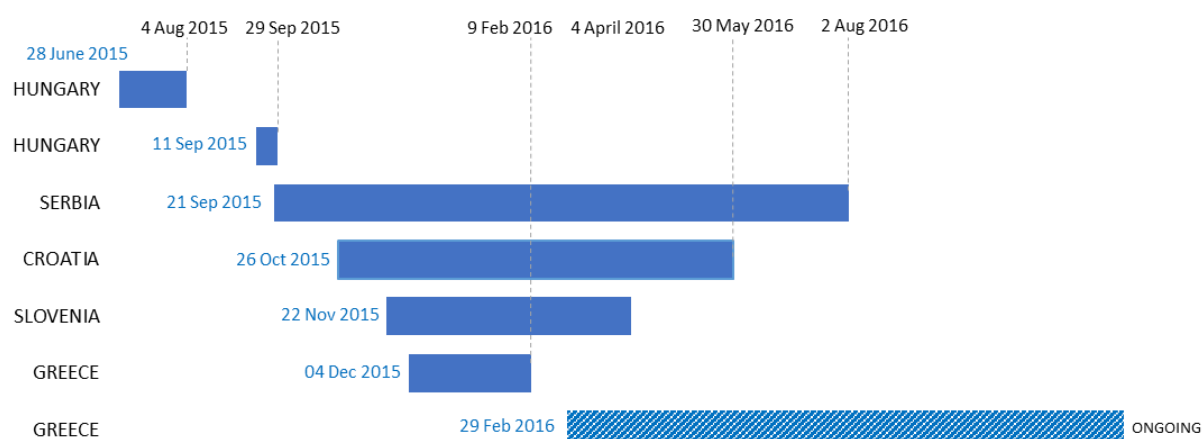
²⁶⁰ The figures of this chart have been gathered from the Frontex Risk Analysis Network Quarterly Reports of 2015 and 2016, available here: <http://frontex.europa.eu/publications/?c=risk-analysis>. The Western Balkans route designates the number of border crossings in Greece, Bulgaria, Romania, Hungary and Croatia at the land borders with countries from the Western Balkan region. The Eastern Mediterranean route is understood as the border crossings to Cyprus, Greece sea border, Greece and Bulgaria land borders with Turkey. The EU-Turkey Agreement was signed on 18 March 2016.

as part of the Commission's 'toolbox' to support EU Member States particularly affected by an influx of migrants and asylum seekers. It highlighted that UCPM would facilitate the voluntary contributions in-kind or in skilled advice of experts from the 32 Participating States. Additionally, because of the voluntary nature of the mechanism, it was regarded only as a "**short-term stop-gap solution**"²⁶¹.

A5.3.1.2 Activations of the Mechanism

Between June 2015 and December 2016 the mechanism has been activated seven times by **Hungary, Serbia, Croatia, Slovenia and Greece** to support them with the refugee emergency. Based on available information the mechanism is **still active in Greece**, as shown in the figure below. The figure indicates the date of the activation and the date of closure of the activations.

Figure A5.2 Timeline of the activations of the Mechanism during the refugee crisis (2015-2016)



Source: DG ECHO, ICF elaboration

A5.3.1.3 Players involved

Due to the sudden increase in number of arrivals and the politically sensitive matter the management of migration and asylum matters was addressed through **ad hoc structures** under the supervision of the **Ministry of Interior** of the respective requesting Participating States. The Ministry of Interior was coordinating the activities between the competent authorities and institution which included the **Civil Protection authorities**, but also **Ministry of Health, Ministry of Labour, Ministry of Defence** and/or the **Ministry of Economy**.²⁶²

While the Ministers of Interior were the authority **centralising the list of needs**, the decision to activate the mechanism and the content of the request for assistance was taken by the **Government**. Once this decision was taken, the *activation* of the mechanism by the national Civil Protection authorities did not result in particular challenges.

²⁶¹ European Commission, Communication on the work of the Task Force Mediterranean, COM(2013)869 final.

²⁶² See example of Croatia: M. Larsen, E. Demir, M. Horvat, *Humanitarian responses by local actors: Lessons learnt from managing the transit of migrants and refugees through Croatia*, Institute for International Urban Development, available at: <http://pubs.iied.org/pdfs/10795IIED.pdf>.

A5.3.2 Key messages and findings per evaluation question

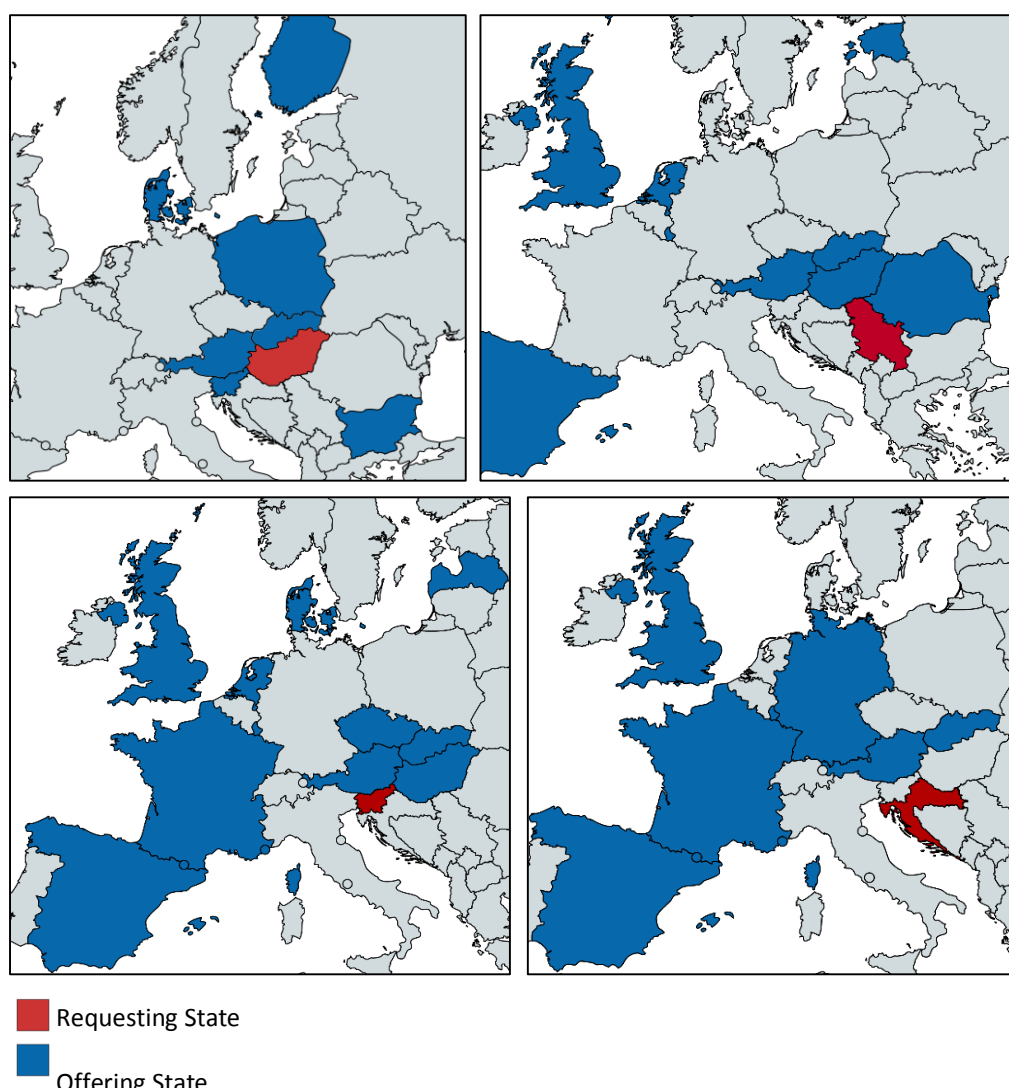
A5.3.2.1 Effectiveness

Existing national legislation on the various steps to be followed to address the emergency and the authorities that had to be involved in the activation of the mechanism, as well as previous experience in activating the mechanism in other emergencies were factors cited by interviewed stakeholders as reasons for a perceived comparatively smooth process of activation during the refugee crisis.

A5.3.2.2 Requests for assistance

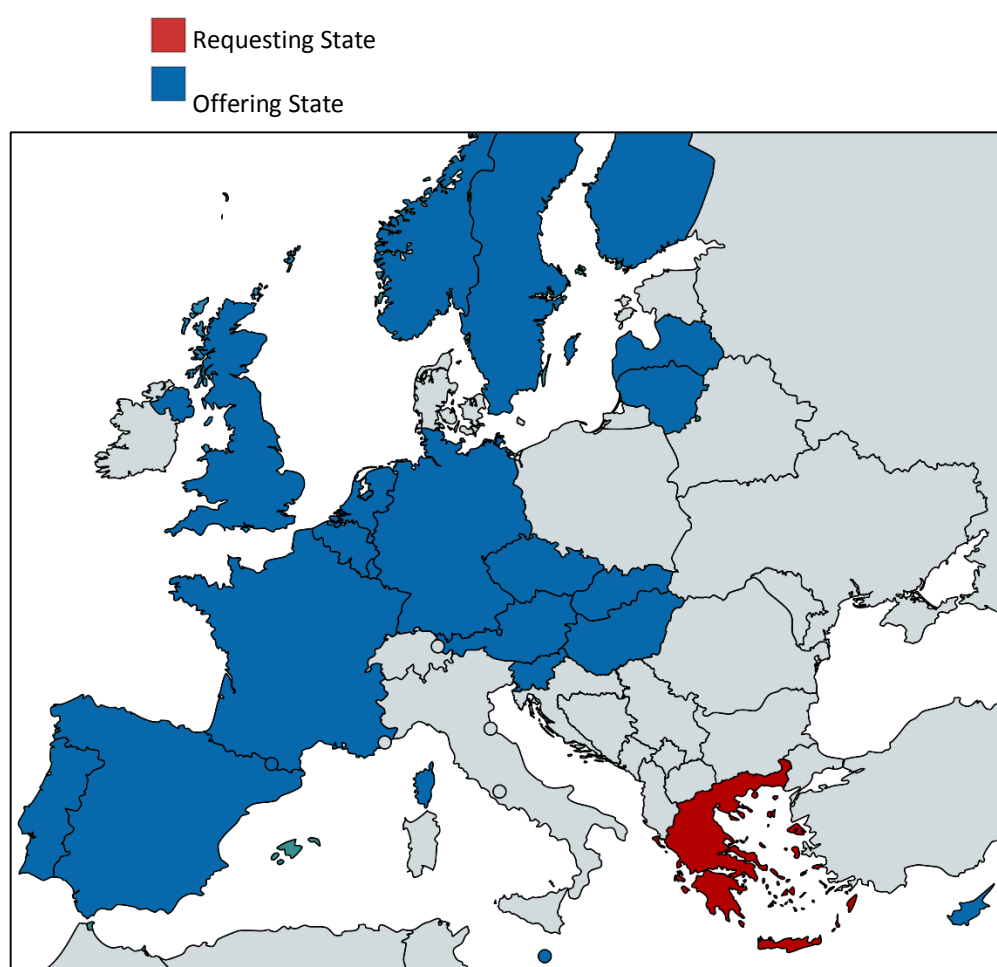
The mechanism was activated by **five Participating States**, and the maps below show which Participating States offered assistance: a total of **26 Participating States offered assistance**. EU **Liaison Officers** were deployed in Croatia and Slovenia as a part of a joint mission, as well as in Greece.

Figure A5.3 Activation of the mechanism in the Western Balkans



Source: DG ECHO

Figure A5.4 Activation of the Mechanism in Greece



Source: DG ECHO

Support to **Greece** in the refugee crisis was provided through several channels. In addition to **assistance provided through the mechanism**, Greece also received support through the **EU Emergency Support Instrument** that was adopted in 2016 to improve, among other goals, the living conditions for refugees in Greece. As of March 2017, a total of EUR 192 million have been contracted to the Commission's humanitarian aid partners such as UN-bodies, the Red Cross/Crescent and NGOs. In Greece, it supported with the provision of shelter, cash programme, protection of unaccompanied minors and education, as well as healthcare.²⁶³

A5.3.2.3 Needs assessment

Determining the type and amount of assistance was one of the **main challenges** during the refugee emergency. Given the number of players involved, the main practice in gathering a list of needed items was to first get an **analysis of the situation in the reception or transit centres**. A list was drawn up with the assistance of Civil Protection authorities, but also border police authorities, and the ministries of health and/or labour. This information was then forwarded to the Ministry of Interior, typically in charge of coordinating the needs at national level. It appears that, depending on the respective responsibilities of the authorities involved, **Civil Protection Authorities rarely had a decisive role in either advising or establishing the list of requested assistance** and rather operated as a facilitator or coordinator by entering the information in CECIS.

Avoiding duplication was one of the key challenges during the needs assessment phase, i.e. making a prior assessment of items already available at national level (for example UN, IOM and other international or national organisations present in the country). Daily coordination between national stakeholders was crucial to ensure a consistent needs assessment. Due to the **'transit' nature** (with many migrants and asylum seekers merely passing through the country) of some of the Participating States at the beginning of the crisis, information about **the daily variations in the influx of migrants and refugees** was essential to determine the type of in-kind assistance needed in the short to medium term.

As a result, the **mechanism was sometimes activated in a pre-emptive way or the request was not closed straight away**. Some national authorities based, in part, their request on information from other Participating States or organisations on the ground (in countries along the migration route) on the possible numbers of incoming migrants and refugees.

It also appears that **no needs for expertise** were expressed to UCPM Participating States during the refugee emergency as the focus remained on requests for in-kind assistance.

A5.3.2.4 Coordination

The stakeholders consulted did not highlight any major coordination issues. The exchange of information with the ERCC and through CECIS appeared to be effective throughout the activation of the mechanism for all stakeholders interviewed. CECIS was a useful tool to get an overview of the assistance requested and offered. It should be noted that the effectiveness of coordination at national level was outside the scope of the evaluation and was therefore not established.

²⁶³ See: http://ec.europa.eu/echo/news/eu-emergency-support-refugees-and-migrants-greece-1-year_en.

A5.3.2.5 Training

All those consulted highlighted **the usefulness and necessity of the training** provided though the mechanism as allowing for more effective activation of the mechanism:

- training provided a better understanding of the process of activating the mechanism, its technicalities, timing and planning needed before an activation;
- training **enhances operability between relevant authorities at national level**, for example where the civil protection authorities are decentralised and include regional authorities; and
- **training appears to be a factor in improving the cooperation with humanitarian players**. The fact that this type of stakeholders are more present during trainings has been highlighted as beneficial.

It was also noted that due to the rather atypical character of the refugee emergency, the impact of training on this specific emergency is rather limited.

A5.3.2.6 Response: assistance received

The type and amount of **in-kind assistance** that the five Participating States received during the refugee emergency is illustrated in the figure below. Most of the authorities have indicated that the assistance requested generally matched with the items received, and that items were received in a timely manner.

Matching the needs with the items received appeared to be a challenge for the activation of the mechanism according to the **Greek Civil Protection Authorities**. Based on the Greek General Secretariat for Civil Protection 2016 Report, the Greek activation for the refugee crisis was the largest activation in terms of total assistance provided during the refugee emergency.²⁶⁴ It highlighted that **the average coverage of the contribution represented only 3% of total requests, showing a considerable shortfall from the perspective of the requesting state**.

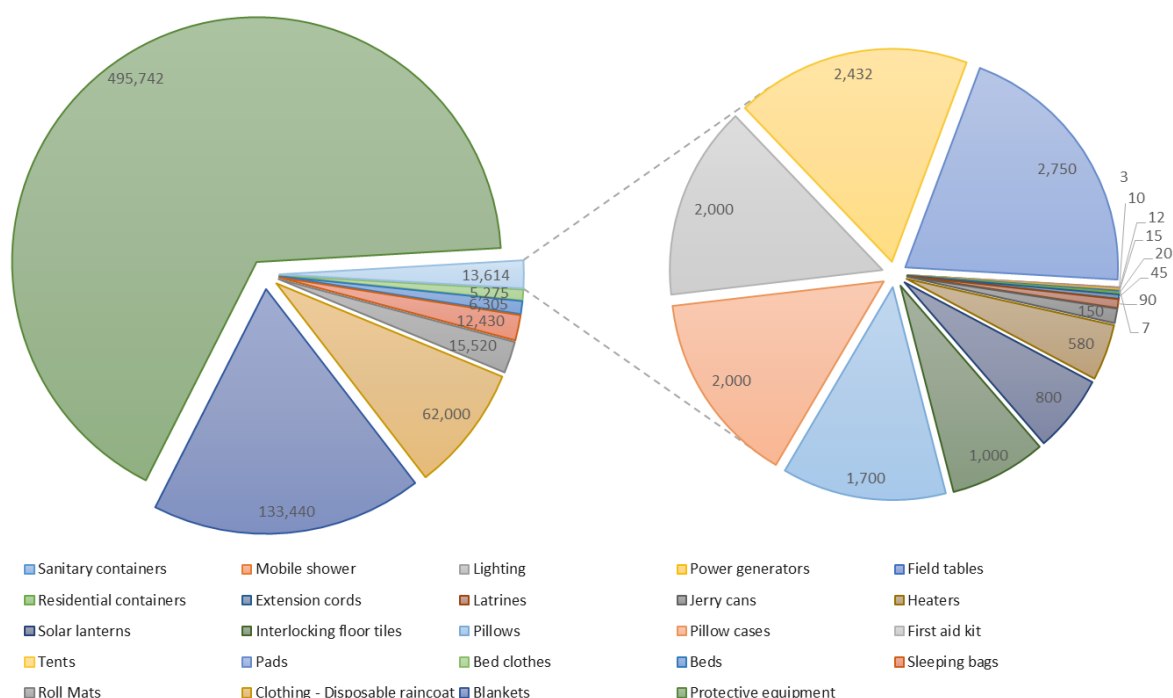
It also appears that in some Participating States not all items received were used and, as the crisis was moving to another Participating State, these items were forwarded to these other Participating States most in need.

According to some stakeholders, potential discrepancies in matching actual assistance received with initial needs is linked to the **expectations** of the requesting States, the nature of the mechanism and what can be expected from Civil Protection authorities in general. While the mechanism can provide for an immediate response and cover certain needs (blankets, mattresses, etc.), it cannot support medium to long term needs.

This appears to be also reflected in the **duration of the requests** which should in principle last only for a short amount of time and not supplement other channels (e.g., for capacity building support).

²⁶⁴ Greek General Secretariat for Civil Protection 2016 Report on the Activation of the Mechanism for the refugee crisis.

Figure A5.5 Type and amount of in-kind assistance received (2015)



Source: DG ECHO, ICF elaboration

A5.3.2.7 Liaison officer

A **liaison officer** was appointed by DG ECHO in some Participating States to monitor refugee reception centres and the reception of in-kind assistance. **Most of those consulted were not aware of the deployment of a Liaison officer** in their country.

A5.3.2.8 Lessons learnt by Participating States

There appear to be a number of lessons learnt of this emergency **at national level**, such as on shelters and so-called winterisation. The refugee emergency also led to some changes in national legislation and/or reorganisation of the internal coordination of the migration crisis in the future. This emergency appears to be used as a scenario for exercises by certain national civil protection authorities.

There seems to be **no direct lessons learnt for the activation of the mechanism at EU level**, which indeed was perceived as effective.

A5.3.2.9 Relevance

Relevance of the mechanism for this type of emergency is characterised by the following:

- providing requesting States with an **immediate response**, a fast channel of communication, and provision of quick assistance to the Participating States that needed urgent assistance;
- **simultaneous coordination** of requests for assistance of several Participating States;
- covering **immediate** needs such as basic items without the necessity for countries in need to purchase them through (lengthier) procurement procedures;
- reimbursement at **85% of transport costs**;

The activation of the mechanism appears to be **less relevant for this type of emergency** in cases where the mechanism is used to supplement medium to long term needs. Once the needs are recovery-oriented or rather linked to capacity-building, other funds and mechanisms should be exploited where necessary (for e.g. those provided by DG HOME).

The mechanism is therefore most relevant at the first stages of the emergency. In the future, and given the experience gathered from the 2015 to 2016 activations of the mechanism, Participating States are better prepared for this type of intervention. Stakeholders consulted argued that the mechanism should not be activated for this type of emergency.

A5.3.2.10 Coherence

While assistance from humanitarian aid players was received during the emergency, this assistance was **not coordinated directly through the mechanism and the national Civil Protection authorities** but rather by Ministries of Interior, thus ensuring consistency in the requests for assistance activated through the mechanism. NGOs or international organisations present on the territory of certain Participating States provided humanitarian aid and further assistance (e.g. Red Cross, UNHCR, other international and national organisations).

Following from the fact that the mechanism not being recognised as a clear-cut civil protection emergency, migration and asylum issues were also **not highlighted as emergencies in the NRA**. Few authorities initially based their activities during the refugee emergency on the emergency response plan for other emergencies (such as earthquakes) that also include scenarios on displaced persons and providing for accommodation. However, these proved insufficient and/or inadequate for this specific emergency due to the unprecedented scale of persons to be accommodated during the refugee emergency.

A5.3.3 Efficiency

A5.3.3.1 Transport

One of the advantages of the mechanism was the reimbursement of up to 85% of the transport costs. In 2015, reimbursement amounted to EUR 492,643 and to EUR 995,377 in 2016.

Improvements to the efficiency of the mechanism could be achieved in cases where **the transport costs of the in-kind assistance delivered was similar to or higher than the value of these items**.

As an example, in 2016 UK answered a Greek request for assistance by sending a number of items.²⁶⁵ These items were sent by air and by truck to the final destination in Greece from a **warehouse in Dubai**. They represented 50% of the total amount (EUR 497,882) of the transport costs reimbursed by the Commission in 2016 in the refugee emergency.²⁶⁶ For increased efficiency, the amount of transport costs could be compared to the amount of value of the items sent (blankets and tents), though the information at hand did not allow for such a detailed comparison.

Developing framework contracts with warehouses in the EU was one suggestion tabled. This was perceived to enable the mechanism to purchase and store basic items needed in such emergencies (blankets, tents, etc.) directly from these warehouses.

²⁶⁵ 8900 wool blankets (15575kg), 1 000 winterized tents (9700kg), and 2 121 family tents.

²⁶⁶ DG ECHO document on the requests for assistance and transport costs covered (2015-2016).

Participating States could then request these items through the mechanism. This would require Participating States to agree on the type of blankets/items to be bought and stored there.

Another point of in potentially enhancing procedural efficiency of the mechanism was the **application and reimbursement of transport costs** borne by a Participating State offering assistance. Alleviating this procedure for smaller amounts was brought forward as a way to facilitate the existing procedure.

A5.3.3.2 EU added value

For most stakeholders interviewed the mechanism represents a relevant and useful coordination platform where civil protection authorities can reach other professionals and governmental authorities in Participating States.

The **activations of the mechanism during the refugee emergency raised awareness** about the mechanism to other national stakeholders (e.g. Ministry of Health) of the possibility to request certain assets or items through the mechanism (for e.g. European Medical Teams). This is especially relevant because national civil protection authorities merely had a role as interlocutor and other ministries/authorities thus became increasingly aware of UCPM's existence. Assistance provided through the mechanism can be considered to have been sufficiently visible.

The refugee emergency, however, showed the need to reach out to other types of stakeholders outside the mechanism, mainly humanitarian aid actors.

Despite the atypical nature of the mechanism in dealing with this type of emergencies, there was overall satisfaction about the support received among the Participating States concerned. While questions remain over how some of the needs were established and how the Participating States could be supported most effectively, even the symbolic notion of an expression of EU solidarity ensured added value at EU-level. In the absence of the UCPM most support could probably have been provided bilaterally if Participating States had requested it, but it is precisely the coordinated support efforts that provided for more targeted and relevant assistance. Finally, while the provision of coordinated expertise could also have had clear EU added value this was not requested by the Participating States concerned.

Annex 6 Proposal for a dissemination plan

This document sets out a proposal for the dissemination of the results of this evaluation. The products resulting from this evaluation are:

- A full evaluation report with some or all publishable annexes
- An executive summary (in English, French and German) outlining the main conclusions and recommendations

It is proposed that DG ECHO disseminates or makes available these products to the following stakeholders:

- DG ECHO management staff based at DG ECHO HQ in Brussels;
- DG ECHO policy and desk officers, and duty officers;
- Commission services consulted during the evaluation:
 - DG Development Cooperation
 - DG Energy
 - DG Environment
 - DG Climate action
 - DG GROW
 - DG Migration and Home Affairs
 - DG Near
 - DG Regional policy
 - DG Health
 - European Environmental Agency
 - European Centre for Disease Control and Prevention
 - European Maritime Safety Agency
 - European Asylum Support Office (henceforth: European Union Asylum Agency)
 - Joint Research Centre
 - Other services identified by DG ECHO
- National Contact Points from Participating States;
- National Training Coordinators from Participating States;
- DG ECHO international partners, including UN Agencies and other international organisations (e.g., OCHA, World Bank, OECD, UNISDR, IOM, Red Cross)
- Project leads from prevention and preparedness projects
- Additionally, the evaluation report can be disseminated to wider audiences (such as the European parliament and European citizens) via DG ECHO's website.

The table below sets out a proposal for this dissemination.

Table A6.1 Proposed dissemination plan

Audience	Dissemination actions	Content of action	Link to the evaluation recommendations and conclusions	Expected outcomes
DG ECHO management staff at HQ	<p>Circulation of the executive summary by DG ECHO evaluation unit</p> <p>Presentation of the results by DG ECHO evaluation unit and subsequent discussion</p>	<p>The executive summary should be circulated to key decision makers within DG ECHO</p> <p>Following this, DG ECHO should hold a meeting with these to discuss:</p> <ul style="list-style-type: none"> • The implications of the evaluation recommendations for DG ECHO's strategy and approach • The draft follow-up action plan: • Recommendations which can and cannot be accepted • Plan for the concrete actions to implement recommendations and target dates • Timing of progress update to management 	<ul style="list-style-type: none"> • Reflecting on the evaluation conclusions and recommendations on: • Scope of CP interventions outside the EU • Strategy for prevention activities • Establishment of benchmarks for unit cost ranges and the characteristics of transport costs • Functioning of the lessons learnt programme • Peer review programme • Advisory missions • Development of permanent monitoring system • Visibility of UCPM 	<p>Management buy-in and support for the implementation of relevant recommendations</p> <p>DG-wide learning on good practices and areas for improvement</p>

Audience	Dissemination actions	Content of action	Link to the evaluation and recommendations conclusions	Expected outcomes
Commission services consulted during the evaluation	Circulation of the final report and executive summary	<p>Discussion topics for meeting.</p> <ul style="list-style-type: none"> • Main findings and results of the interventions • Recommendations – as accepted in the follow up action plan • Possible implications for policy, practice and funding distribution 	<p>Reflecting on the evaluation conclusions and recommendations on:</p> <ul style="list-style-type: none"> • Scope of CP interventions outside the EU • Coherence of activities with UCPM policies 	<p>Awareness of the evaluation findings, and their implications for policy and practice</p> <p>Implementing staff buy-in and support for the implementation of relevant recommendations</p>
National Contact Points from Participating States	Circulation (by DG ECHO) of the final report and executive summary to national stakeholders	<p>Possible topics for discussion</p> <ul style="list-style-type: none"> • Conclusions and recommendations • Strengths and weaknesses of current practices • Practices to be continued/further developed • Options to address current weakness • Potential implications for Participating States 	<ul style="list-style-type: none"> • Reflect on key findings and consider implications on national activities • Consider how they might support the development of the strategy's theory of change going forward. <p>Reflect on recommendations on:</p> <ul style="list-style-type: none"> • Awareness raising activities for general public • Awareness raising on the 	<p>Awareness of the evaluation findings, recommendations and their implications</p> <p>Stakeholder acceptance of the evaluation results, and support to the</p>

Audience	Dissemination actions	Content of action	Link to the evaluation and recommendations conclusions	Expected outcomes
National Training Coordinators			<p>use of EWS</p> <ul style="list-style-type: none"> • Visibility of the UCPM, also at the level of PS • Training and exercises (database, expert profiles) • Issues on implementation of lessons learnt programme 	<p>implications for future resource allocation, policy development and implementation</p> <p>Lessons learnt are taken on board</p>
			<p>Reflect on recommendations on:</p> <ul style="list-style-type: none"> • Needs assessment of prevention activities • Issues on implementation of lessons learnt programme within training cycle • Development of experts database 	

Audience	Dissemination actions	Content of action	Link to the evaluation and recommendations conclusions	Expected outcomes
DG ECHO international partners, including UN Agencies and other international organisations	Circulation (by DG ECHO) of the final report and executive summary to main partners	<p>Possible topics for discussion</p> <ul style="list-style-type: none"> • Learning from the evaluation • Strengths and weaknesses of current practices • Practices to be continued/further developed • Options to address current weakness • Potential implications for international partners 	<p>Reflect on recommendations on:</p> <ul style="list-style-type: none"> • Scope of the UCPM, including its operations in humanitarian contexts • Whether and how to develop harmonised EWS 	Awareness of the evaluation results and identified lessons
Project leads from prevention and preparedness projects	Circulation (by DG ECHO) of the final report and executive summary and abstract		<p>Reflect on recommendations on:</p> <ul style="list-style-type: none"> • Visibility of projects • Dissemination of the results • Follow-up on projects • Coherence with Cohesion policy projects with the ex-ante conditionality on disaster risk management and prevention 	Awareness of the evaluation findings, recommendations and their implications

Annex 7 Overview of consultation activities carried out

A7.1 List of European Commission services consulted

Completed: 37

Organisation	Theme	Status of consultation	Total
DG HOME (in capacity of ex-DG ECHO)	Approach to the evaluation	Completed	1
JRC	Civil Protection Policy, Prevention and Preparedness	Completed	2
DG ECHO, European Commission	Voluntary pool	Completed	1
DG ECHO, European Commission	Prevention/ Preparedness	Completed	1
DG ECHO, European Commission	Prevention/Risk Reduction Activity	Completed	1
DG ECHO, European Commission	Training and exercises	Completed	2
DG ECHO, European Commission	Lessons learnt programme	Completed	2
DG ECHO	Response	Completed	1
DG ECHO, European Commission	Emergency Response/Coordination Centre/Disaster Response/ Response operations	Completed	1
DG ECHO, European Commission	Selection of nominated experts for deployments	Completed	1
DG ECHO, European Commission	Disaster Response/ Response operations	Completed	1
DG ECHO, European Commission	Exchange of experts programme	Completed	1
DG ECHO, European Commission	Preparedness, training & exercises	Completed	1
DG ECHO	Prevention and Evaluation	Completed	1
DG ECHO	Prevention, risk assessments	Completed	1
DG ECHO	Transport reimbursements	Completed	1

Organisation	Theme	Status of consultation	Total
DG ECHO	CECIS	Completed	1
DG ECHO	CECIS - timeline	Completed	1
DG ECHO	European Medical Corps	Completed	1
DG ECHO	Preparatory interview prior to case study Estonia	Completed	1
DG ECHO	Preparatory interview prior to case study Cyprus	Completed	1
DG CLIMA, European Commission	Civil Protection Policy, Prevention and Preparedness	Completed	1
DG ENER, European Commission	Critical Infrastructure Protection	Completed	1
DG ENV, European Commission	Flood management	Completed	1
DG ENV, European Commission	Seveso Directive	Completed	1
EMSA	Marine pollution	Completed	1
DG MOVE, European Commission	Marine pollution	Completed	1
DG HOME, European Commission	Critical Infrastructure Protection	Completed	1
DG SANTE, European Commission	Health	Completed	1
European Centre for Disease Prevention	Health	Completed	1
DG MOVE, European Commission	Critical Infrastructure Protection	Completed	1
DG NEAR/DG ECHO, European Commission	PPRD East & South, IPA	Completed	1
DG REGIO, European Commission	Structural Fund/Solidarity Fund	Completed	1
DG GROW	Copernicus	Completed	1

A7.2 List of international organisations consulted

Completed: 9

Organisation	Status of consultation	Total
OCHA	Completed	1
UNISDR	Completed	1
IOM	Completed	1
Red Cross	Completed	1
Johanniter	Completed	1
WFP	Completed	1
WHO	Completed	1
World Bank	Completed	1
OECD	Completed	1

A7.3 List of Participating States consulted

Completed: 19

Country	Organisation	Theme	Status of consultation	Total
Austria	Ministry of the Interior	Interview on the UCPM	Completed	1
Denmark	Danish Emergency Management Agency (DEMA)	Interview on the UCPM	Completed	1
Croatia	Sector for Civil Protection	Interview on the UCPM; Migration case study	Completed	1
Cyprus	Ministry of Civil Defense	Interview on the UCPM; Forest fire response case study	Completed	1
Estonia	Estonian Rescue Board, Ministry of Interior	Interview on the UCPM; Exercise case study	Completed	1
Finland	Crisis Management Centre (CMC)	Interview on the UCPM	Completed	1
France	French General Directorate of Civil Protection and Crisis Management	Interview on the UCPM	Completed	2
Germany	Federal Ministry of Interior	Interview on the UCPM	Completed	1
Hungary	National Disaster	Interview on	Completed	1

Country	Organisation	Theme	Status of consultation	Total
	Management Directorate	the UCPM; Migration case study		
Italy	Civil Protection Department, International Relations Unit	Interview on the UCPM	Completed	1
Netherlands	National Coordinator for Security & Counterterrorism	Interview on the UCPM	Completed	1
Poland	National Headquarters of the State Fire Service of Poland	Interview on the UCPM	Completed	1
Serbia	Ministry of Interior	Interview on the UCPM; Migration case study	Completed	1
Slovenia	Administration for Civil Protection and Disaster Relief	Interview on the UCPM; Migration case study	Completed	1
Spain	Directorate General of Civil Protection and Emergencies	Interview on the UCPM	Completed	1
Sweden	Swedish Civil Contingencies Agency (National Training Coordinator)	Interview on the training programme	Completed	1
Sweden	Swedish Civil Contingencies Agency	Interview on the UCPM	Completed	1
United Kingdom	Civil Contingencies Secretariat Cabinet Office	Interview on the UCPM	Completed	1

A7.4 List of other organisations consulted

Completed: 5

Organisation	Theme	Status consultation	of Total
THW	Exchange of experts programme	Completed	1
Falck	Exercise provider	Completed	1
Kuehne Nagel	Transport provider	Completed	1
Ramboll	External Evaluation of EMSA	Completed	1
Prolog Consult	External Evaluation of PPRD South II	Completed	1

A7.5 List of stakeholders consulted for case studies

Completed: 23

Case study	Organisation	Status of consultation	Total
Cyprus	Senior Civil Defence Officer	Completed	1
Cyprus	Civil Defence Officer	Completed	1
Cyprus	Ministry of Justice, Cyprus Fire Service	Completed	1
Cyprus	Ministry of Agriculture, Rural Development & Environment Department of Forests	Completed	1
Cyprus	Ministry of Foreign Affairs, Crisis Management Department	Completed	1
Cyprus	Ministry of Foreign Affairs, Crisis Management Department	Completed	1
Cyprus	Italian Civil Protection Authority	Completed	1
Estonia	DG ECHO, DG ECHO Seconded National Expert	Completed	1
Estonia	EUCPT Team Leader	Completed	1
Estonia	Team Leader Austria	Completed	1
Estonia	Team Leader Czech Republic	Completed	1

Case study	Organisation	Status of consultation	Total
Estonia	ICT Helpdesk: (Sweden)	Completed	1
Estonia	ERCC duty officer	Completed	1
Estonia	Team Leader USAR team	Completed	1
Estonia	Trainer	Completed	1
Estonia	Chief Exercise Controller	Completed	1
Estonia	Exercise Organiser	Completed	1
Estonia	Main trainer	Completed	1
Migration	Civil Protection Sector – NPRD	Completed	1
Migration	National Directorate General for Disaster Management	Completed	1
Migration	Administration of the Republic of Slovenia for Civil Protection and Disaster Relief	Completed	1
Migration	Ministry of Interior Republic of Serbia	Completed	1
Migration	EASO	Completed	1

Annex 8 Prevention and preparedness missions (advisory missions)

Type	Year	Country	Context	Carried out by:
Emergency context	2014	Bangladesh	Oil pollution	UNEP/OCHA
		Solomon Islands	Dam assessment	
		Madagascar	Industrial assessment	
		Cap de Verde	Volcano eruption	UCPM
		Georgia	Landslide/ rehabilitation	
		West Africa	Ebola	UCPM/HA/SANTE
Capacity building/ emergency context	2014	Mali	Ebola	UCPM/UNDAC
		Ghana		
		Ukraine	IDPs camp management	UCPM/DG ECHO field office support
Capacity building/ post emergency context	2015	Albania	Flood management	UCPM/ PDNA
Capacity building/ prevention and preparedness missions	2015 + 2016	Ukraine	Emergency risk management	UCPM
	2016	Ukraine	Emergency risk management (follow up AM) Cross-border Environmental issue (Salt mines)	UCPM
Capacity building/ post emergency context	2016	FYRoM	Floods	UCPM/ PDNA

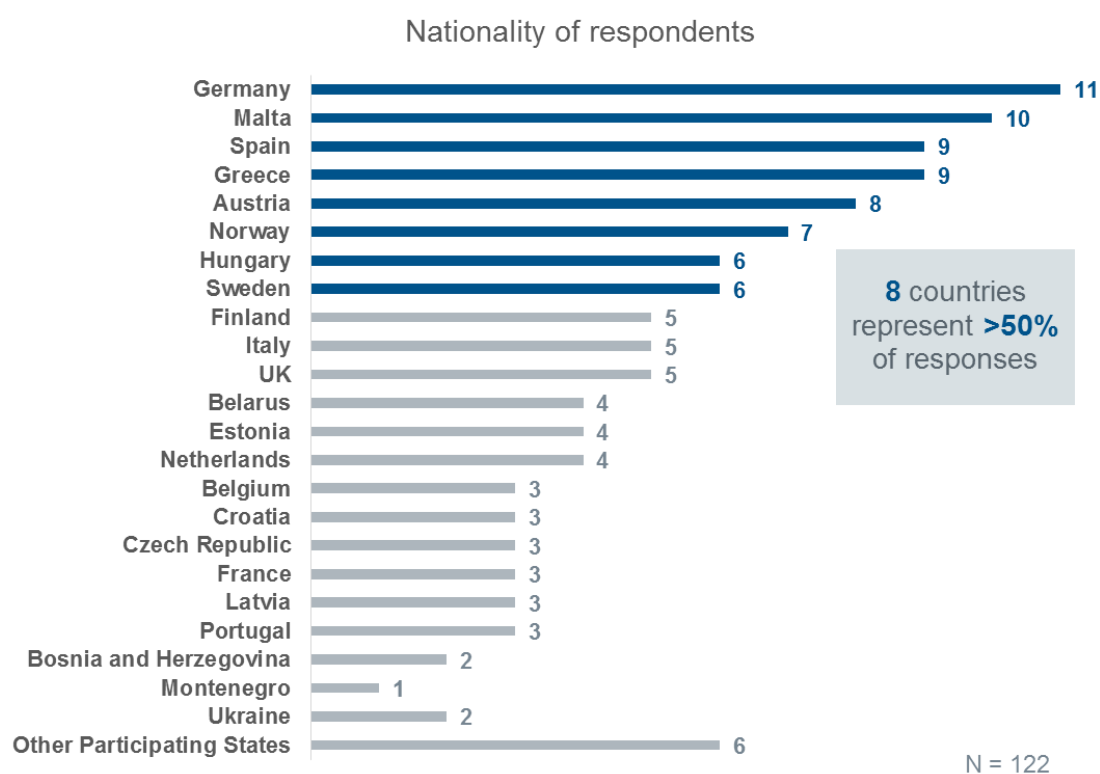
Source: DG ECHO, 25 November 2016

Annex 9 Survey responses

A9.1 Experts survey

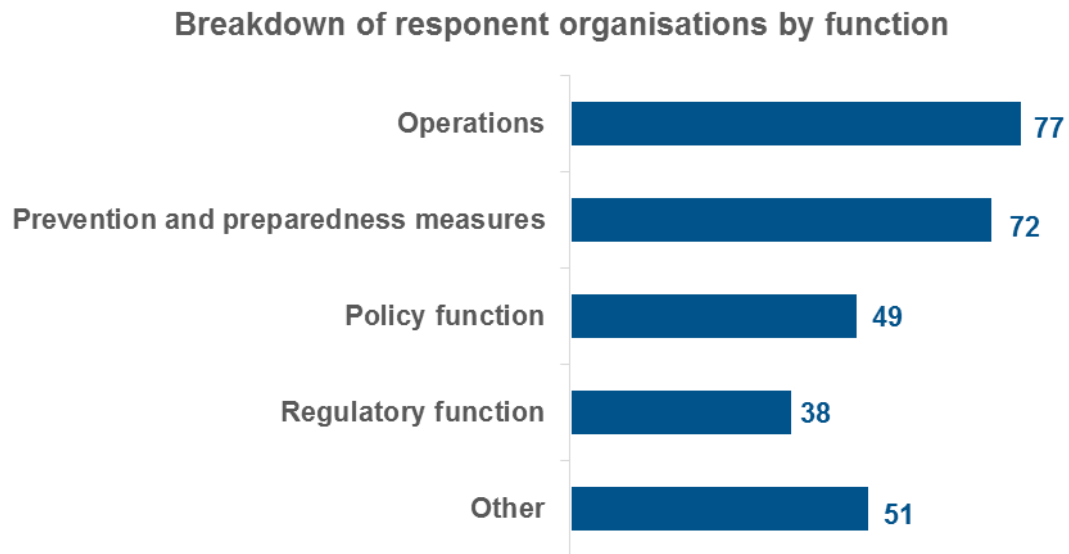
A9.1.1.1 Respondents' profile

Figure A9.1 Nationality of respondents



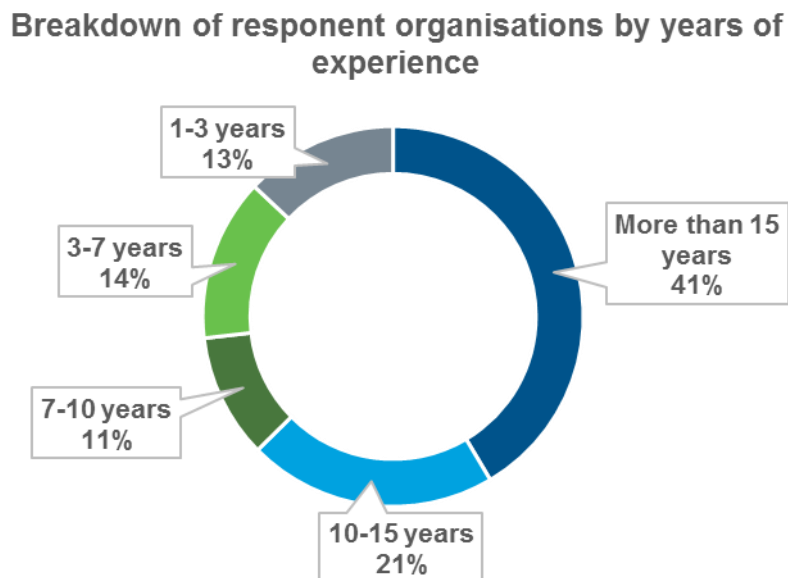
Source: ICF, based on survey results

Figure A9.2 Breakdown by function



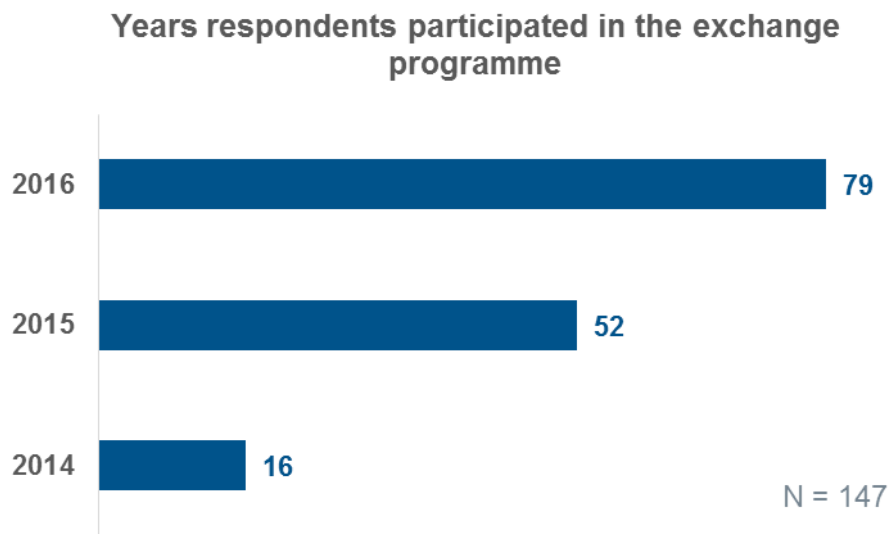
Source: ICF, based on survey results

Figure A9.3 Breakdown by years of experience



Source: ICF, based on survey results

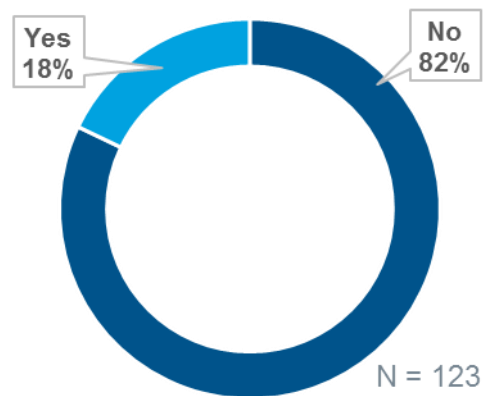
Figure A9.4 Breakdown by years participating in the EoE programme



Source: ICF, based on survey results

Figure A9.5 Participation in UCPM activation

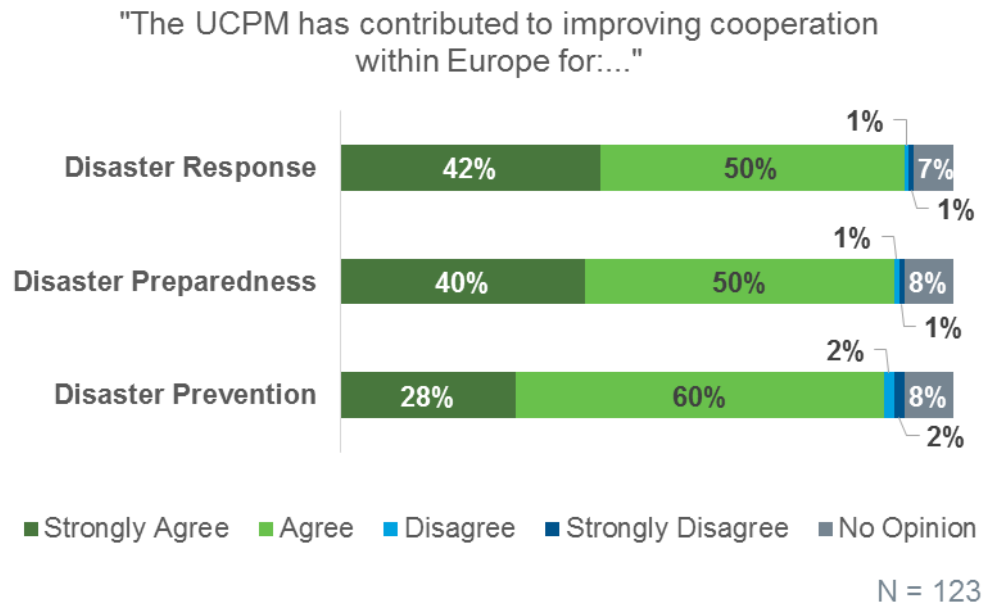
Have you been deployed in a UCPM activation?



Source: ICF, based on survey results

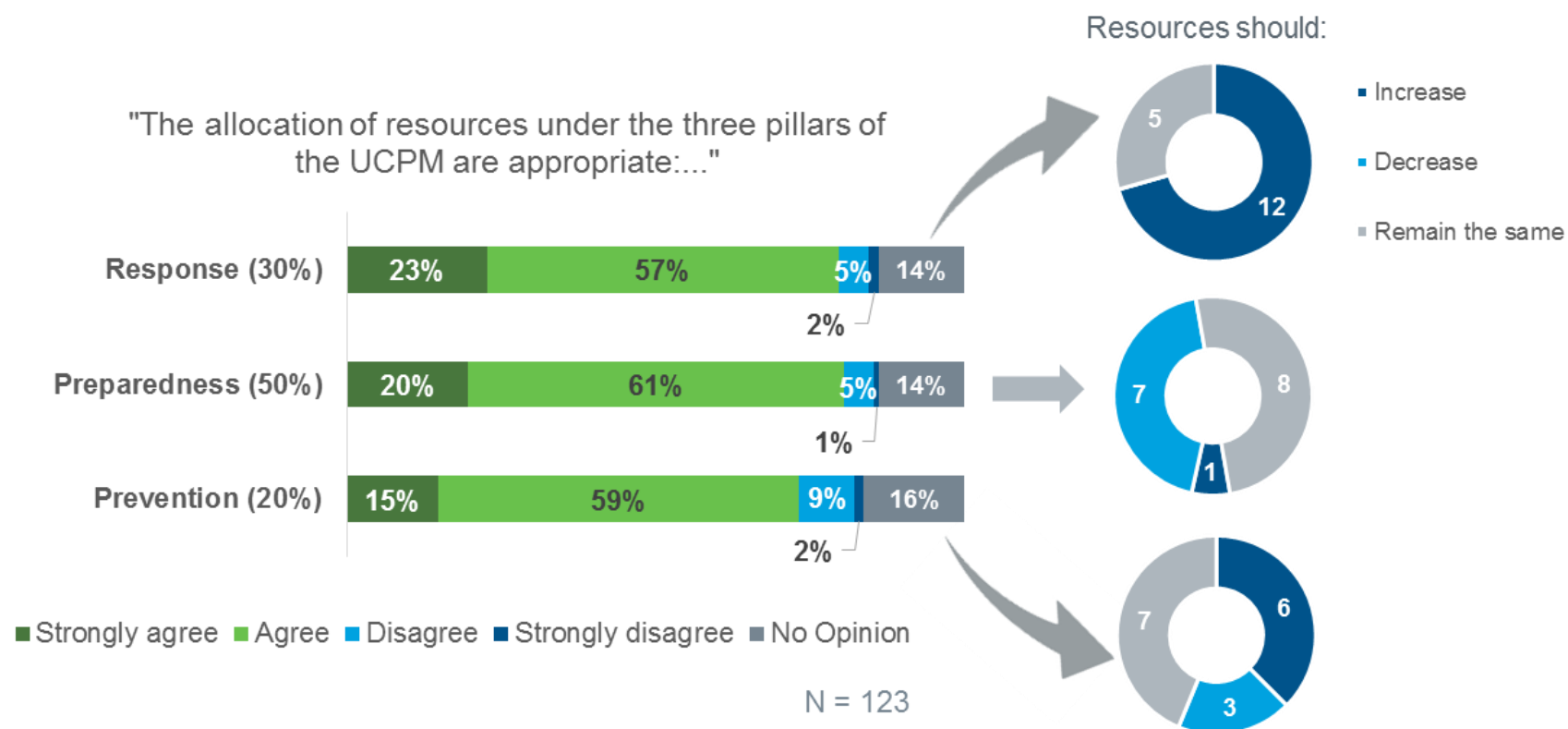
A9.1.1.2 General questions

Figure A9.6 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.7 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

A9.1.1.3 Prevention

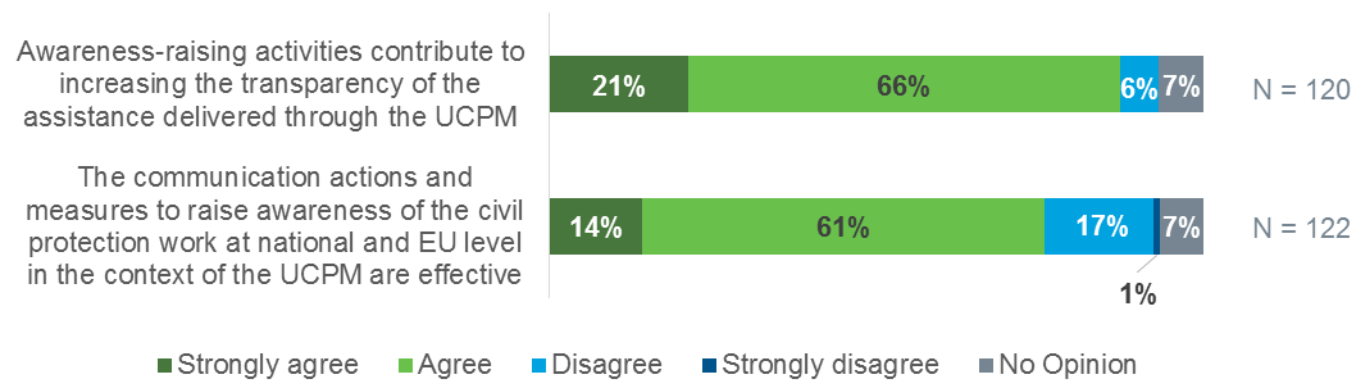
Figure A9.8 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

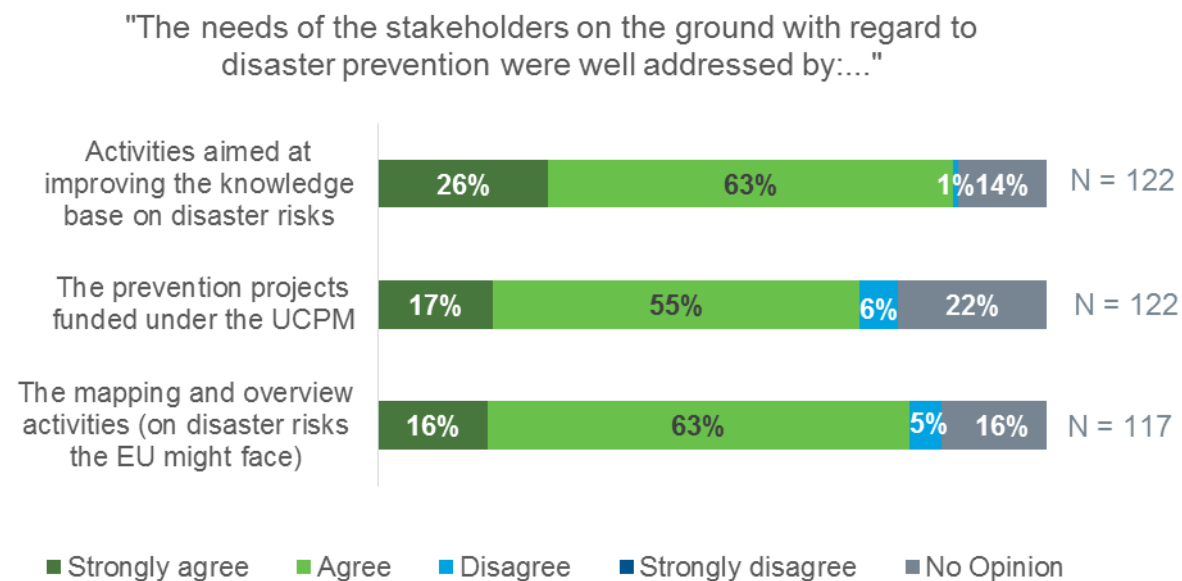
A9.1.1.4 Preparedness

Figure A9.9 Please indicate to what extent you agree or disagree with the statements below



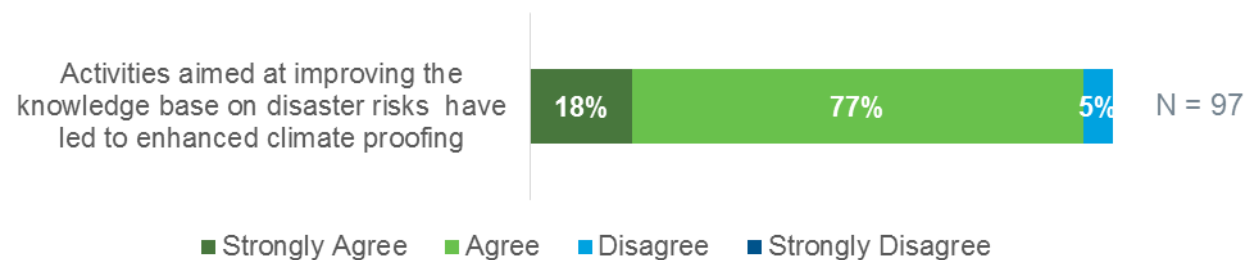
Source: ICF, based on survey results

Figure A9.10 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

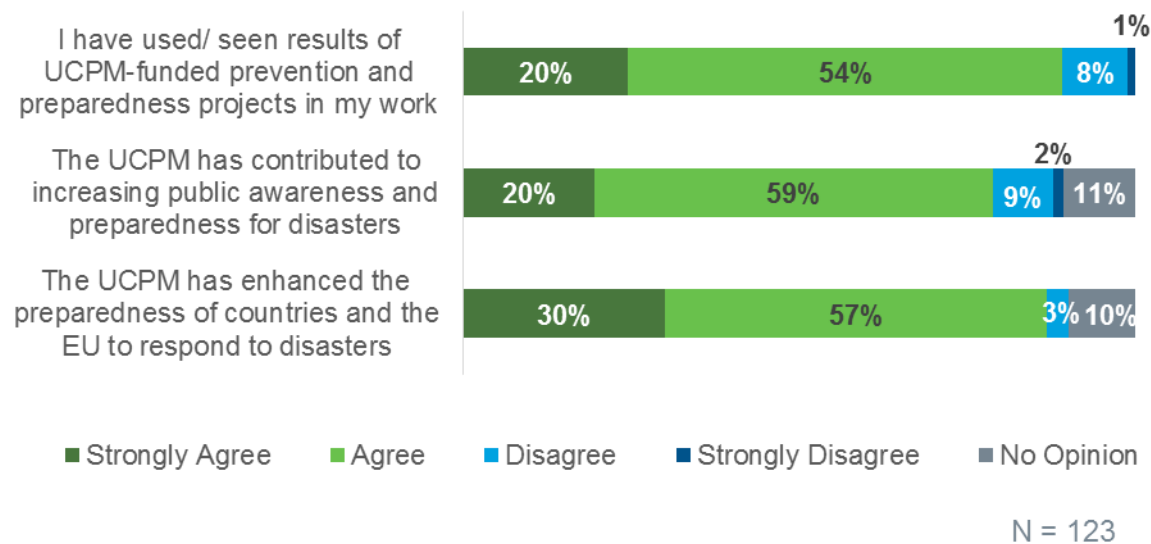
Figure A9.11 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 26

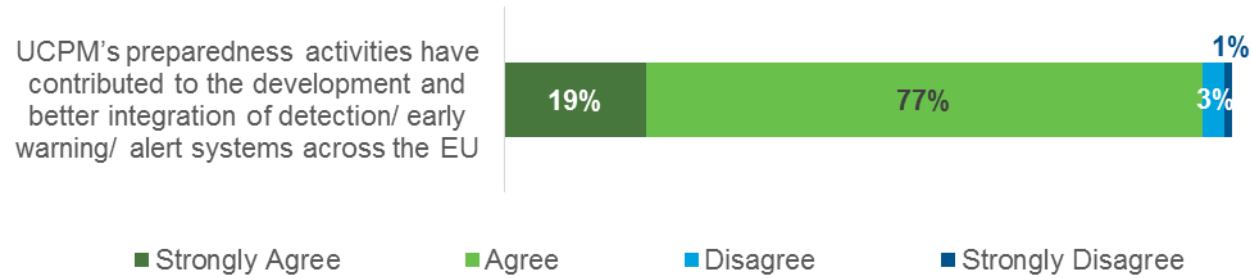
Source: ICF, based on survey results

Figure A9.12 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.13 Please indicate to what extent you agree or disagree with the statements below



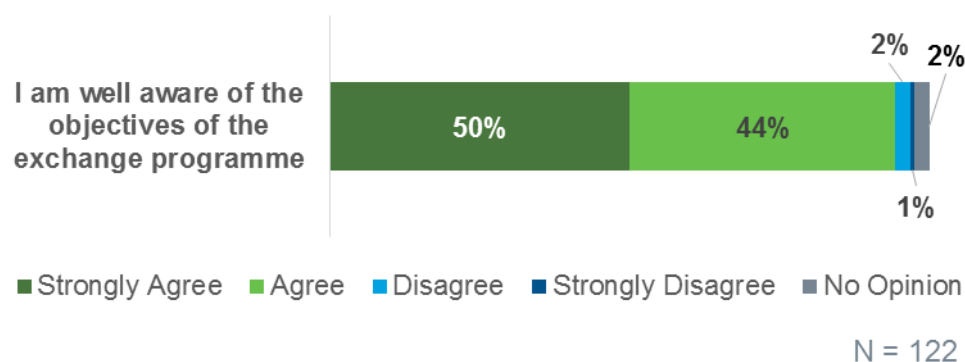
Note: "No opinion" responses = 25

N = 98

Source: ICF, based on survey results

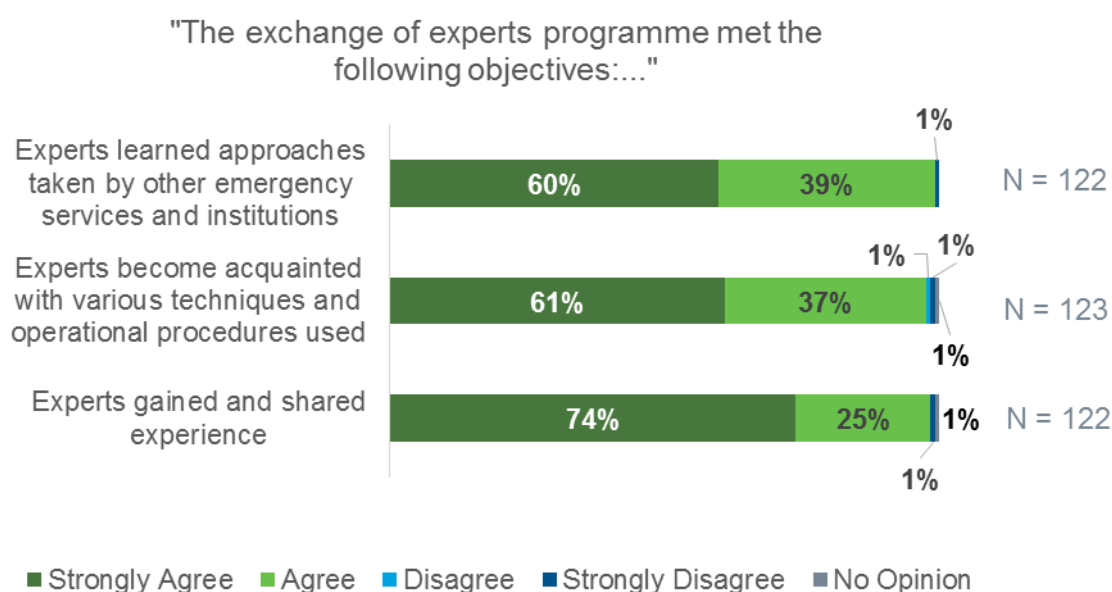
A9.1.1.5 Effectiveness

Figure A9.14 Please indicate to what extent you agree or disagree with the statements below



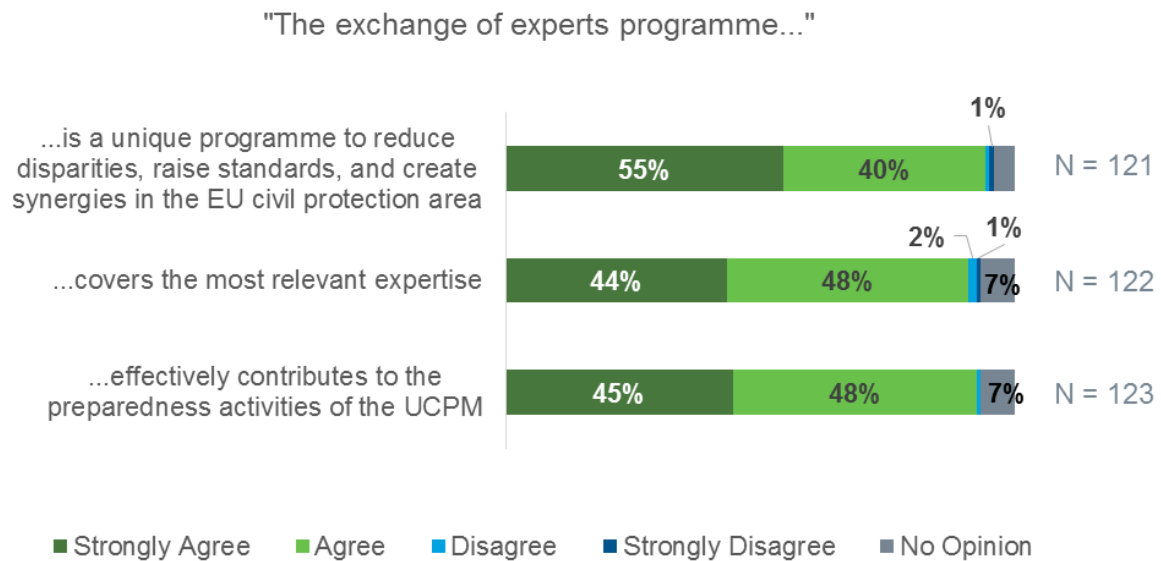
Source: ICF, based on survey results

Figure A9.15 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

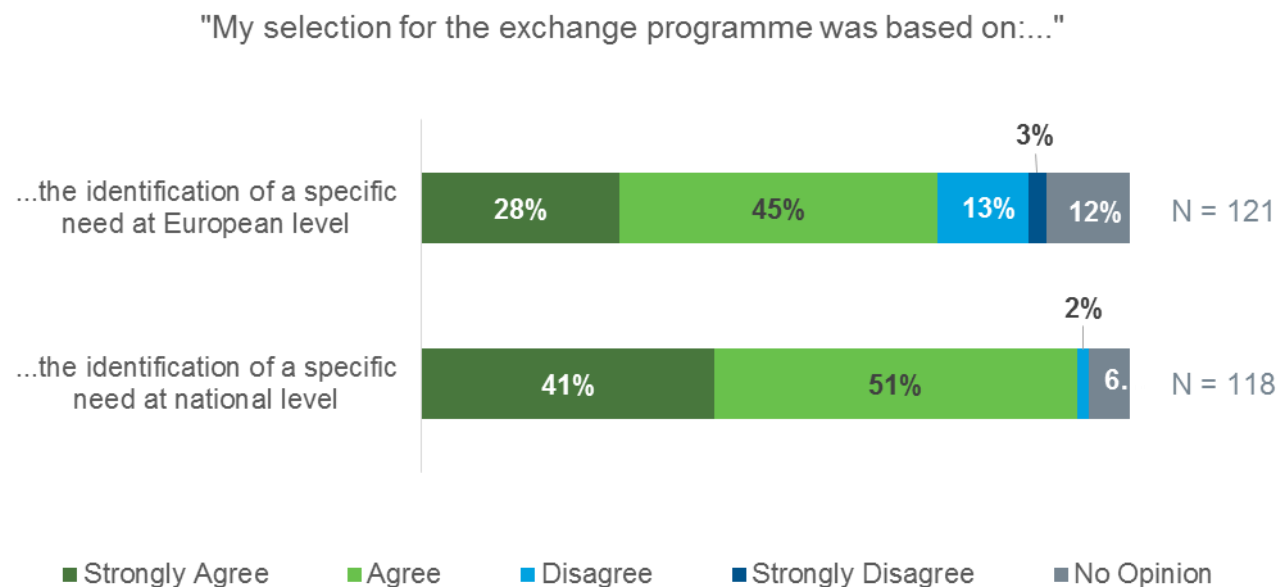
Figure A9.16 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

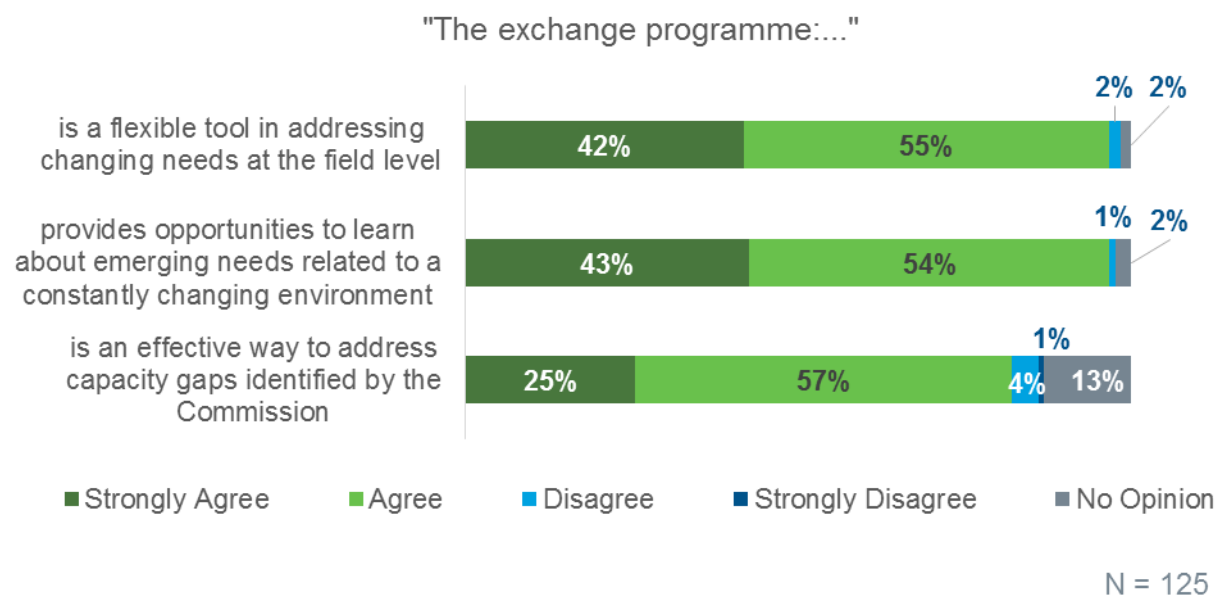
A9.1.1.6 Relevance

Figure A9.17 Please indicate to what extent you agree or disagree with the statements below



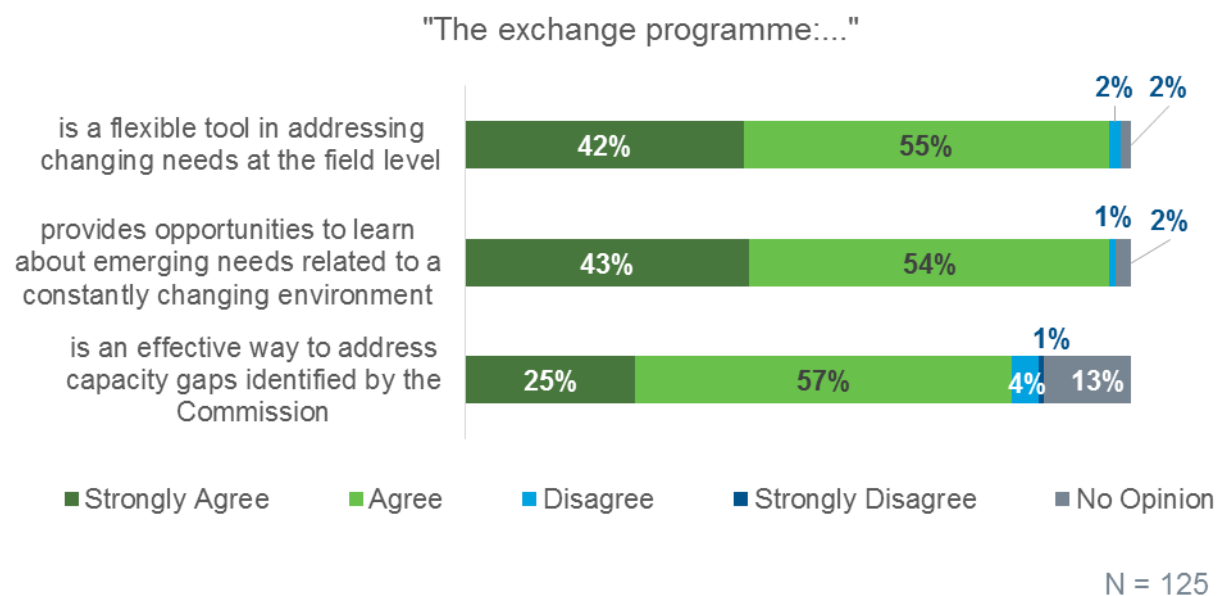
Source: ICF, based on survey results

Figure A9.18 Please indicate to what extent you agree or disagree with the statements below



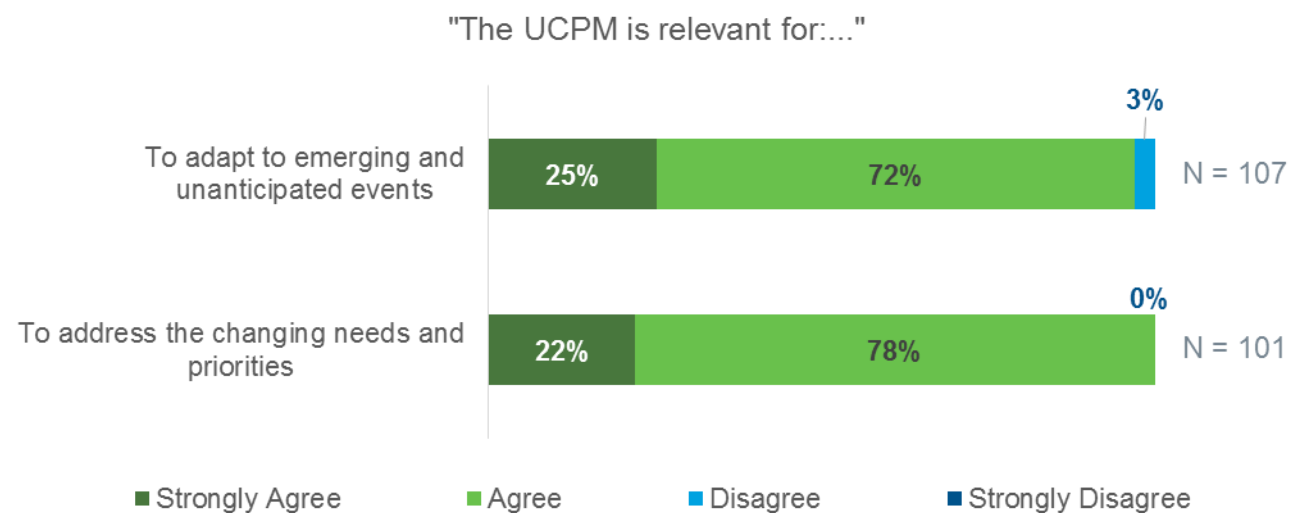
Source: ICF, based on survey results

Figure A9.19 Please indicate to what extent you agree or disagree with the statements below



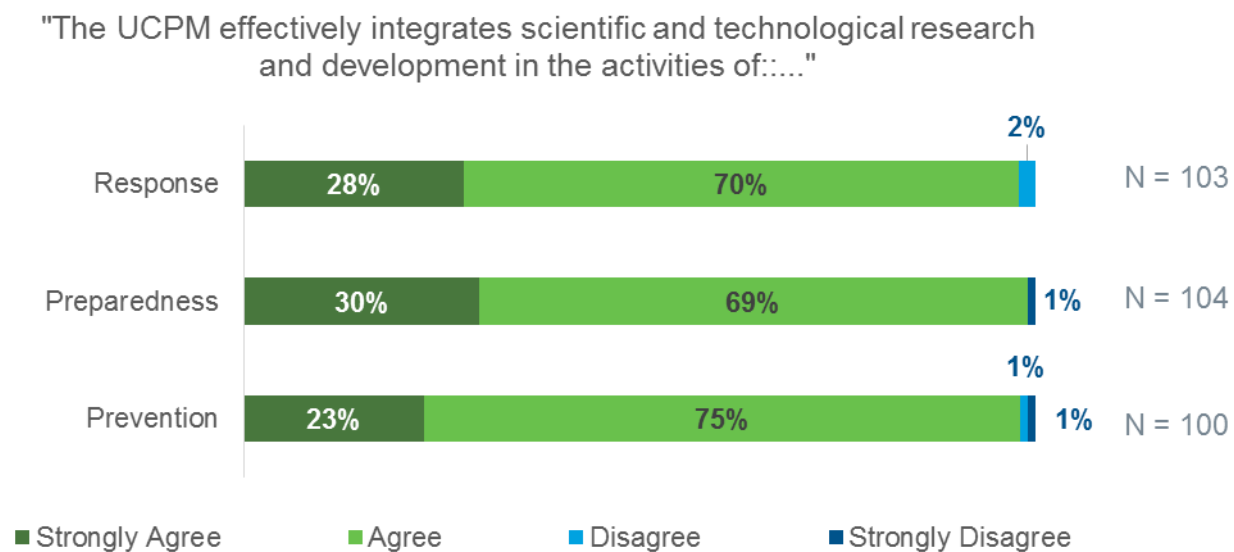
Source: ICF, based on survey results

Figure A9.20 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.21 Please indicate to what extent you agree or disagree with the statements below

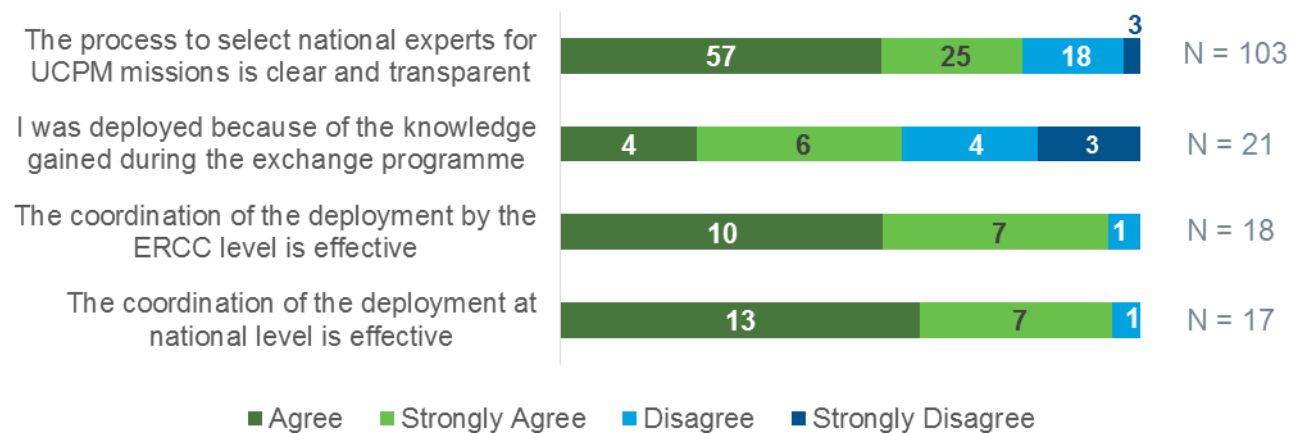


Note: "No opinion" responses = 25 (Response), 21 (Preparedness), 22 (Prevention),

Source: ICF, based on survey results

A9.1.1.7 Deployment

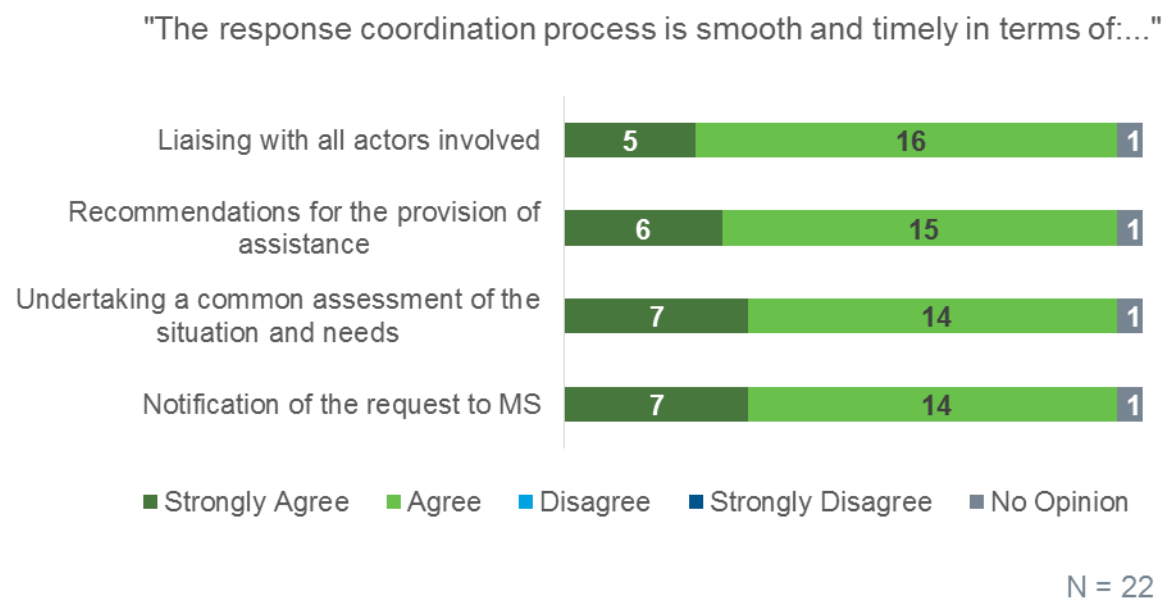
Figure A9.22 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 21 (the process is transparent); 5 (I was deployed because...), 4 (coord. by the ERCC is effective), 1 (coord. at national level is effective)

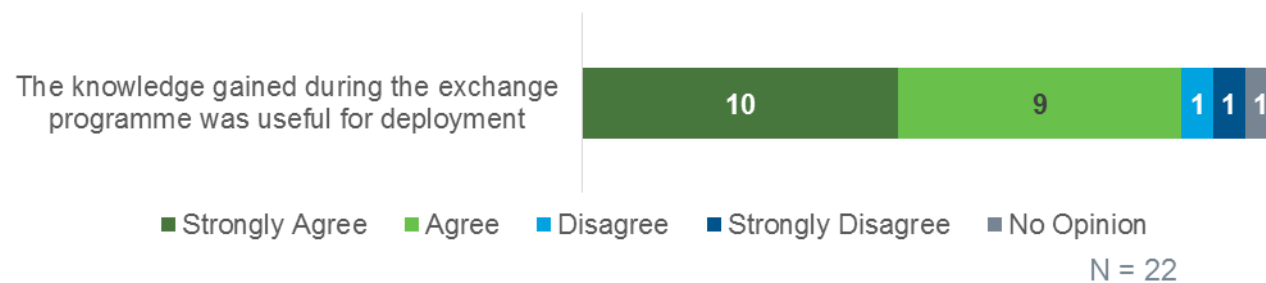
Source: ICF, based on survey results

Figure A9.23 Please indicate to what extent you agree or disagree with the statements below



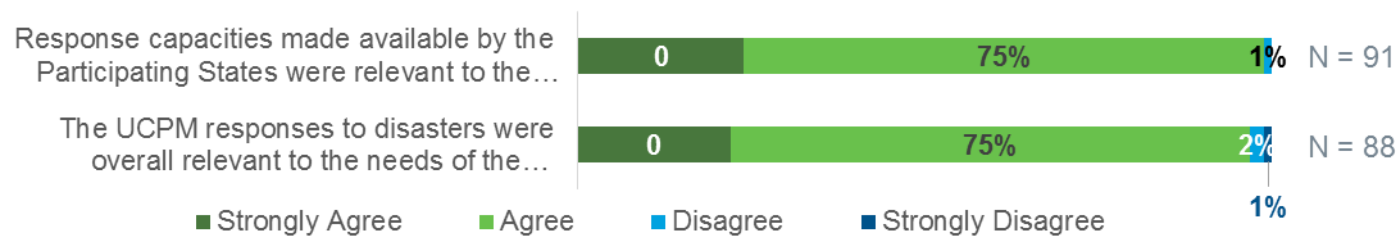
Source: ICF, based on survey results

Figure A9.24 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.25 Please indicate to what extent you agree or disagree with the statements below

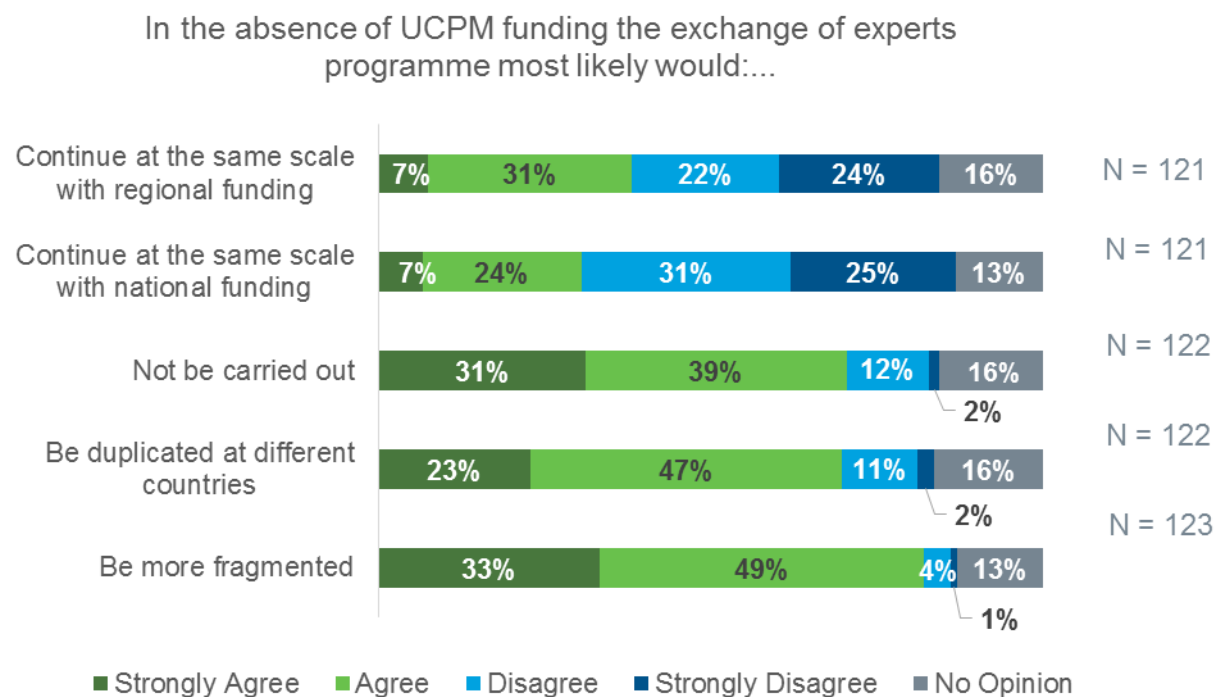


Note: "No opinion" responses = 35 (Response capacities from Participating States were relevant); 32 (UCPM Responses to disasters were relevant)

Source: ICF, based on survey results

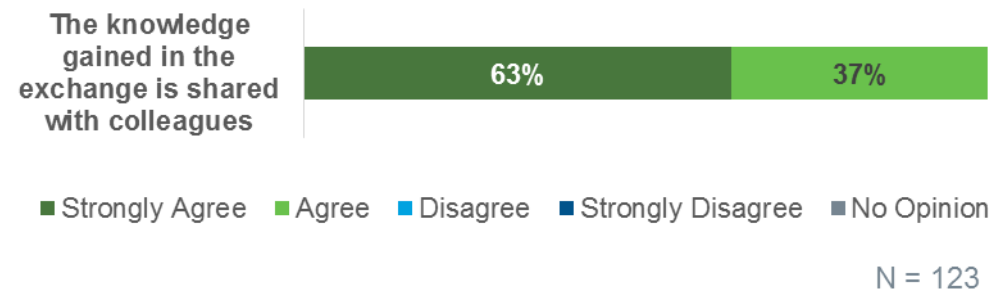
A9.1.1.8 Added Value

Figure A9.26 Please indicate to what extent you agree or disagree with the statements below



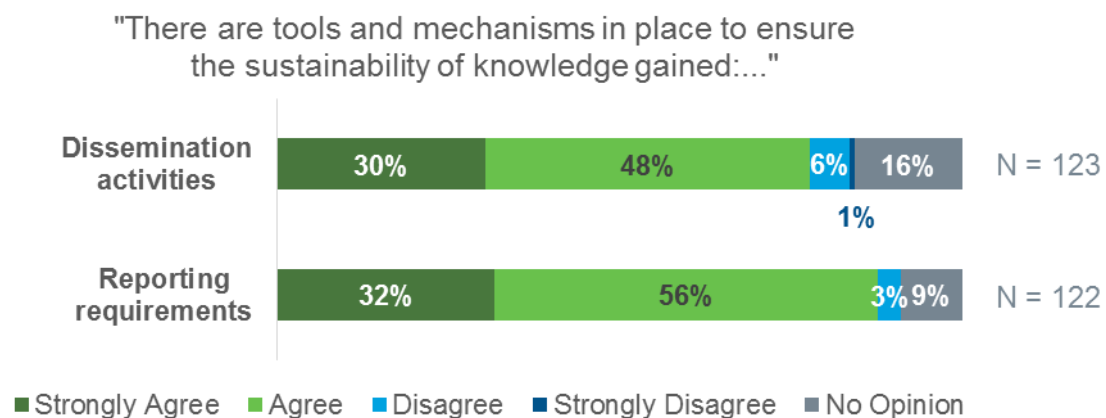
Source: ICF, based on survey results

Figure A9.27 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

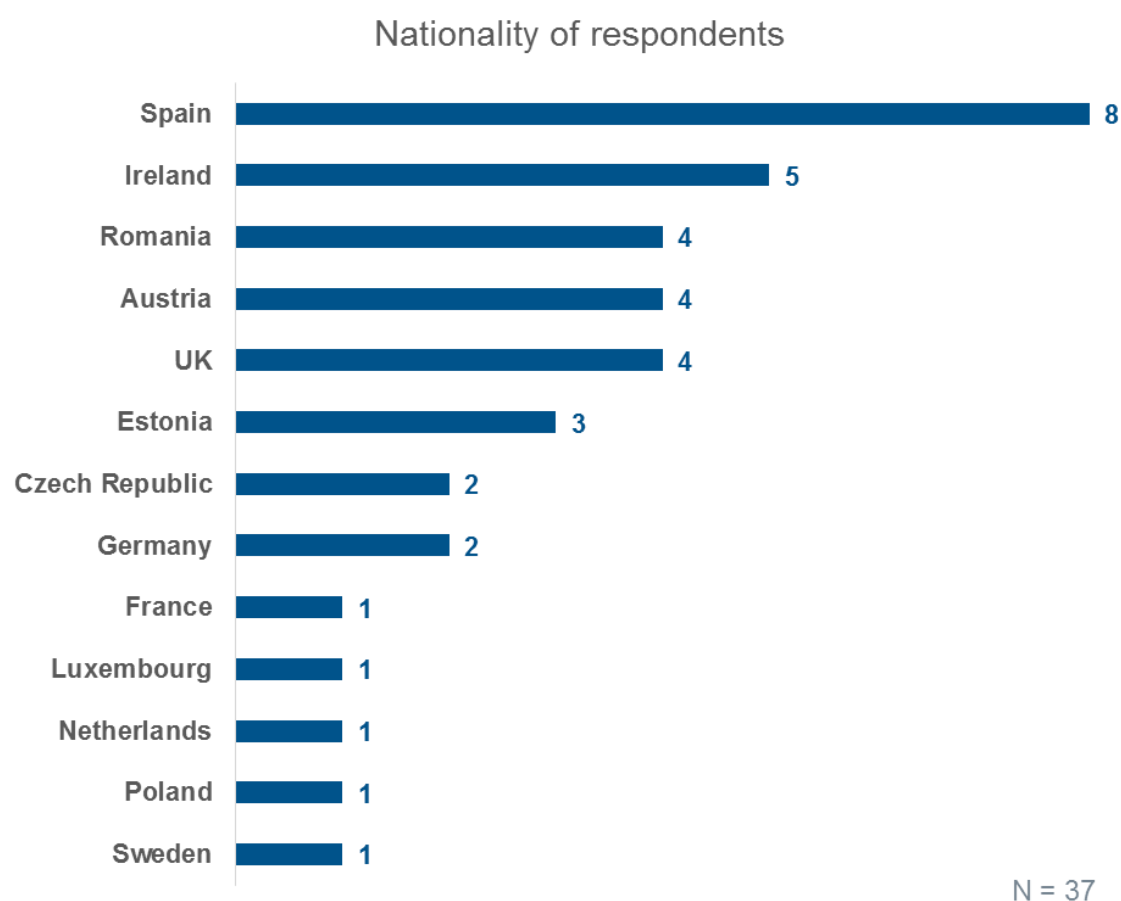
Figure A9.28 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

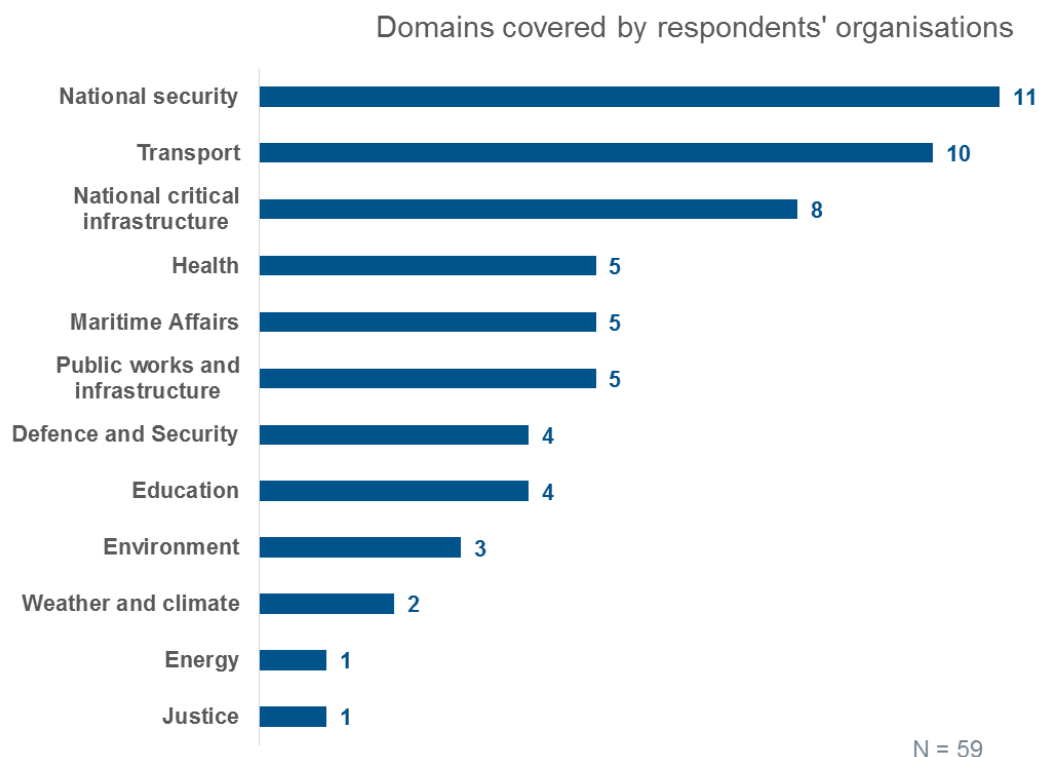
A9.2 National Ministries and Agencies

Figure A9.29 Nationality of respondents



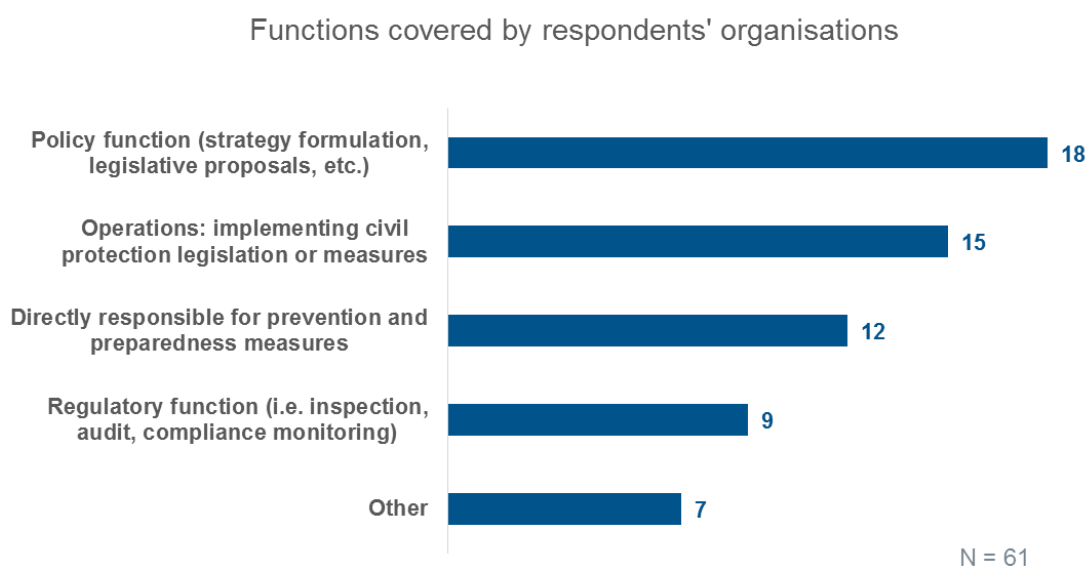
Source: ICF, based on survey results

Figure A9.30 Respondents' breakdown by domains covered



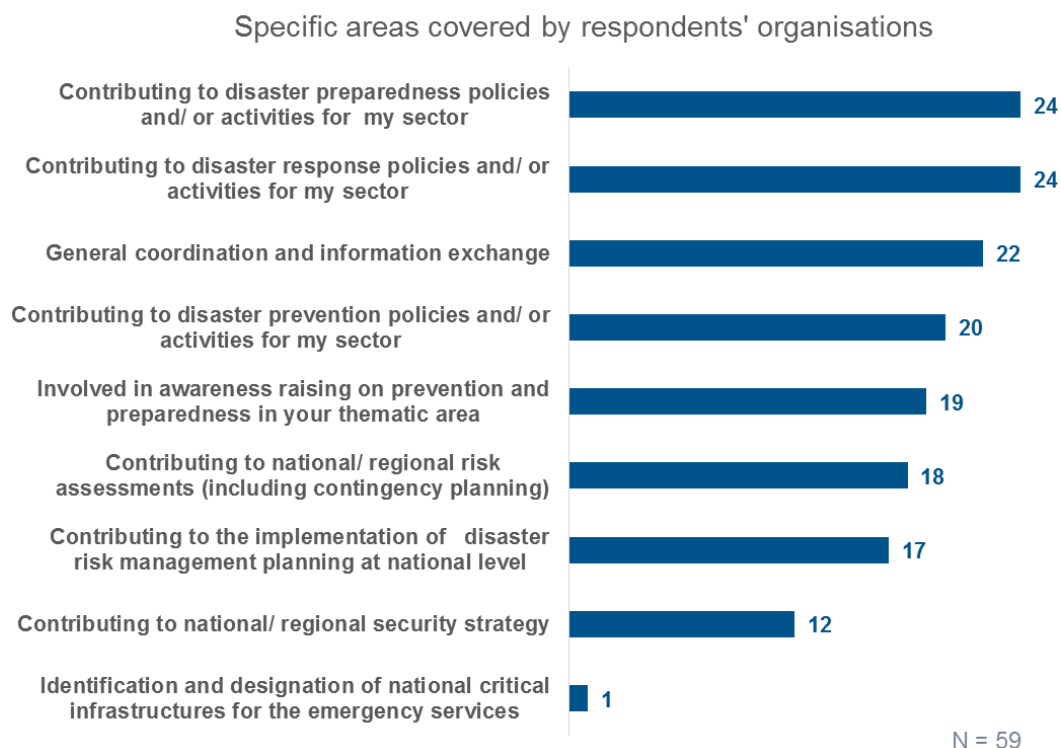
Source: ICF, based on survey results

Figure A9.31 Respondents' breakdown by function



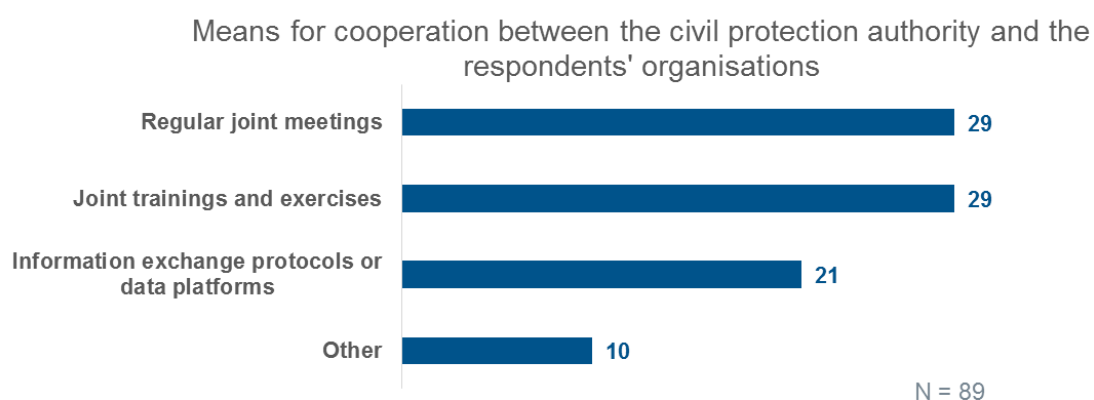
Source: ICF, based on survey results

Figure A9.32 Respondents' breakdown by areas covered



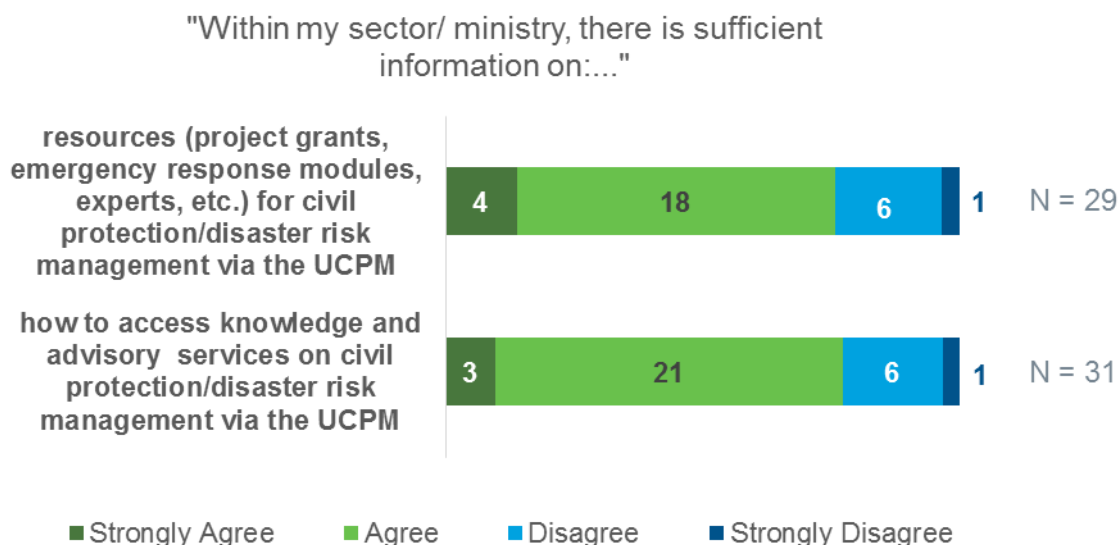
Source: ICF, based on survey results

Figure A9.33 Respondents' breakdown by means of cooperation



Source: ICF, based on survey results

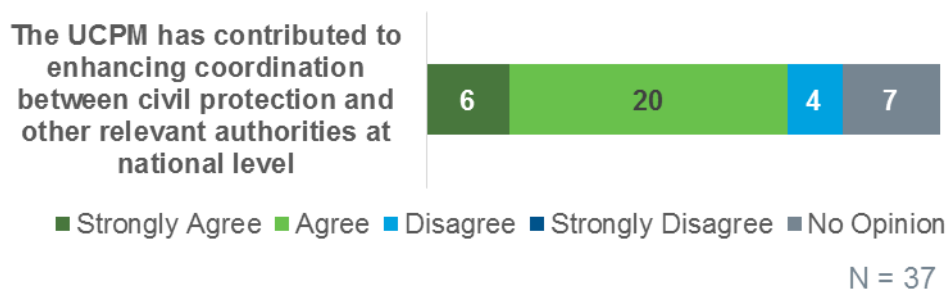
Figure A9.34 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 8 (resources...); 6 (access to knowledge and services)

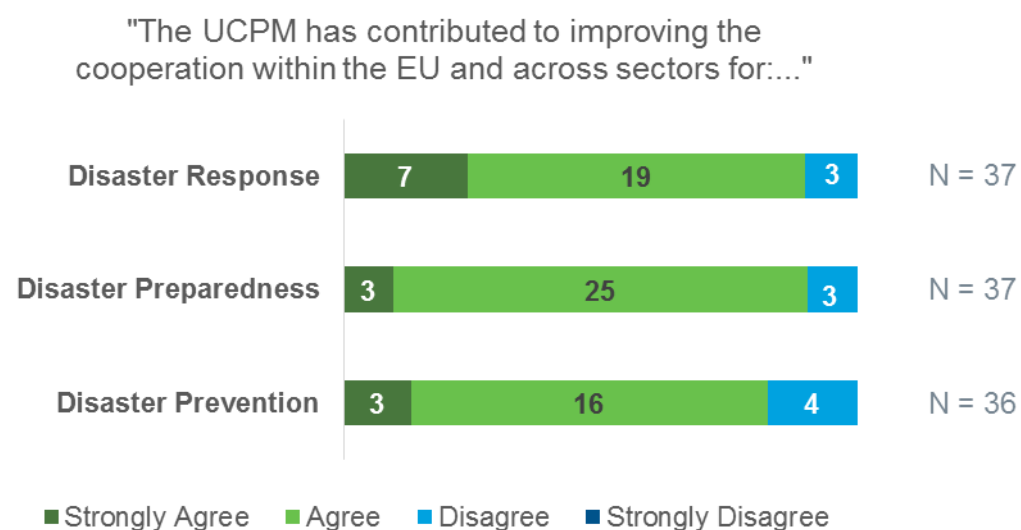
Source: ICF, based on survey results

Figure A9.35 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

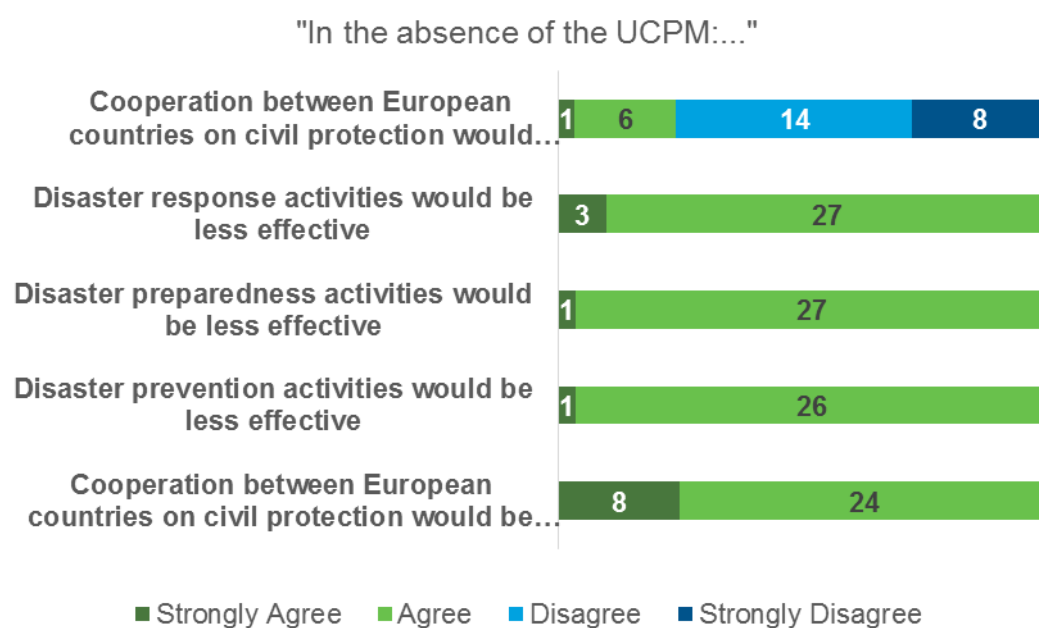
Figure A9.36 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 8 (response), 6 (preparedness), 13 (prevention)

Source: ICF, based on survey results

Figure A9.37 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 8 (Coop. not affected); 7 (response less effective); 9 (preparedness less effective); 10 (prevention less effective); 5 (coop. more limited).

N = 37

Source: ICF, based on survey results

Figure A9.38 Please indicate to what extent you agree or disagree with the statements below

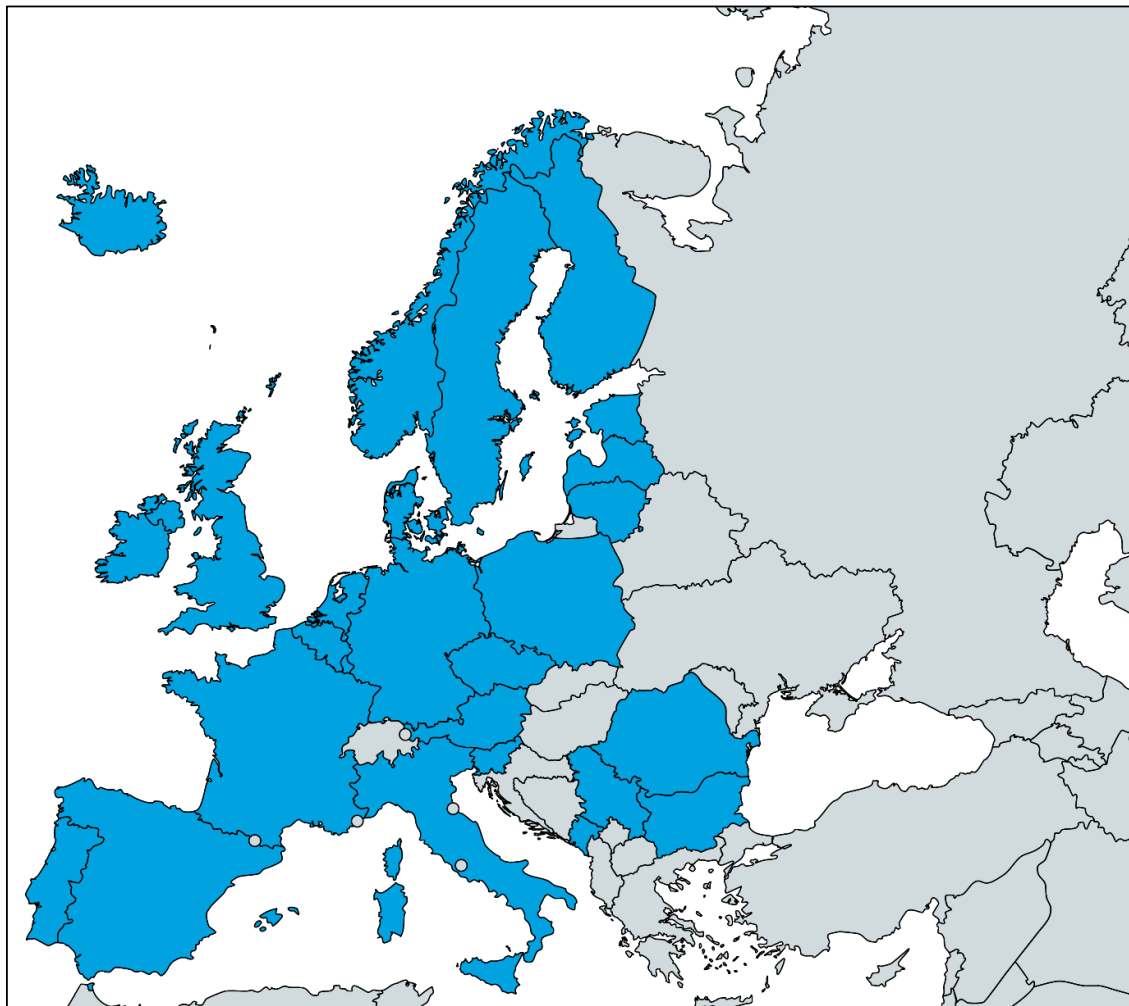


Source: ICF, based on survey results

A9.3 NCPs

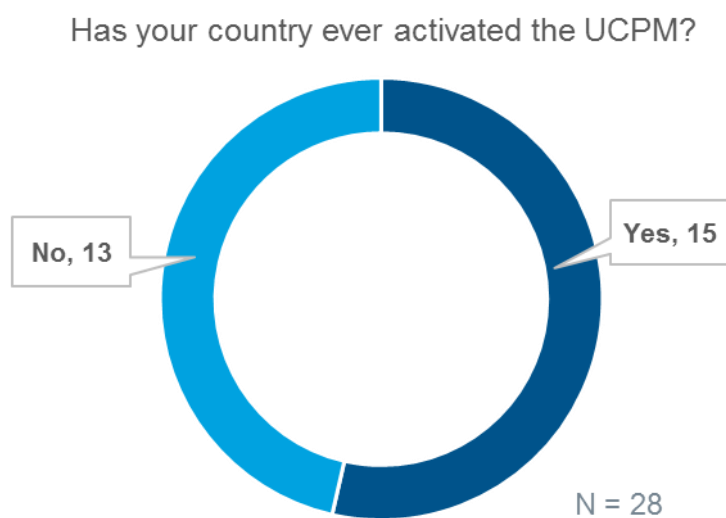
A9.3.1.1 Respondents' profile

Figure A9.39 NCPs covered by the survey



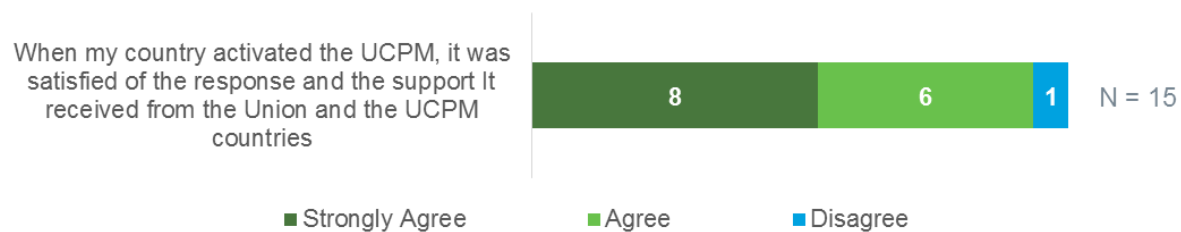
Source: ICF, based on survey results

Figure A9.40 UCPM activation



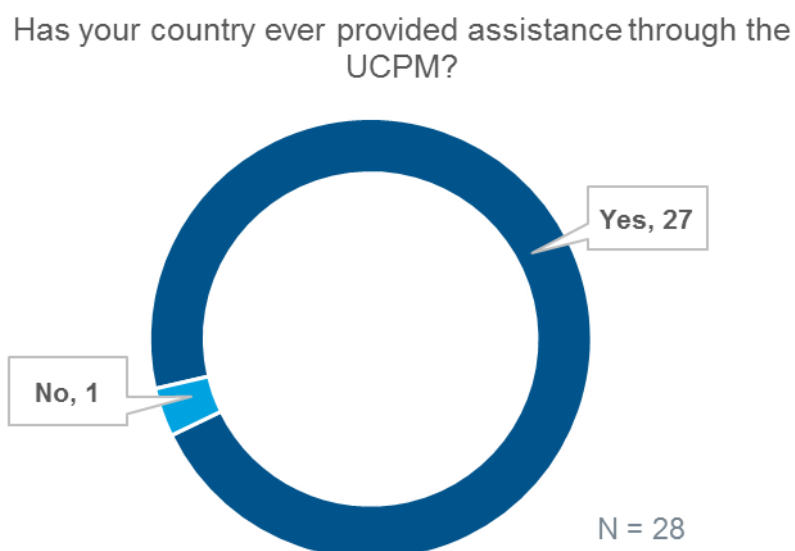
Source: ICF, based on survey results

Figure A9.41 Please indicate to what extent you agree or disagree with the statements below



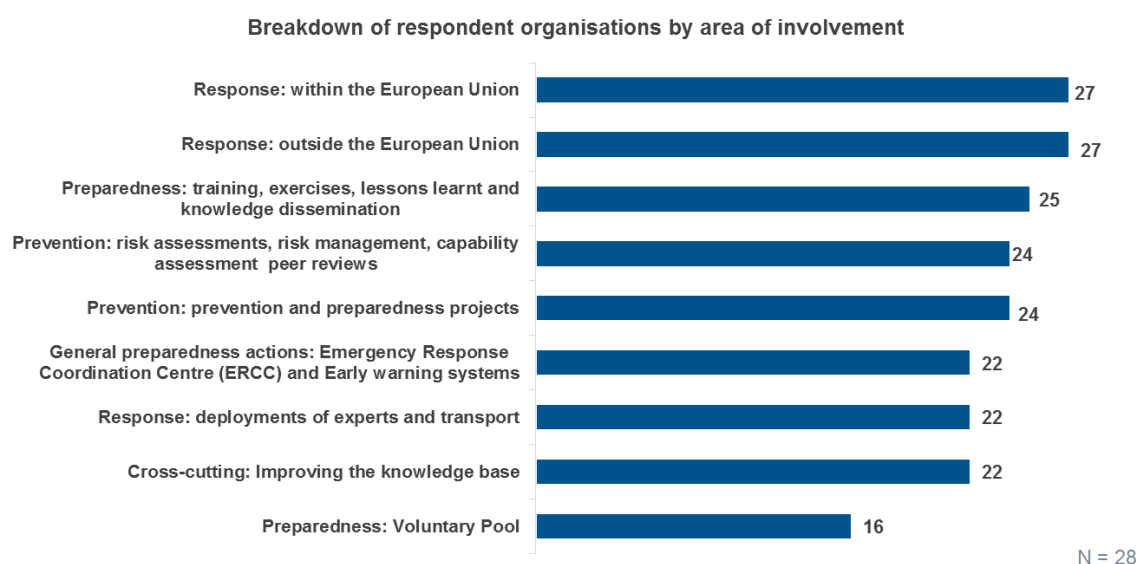
Source: ICF, based on survey results

Figure A9.42 Assistance provided under UCPM



Source: ICF, based on survey results

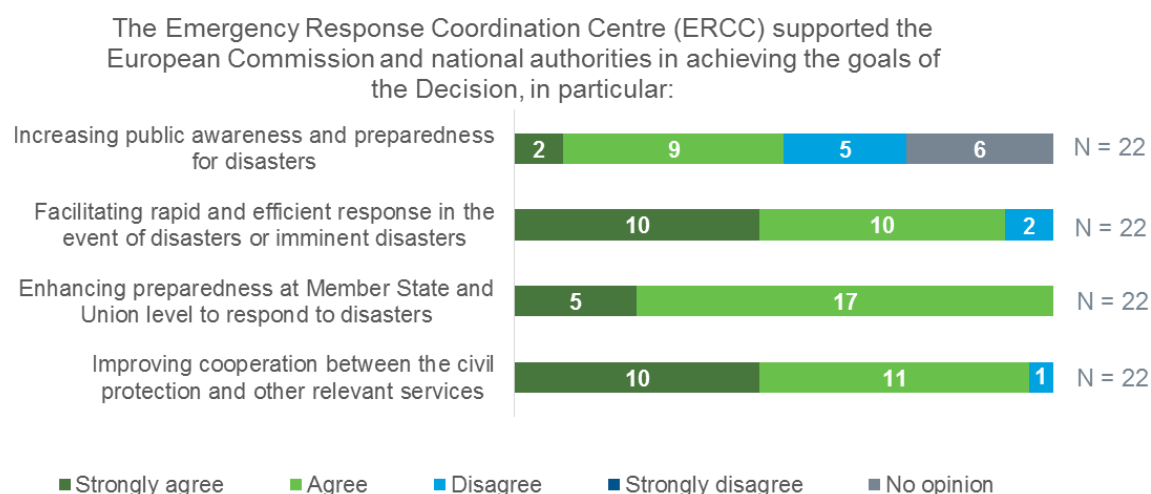
Figure A9.43 Respondents by area of involvement



Source: ICF, based on survey results

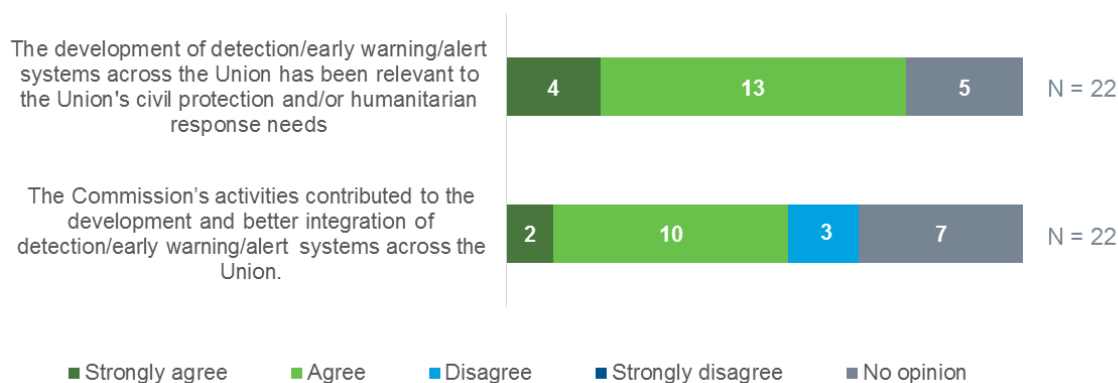
A9.3.1.2 Preparedness

Figure A9.44 Please indicate to what extent you agree or disagree with the statements below



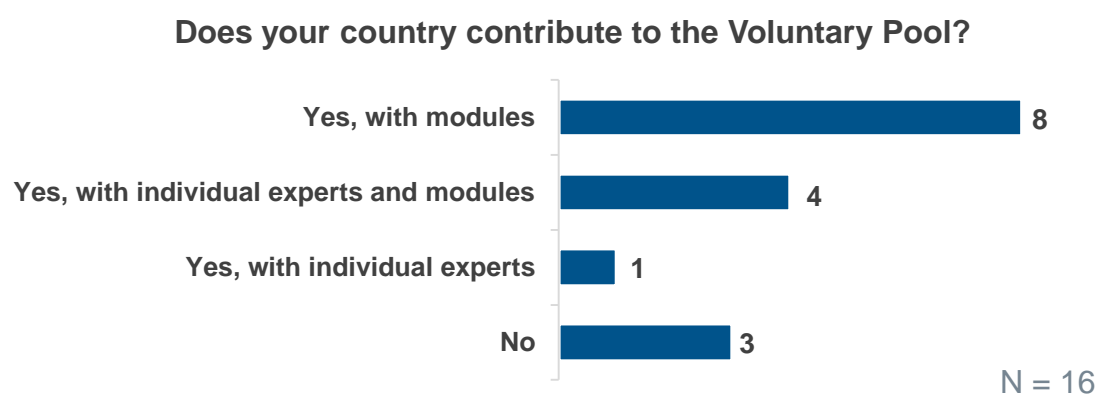
Source: ICF, based on survey results

Figure A9.45 Please indicate to what extent you agree or disagree with the statements below



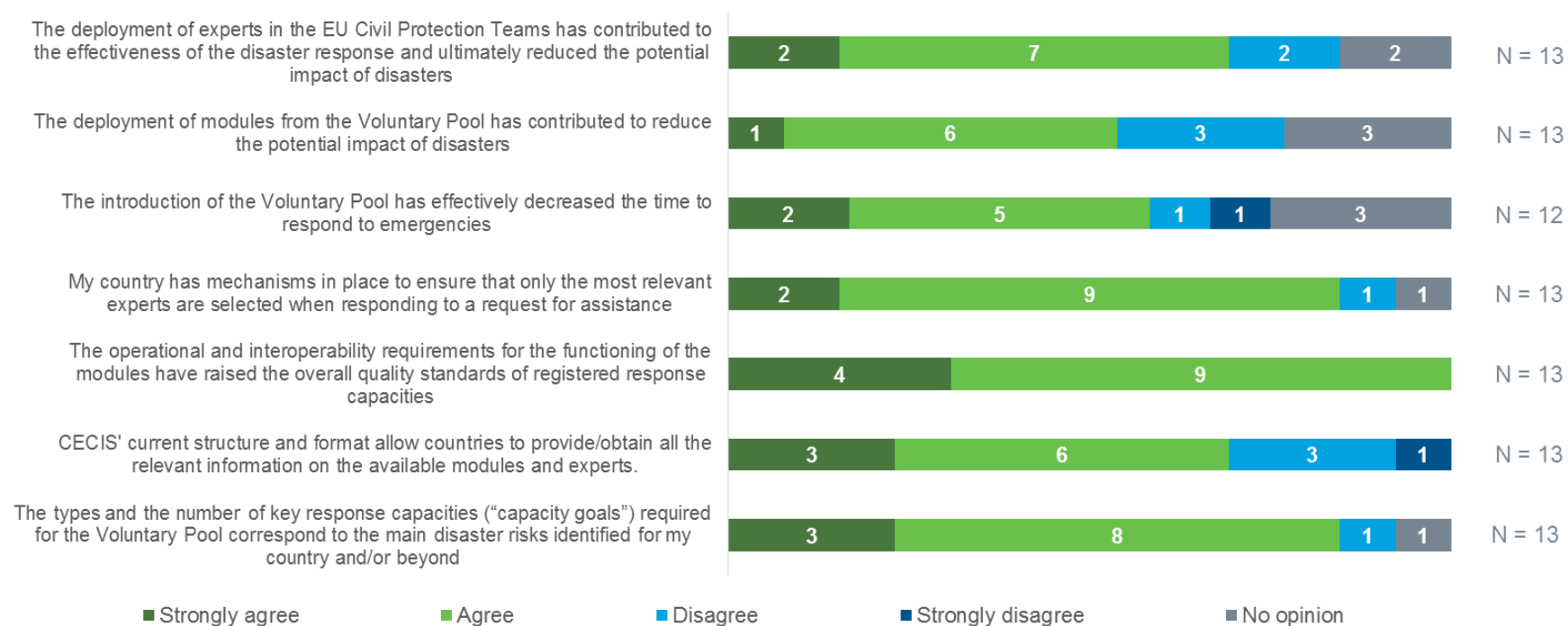
Source: ICF, based on survey results

Figure A9.46 Contribution to the Voluntary Pool



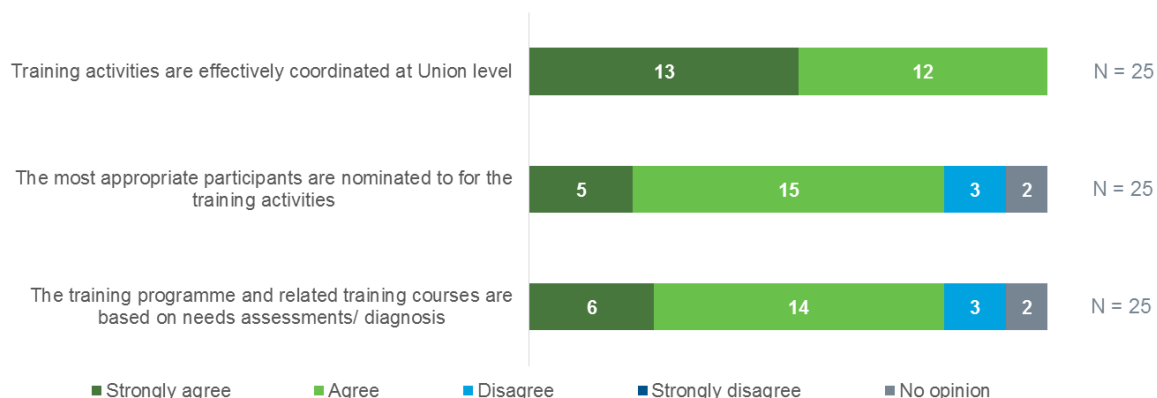
Source: ICF, based on survey results

Figure A9.47 Please indicate to what extent you agree or disagree with the statements below



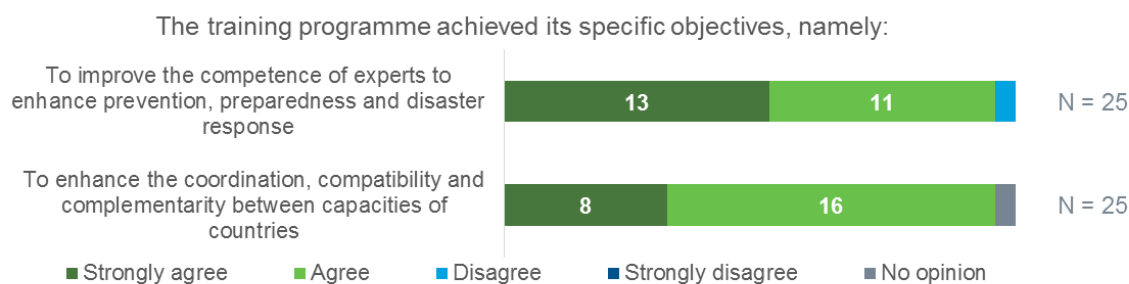
Source: ICF, based on survey results

Figure A9.48 Please indicate to what extent you agree or disagree with the statements below



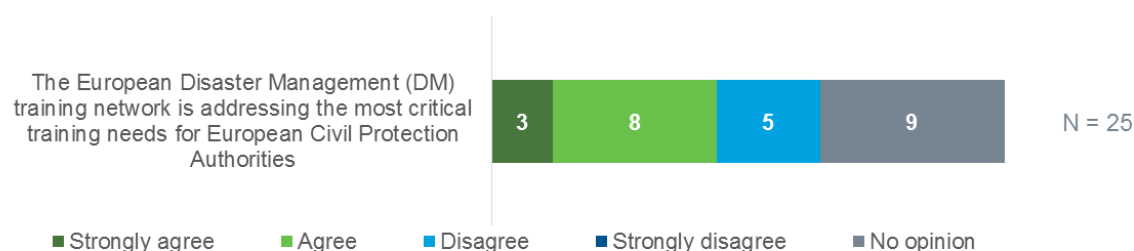
Source: ICF, based on survey results

Figure A9.49 Please indicate to what extent you agree or disagree with the statements below



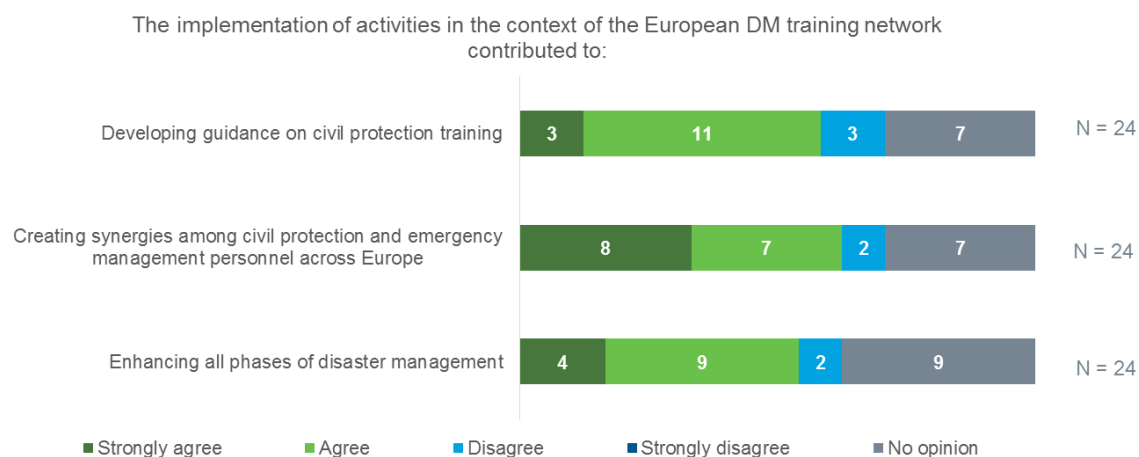
Source: ICF, based on survey results

Figure A9.50 Please indicate to what extent you agree or disagree with the statements below



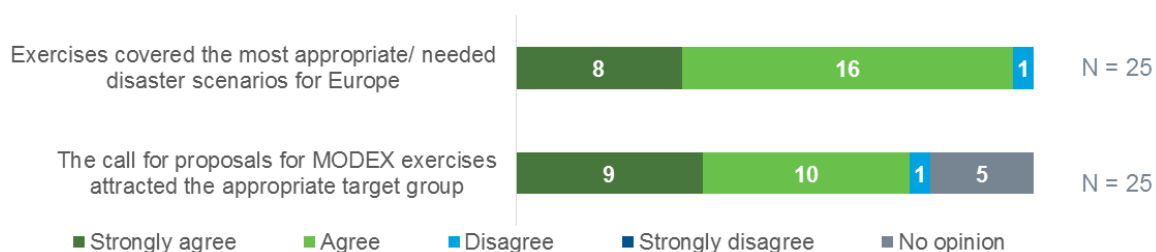
Source: ICF, based on survey results

Figure A9.51 Please indicate to what extent you agree or disagree with the statements below



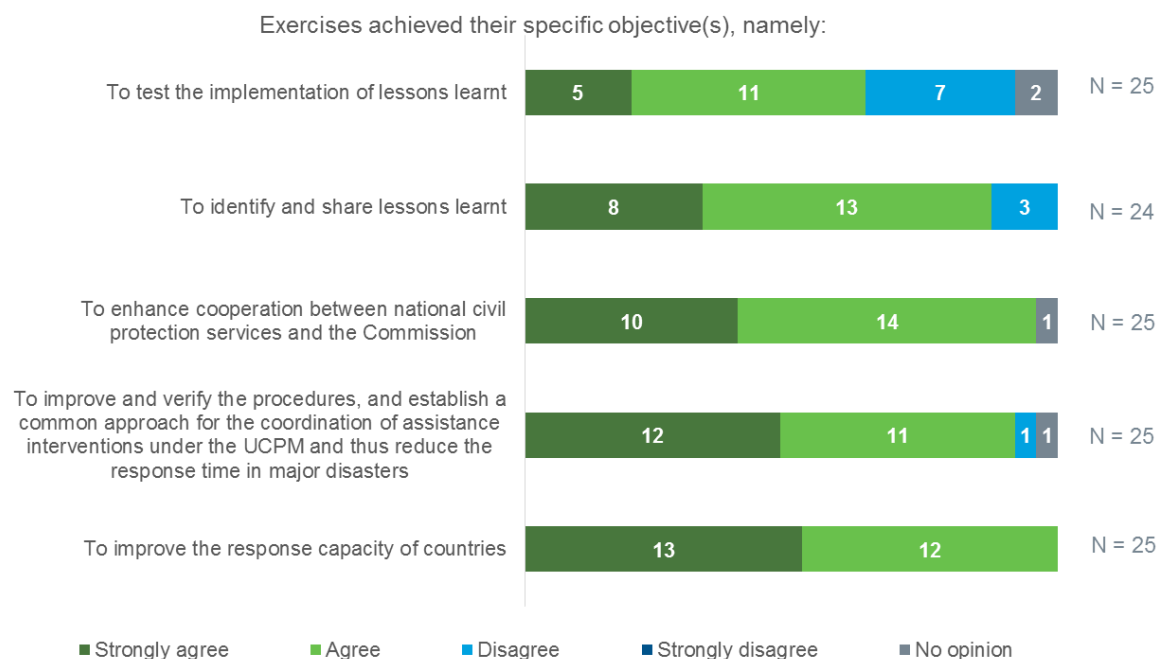
Source: ICF, based on survey results

Figure A9.52 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.53 Please indicate to what extent you agree or disagree with the statements below

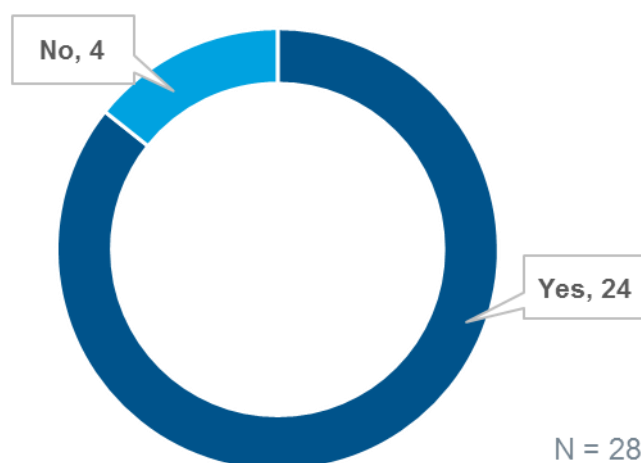


Source: ICF, based on survey results

A9.3.1.3 Prevention

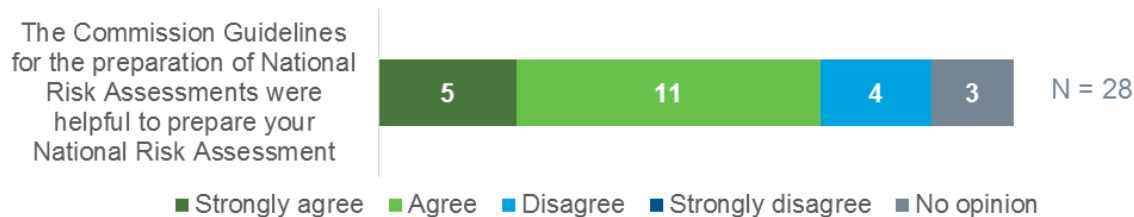
Figure A9.54 Country submission

Did your country submit a summary of the main elements of the National Risk Assessment, as per Article 6 of Decision 1313/2013?



Source: ICF, based on survey results

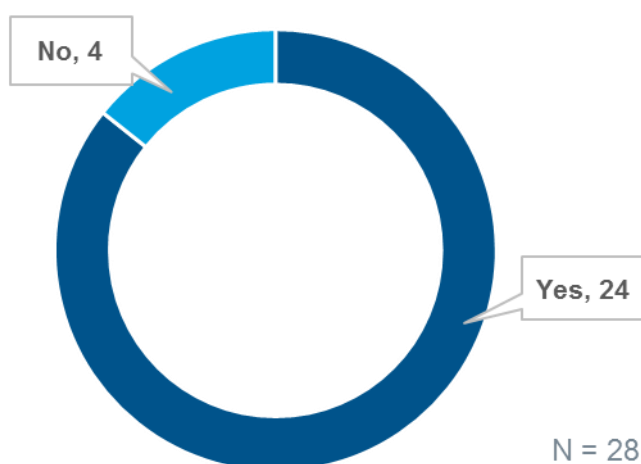
Figure A9.55 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

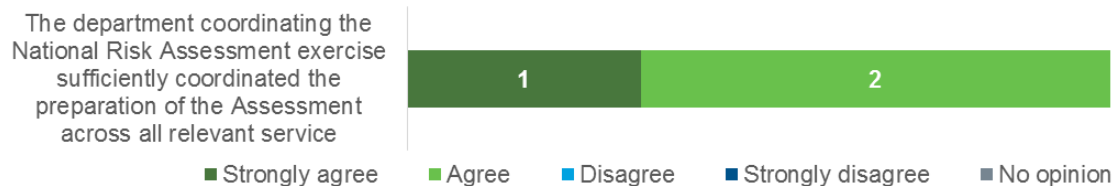
Figure A9.56 Respondent involvement in the National Risk Assessment preparation

Was your department responsible for the coordination of the National Risk Assessment preparation process?



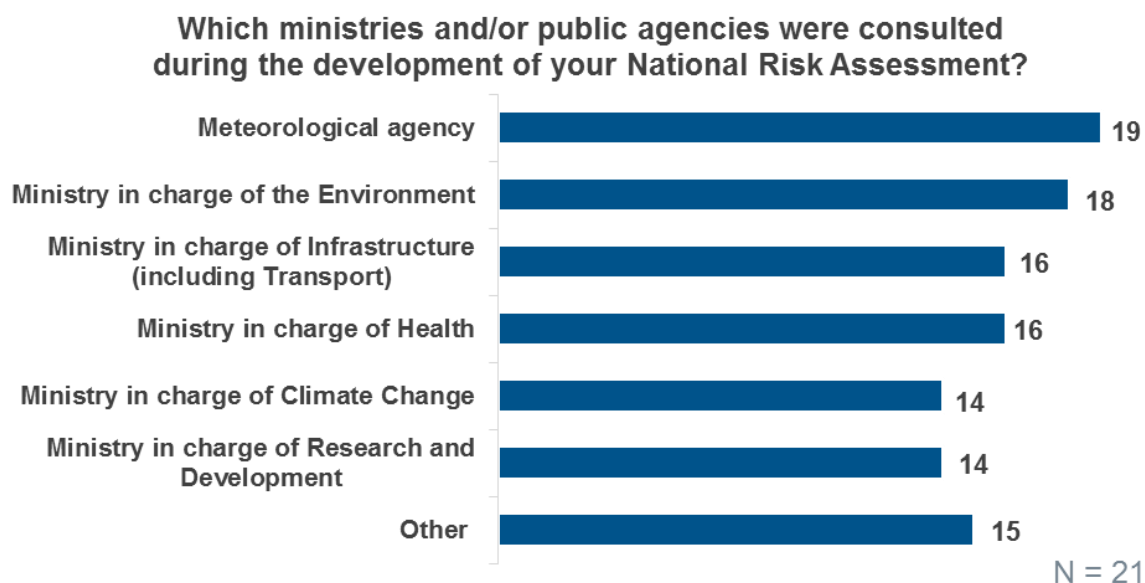
Source: ICF, based on survey results

Figure A9.57 Please indicate to what extent you agree or disagree with the statements below



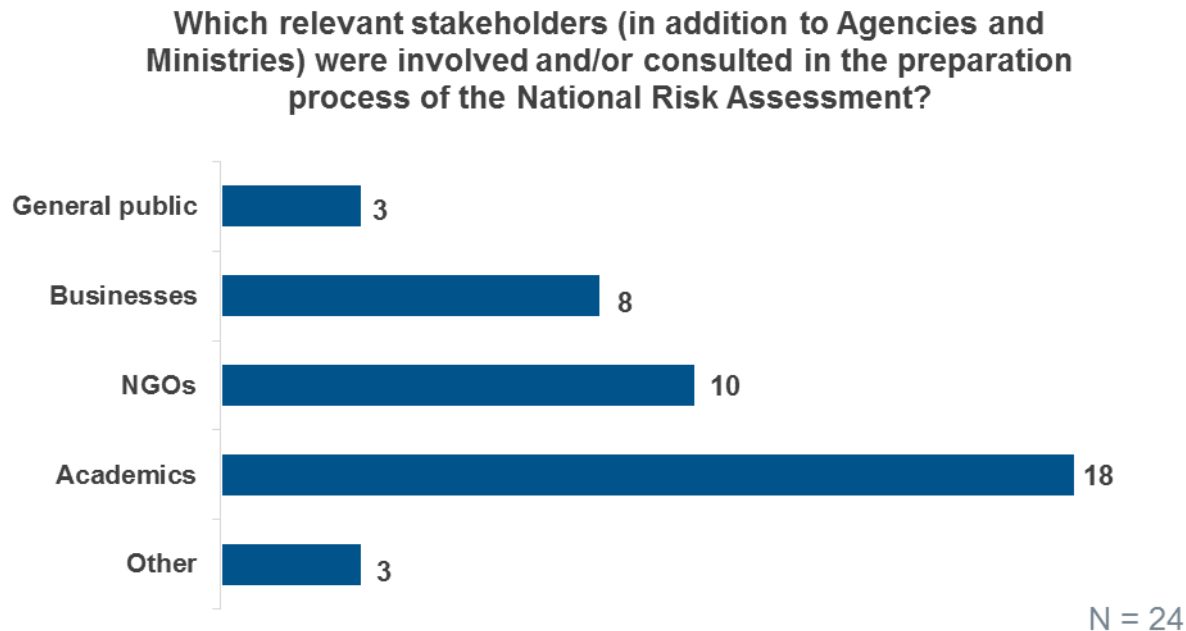
Source: ICF, based on survey results

Figure A9.58 Ministries' involvement in National Risk Assessment



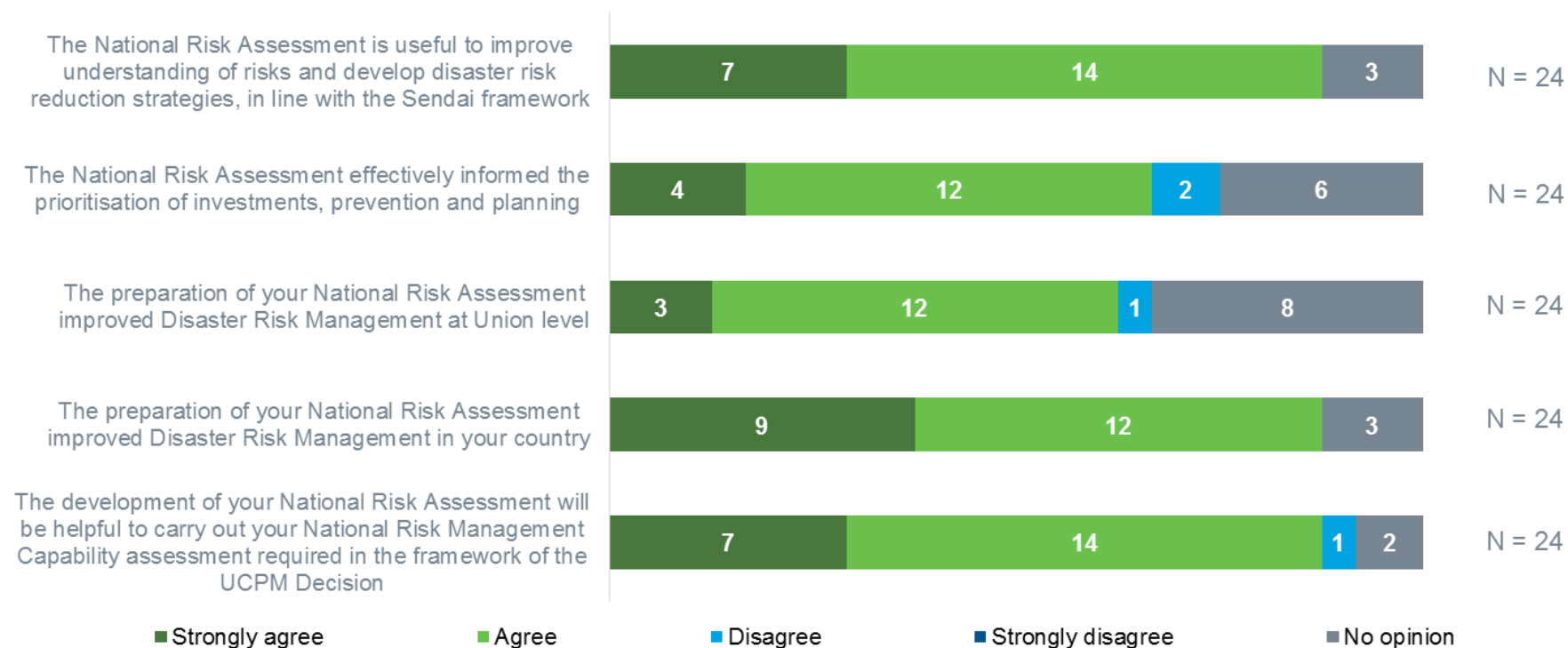
Source: ICF, based on survey results

Figure A9.59 Stakeholders' involvement in National Risk Assessment



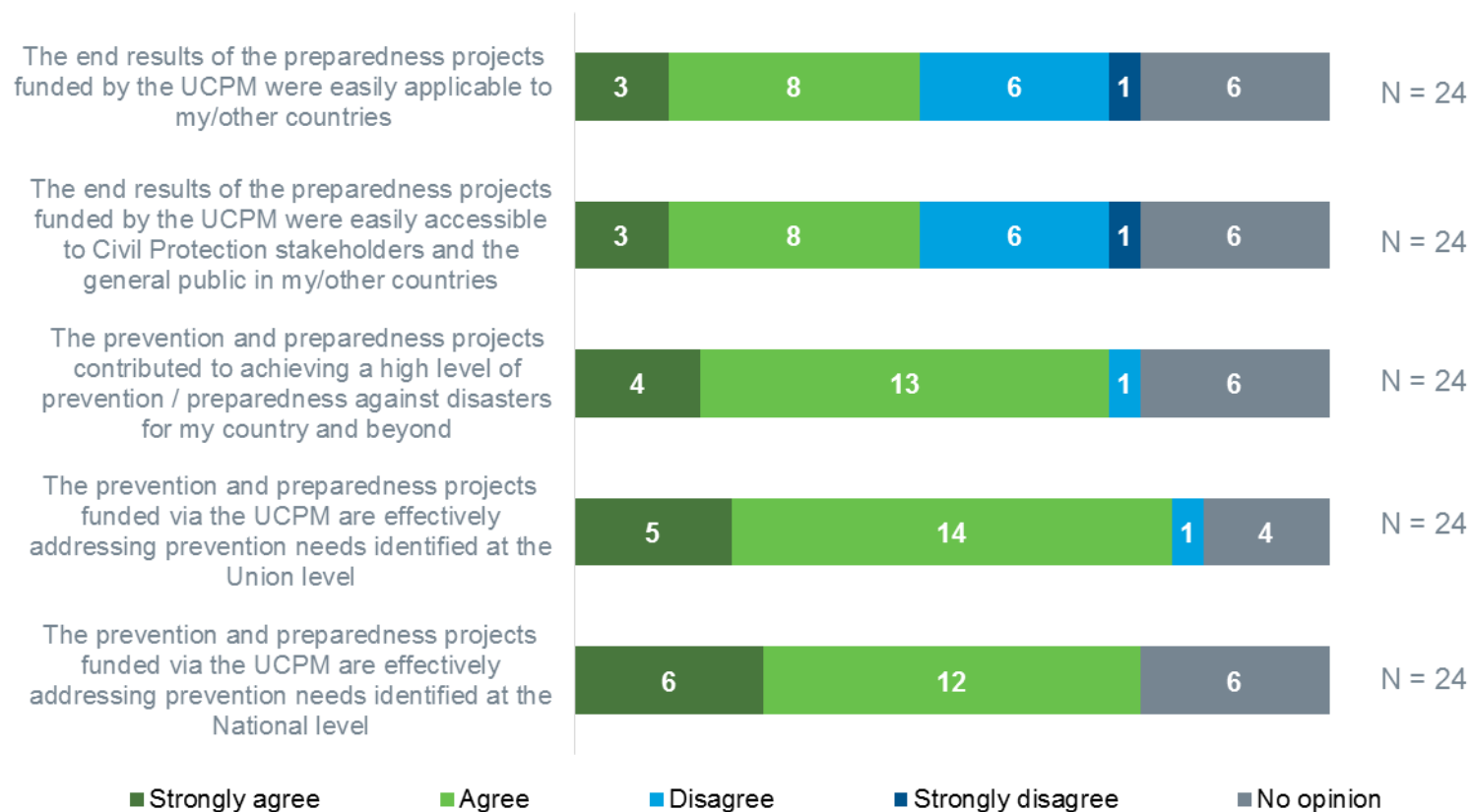
Source: ICF, based on survey results

Figure A9.60 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

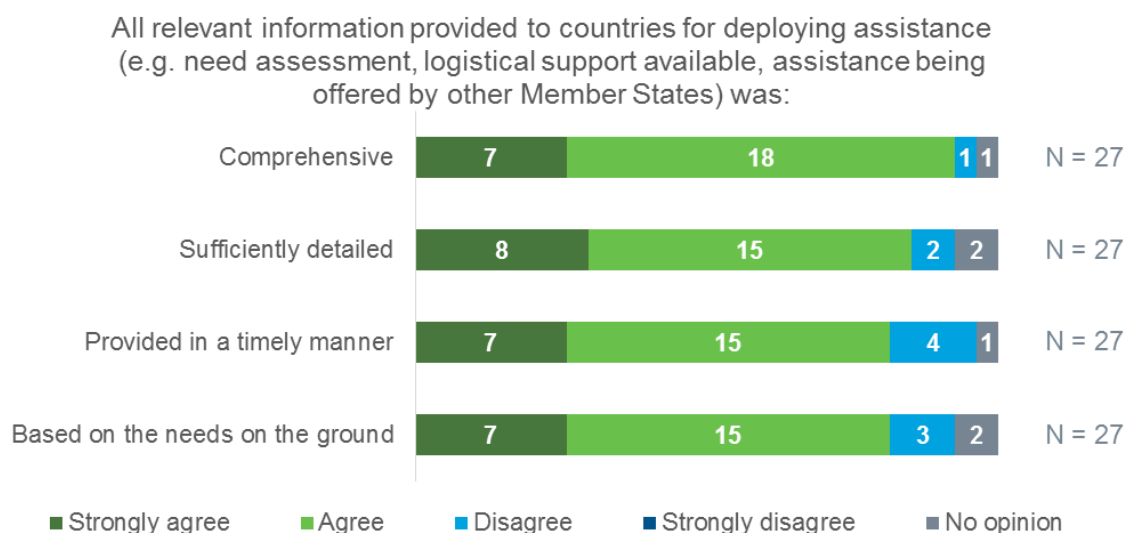
Figure A9.61 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

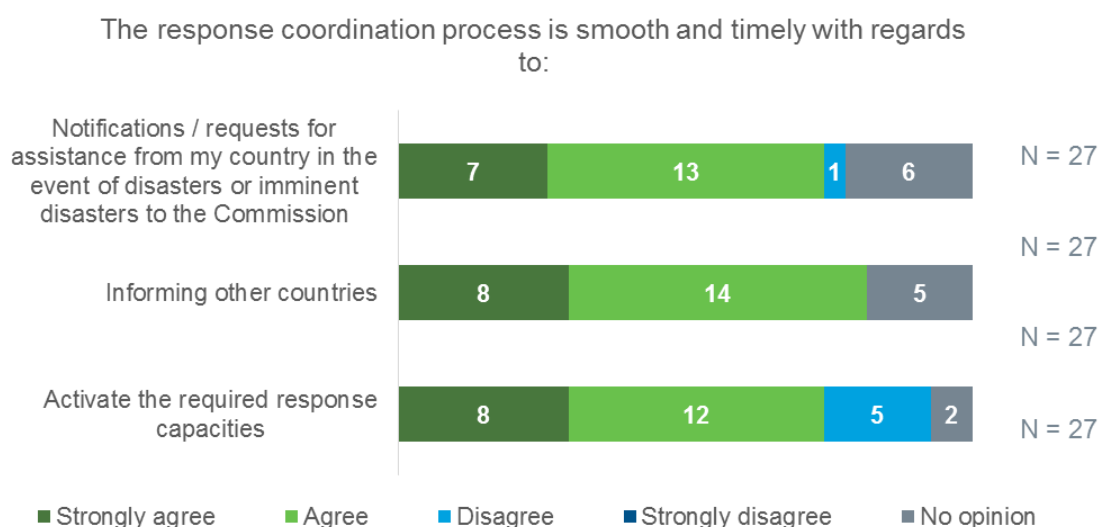
A9.3.1.4 Response

Figure A9.62 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.63 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

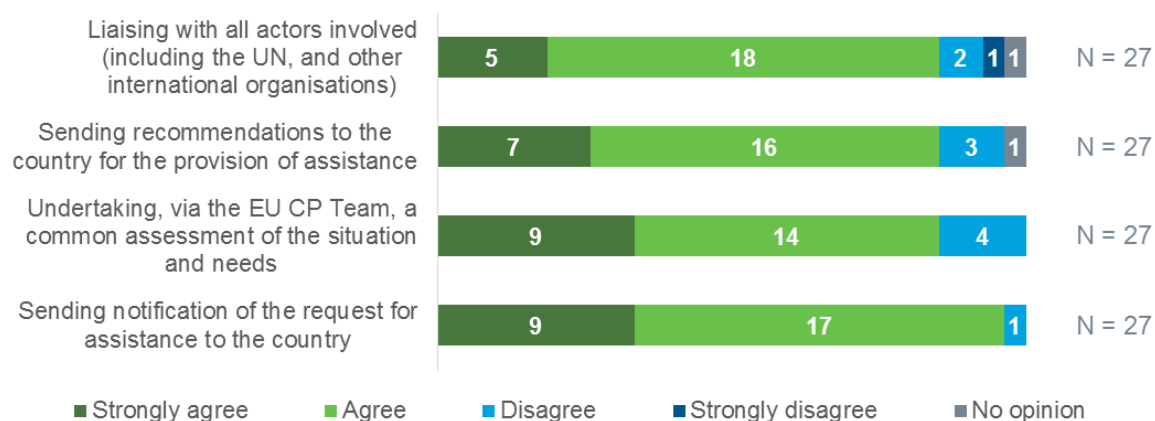
Figure A9.64 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.65 Please indicate to what extent you agree or disagree with the statements below

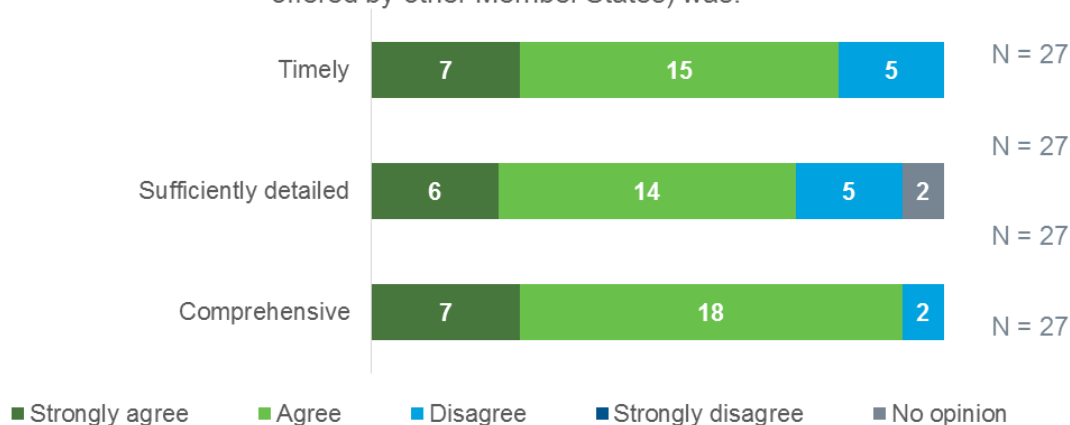
The response coordination process is smooth and timely with regards to:



Source: ICF, based on survey results

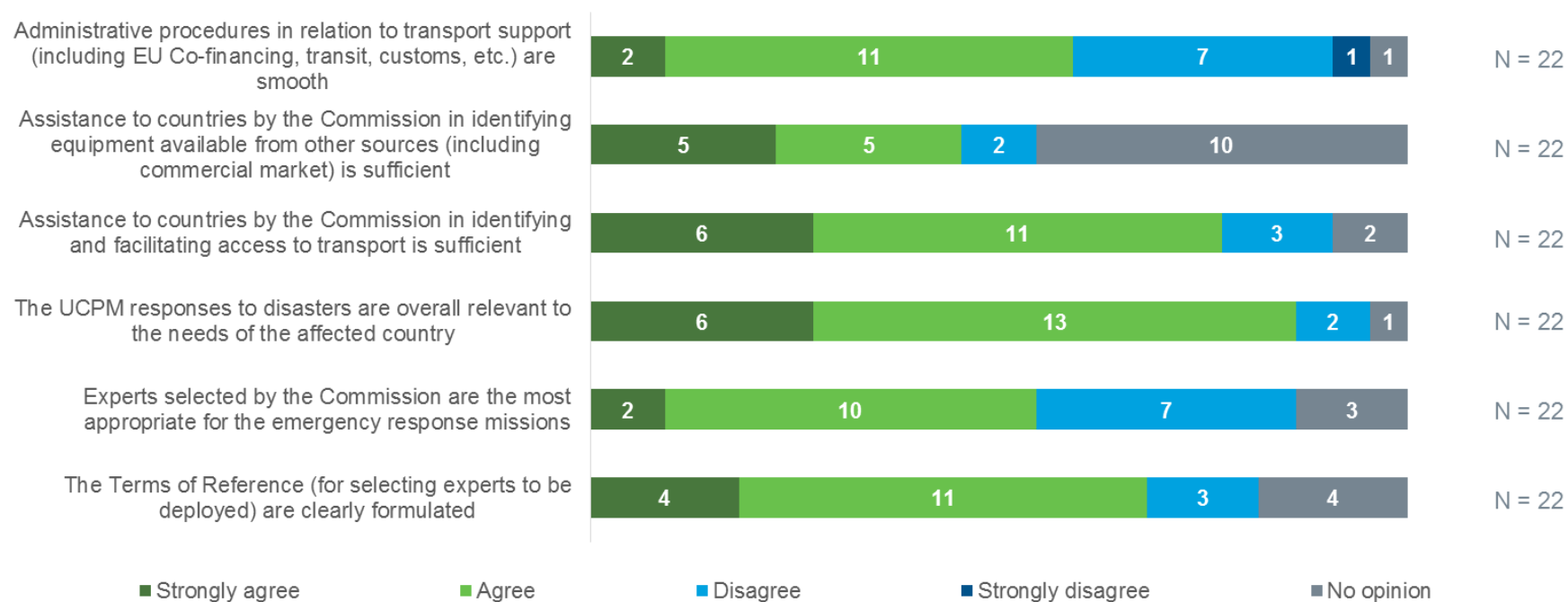
Figure A9.66 Please indicate to what extent you agree or disagree with the statements below

All relevant information provided to countries for deploying assistance (e.g. need assessment, logistical support available, assistance being offered by other Member States) was:



Source: ICF, based on survey results

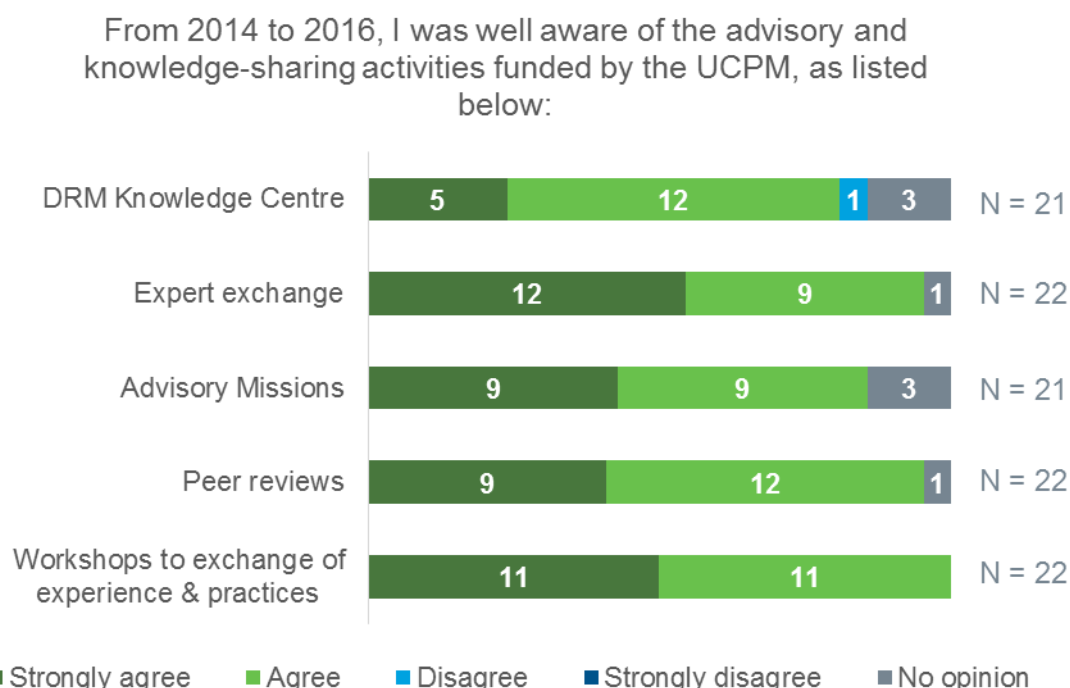
Figure A9.67 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

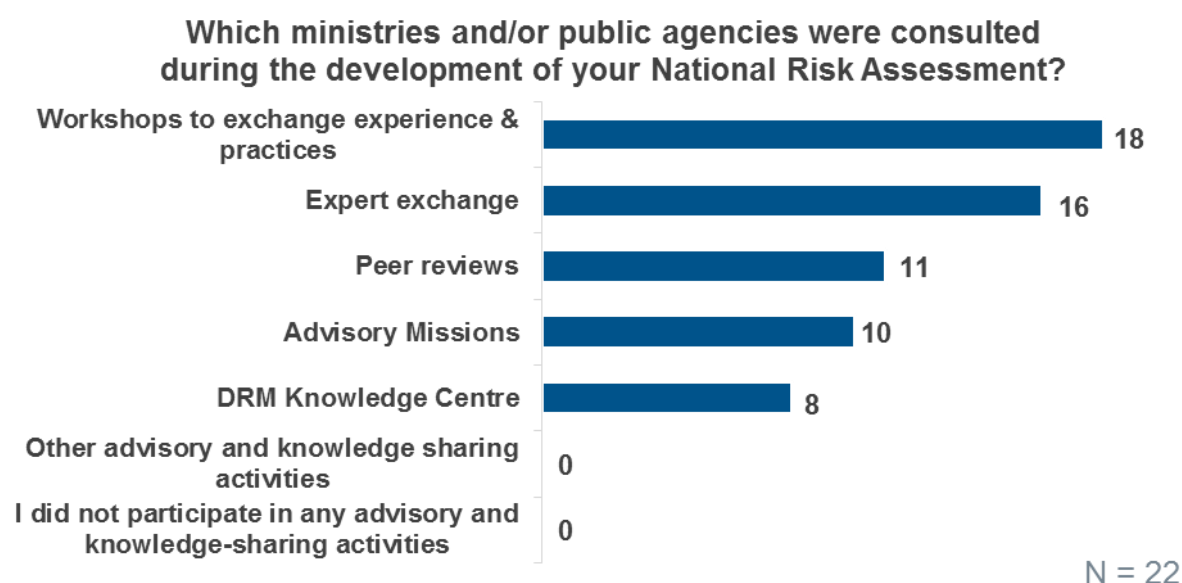
A9.3.1.5 Cross-cutting

Figure A9.68 Please indicate to what extent you agree or disagree with the statements below



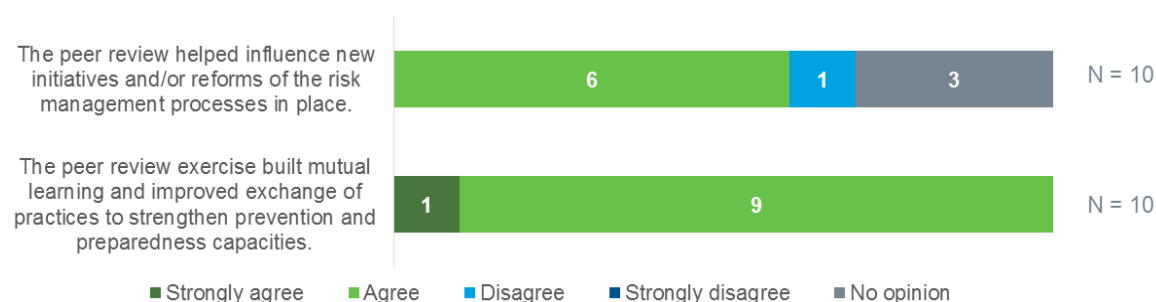
Source: ICF, based on survey results

Figure A9.69 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

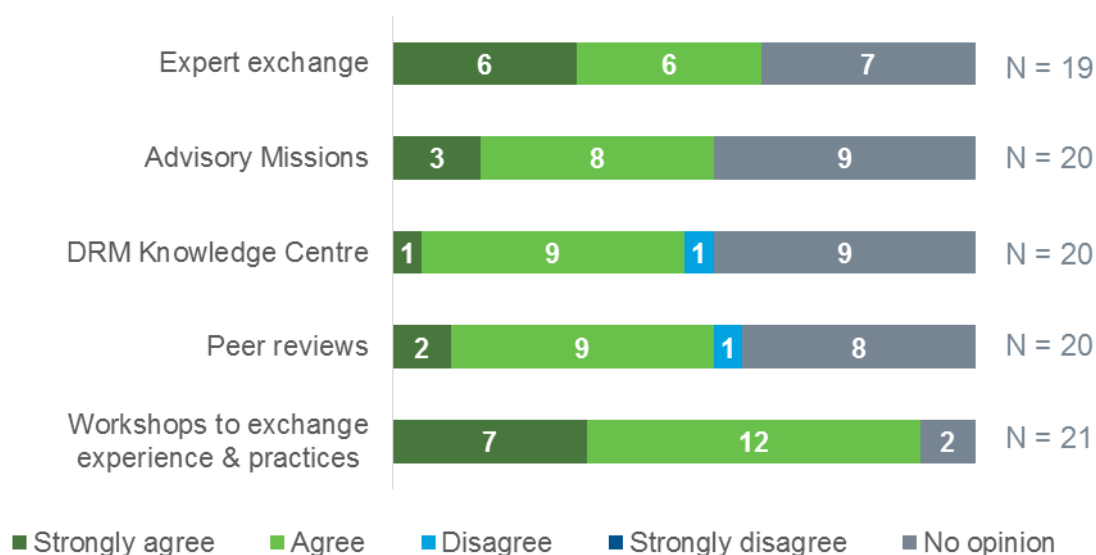
Figure A9.70 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

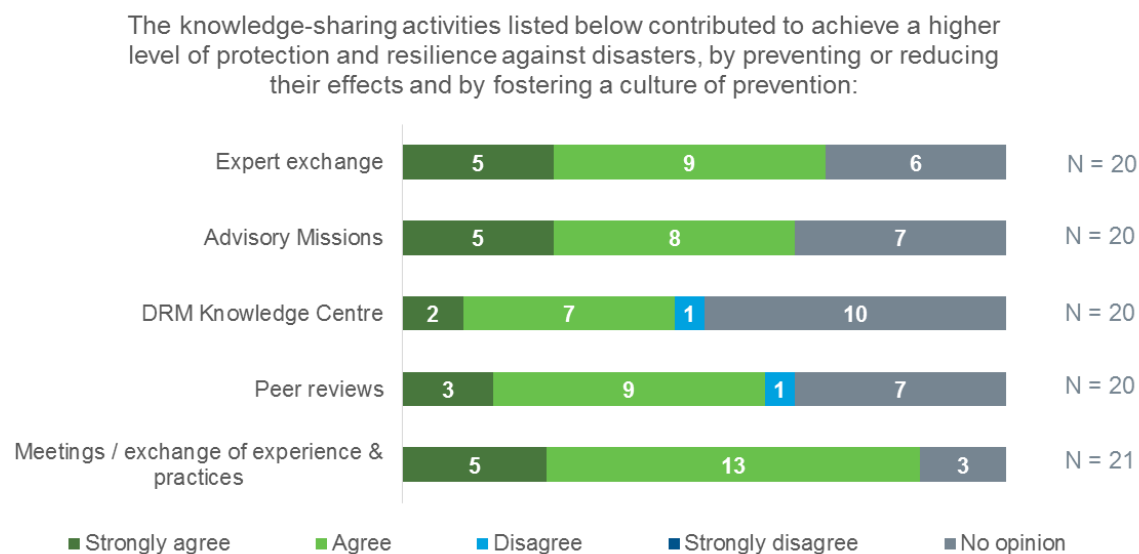
Figure A9.71 Please indicate to what extent you agree or disagree with the statements below

The knowledge-sharing activities funded by the UCPM (as listed below) were relevant and useful to address prevention needs at national level:



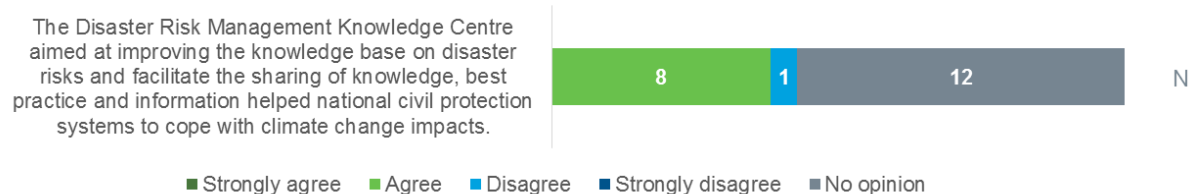
Source: ICF, based on survey results

Figure A9.72 Please indicate to what extent you agree or disagree with the statements below



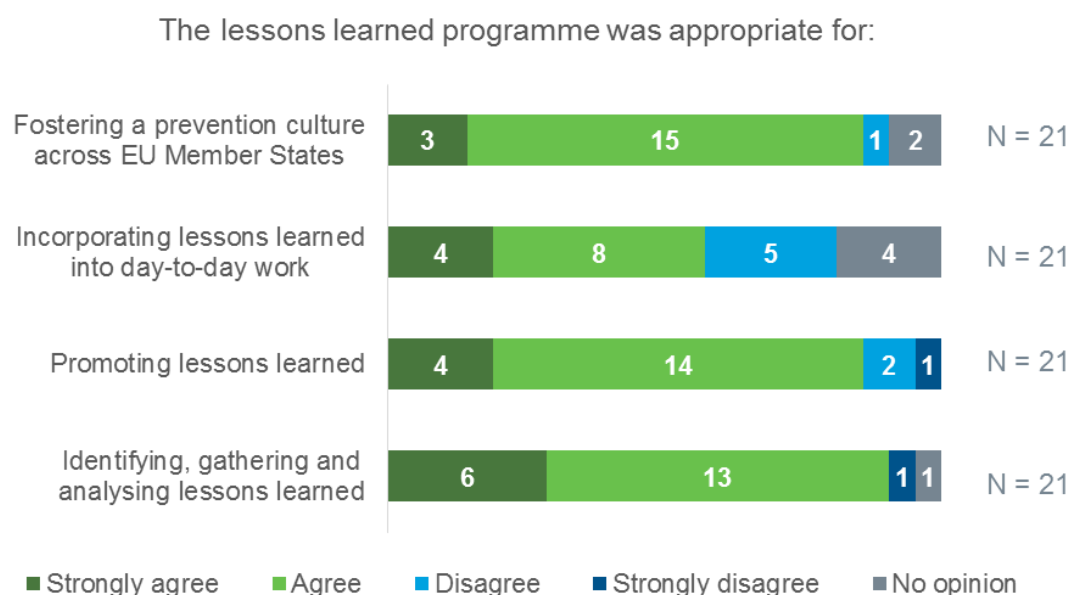
Source: ICF, based on survey results

Figure A9.73 Please indicate to what extent you agree or disagree with the statements below



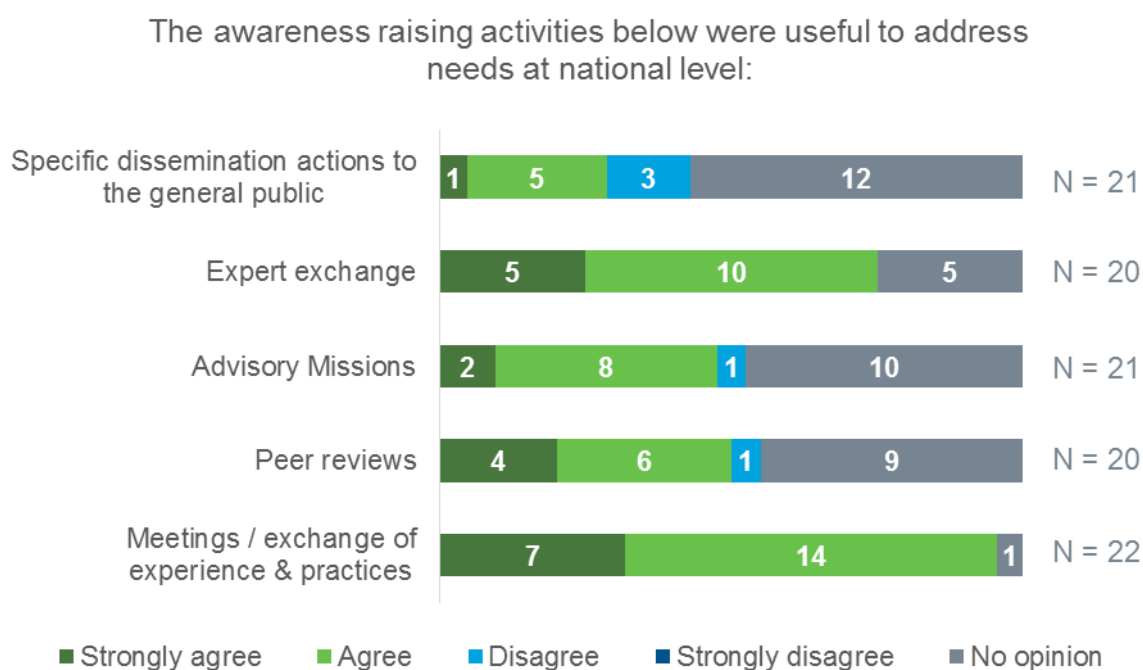
Source: ICF, based on survey results

Figure A9.74 Please indicate to what extent you agree or disagree with the statements below



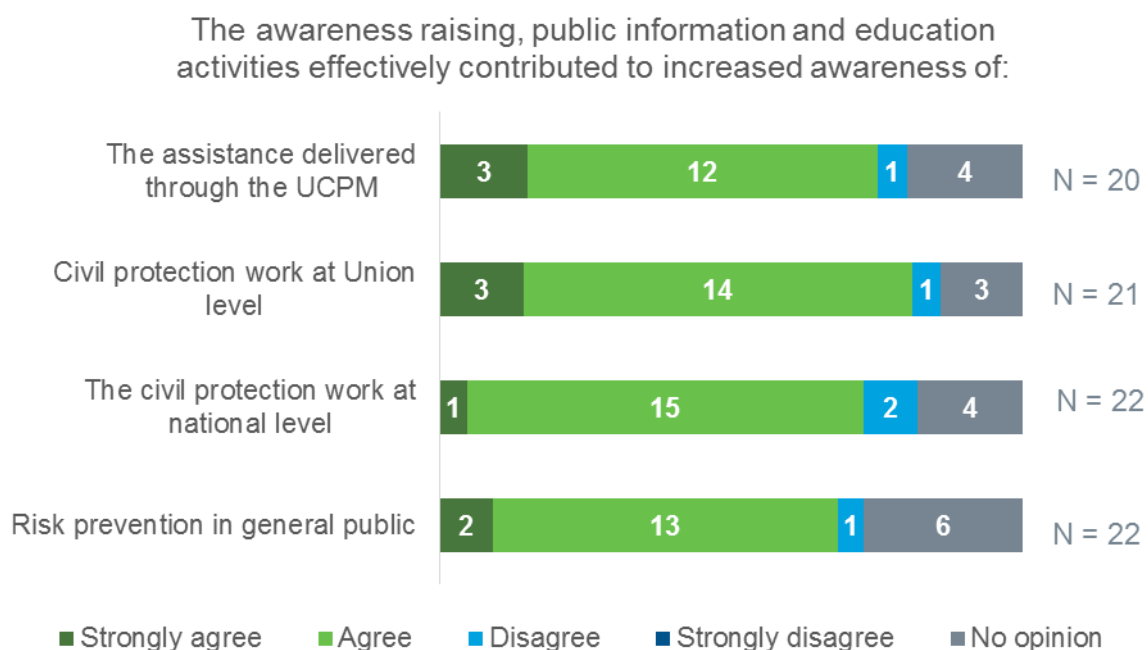
Source: ICF, based on survey results

Figure A9.75 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

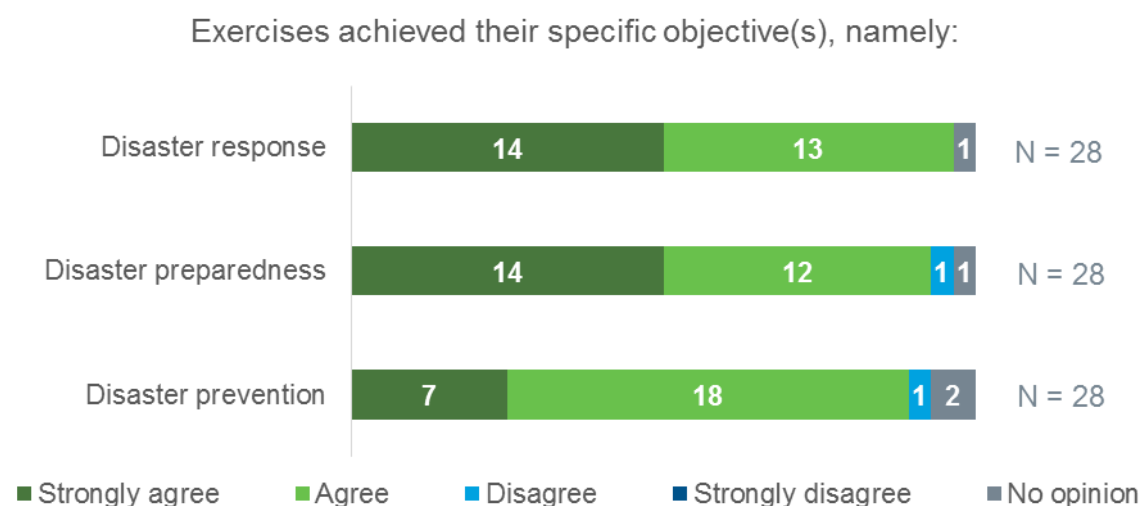
Figure A9.76 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

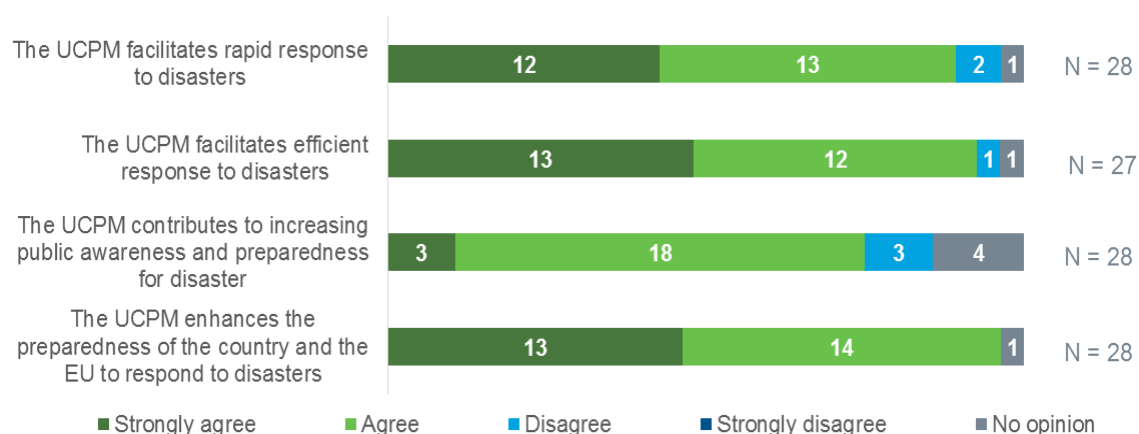
A9.3.1.6 Effectiveness

Figure A9.77 Please indicate to what extent you agree or disagree with the statements below



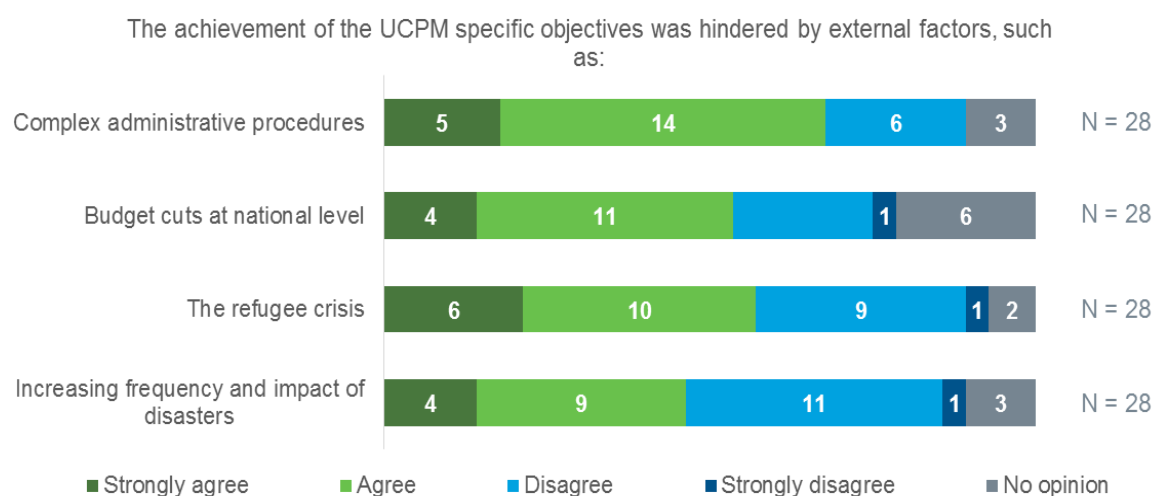
Source: ICF, based on survey results

Figure A9.78 Please indicate to what extent you agree or disagree with the statements below



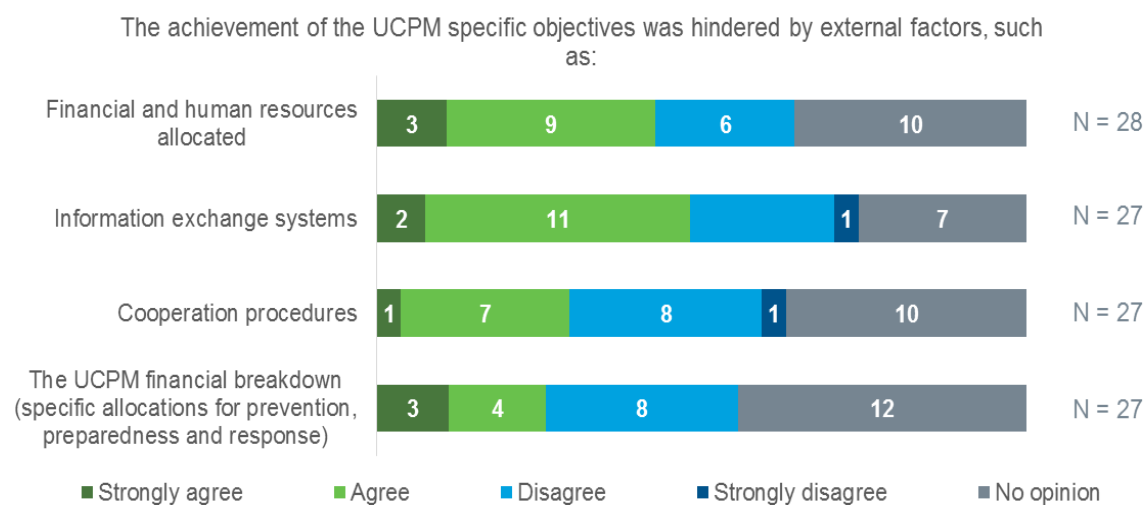
Source: ICF, based on survey results

Figure A9.79 Please indicate to what extent you agree or disagree with the statements below



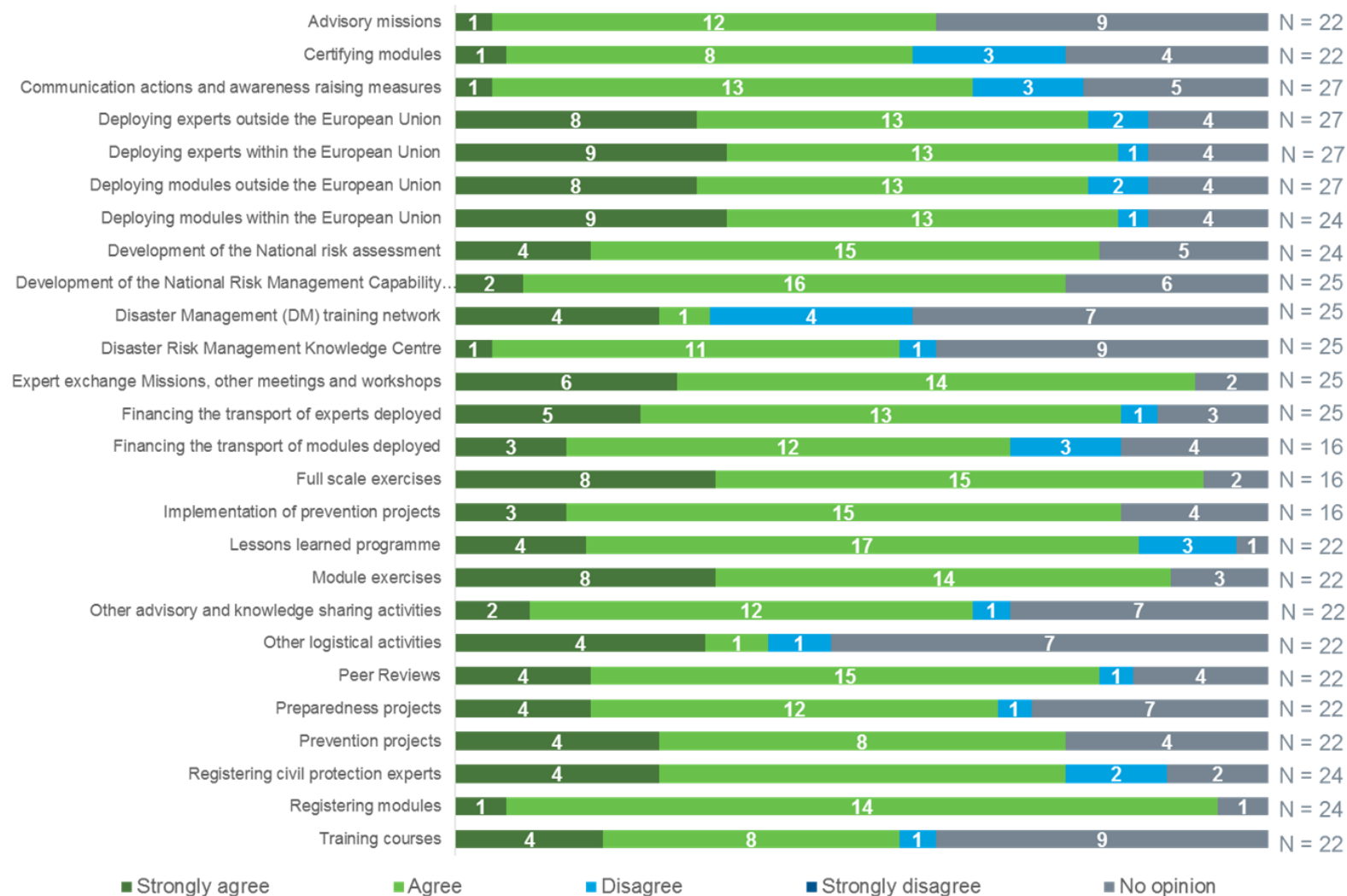
Source: ICF, based on survey results

Figure A9.80 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

The following activities have been carried out in an efficient manner (the time frame and procedures were respected, and intended results were delivered and/or are on course to be delivered):



The following activities have been carried out in an efficient manner (the time frame and procedures were respected, and intended results were delivered and/or are on course to be delivered):

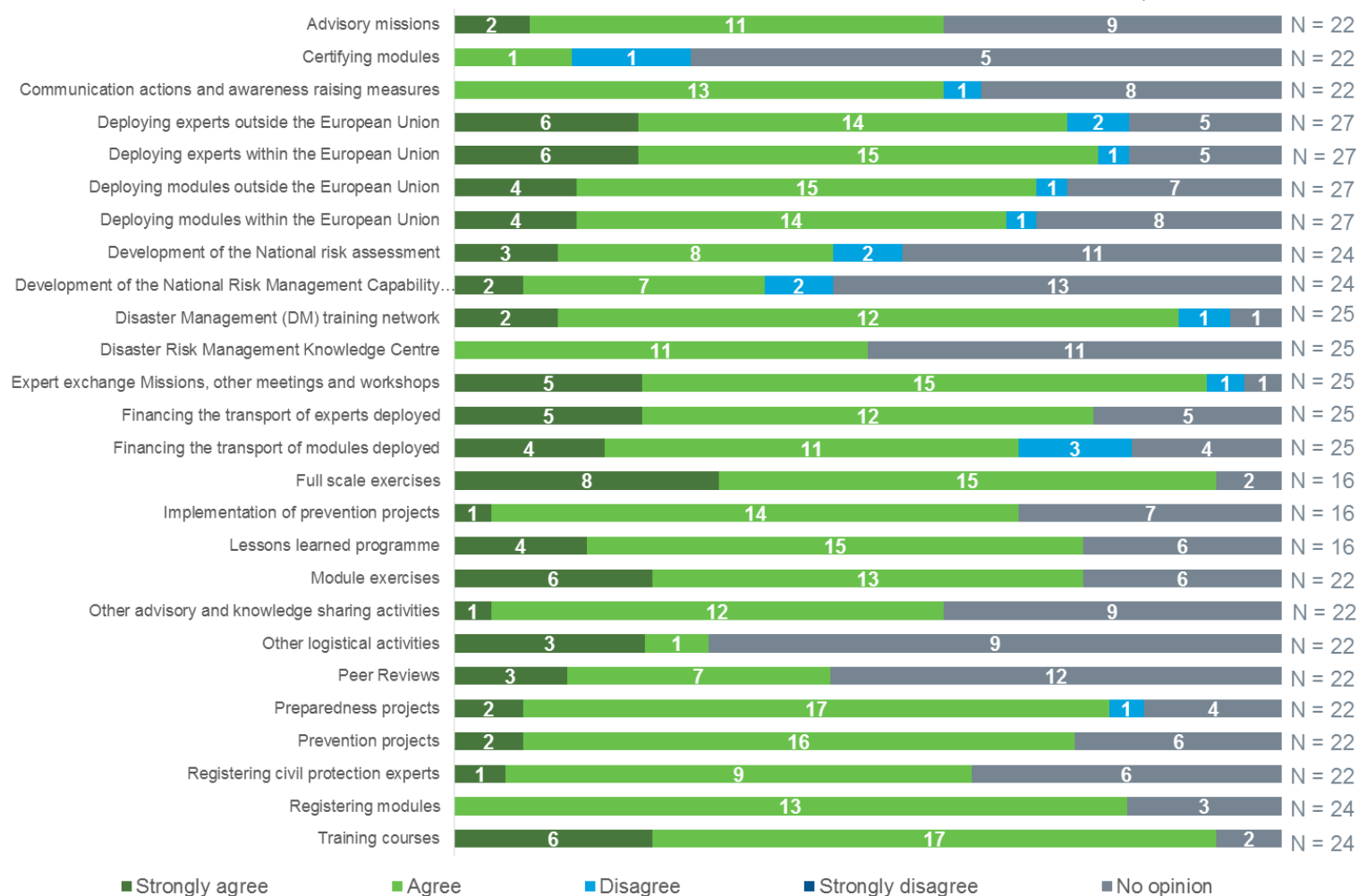
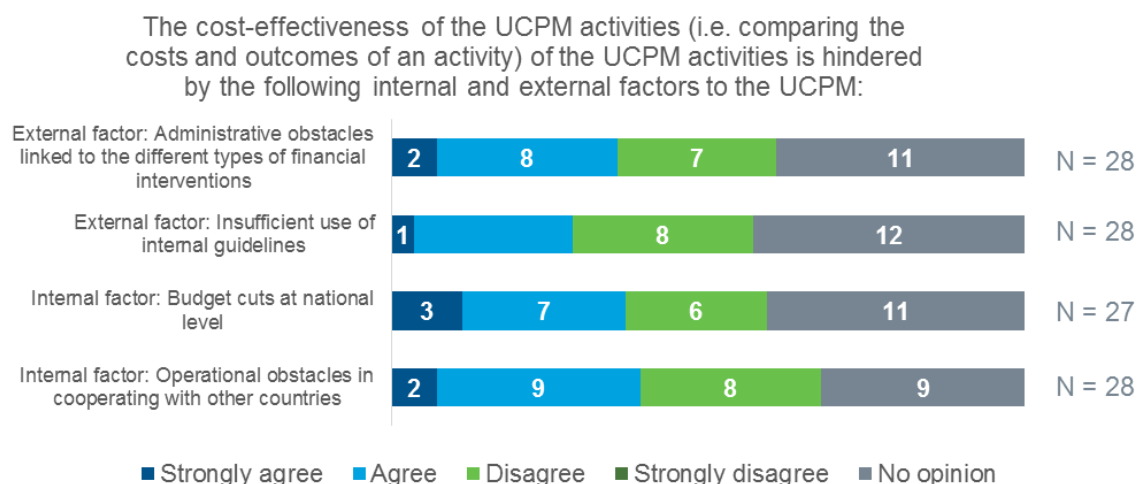
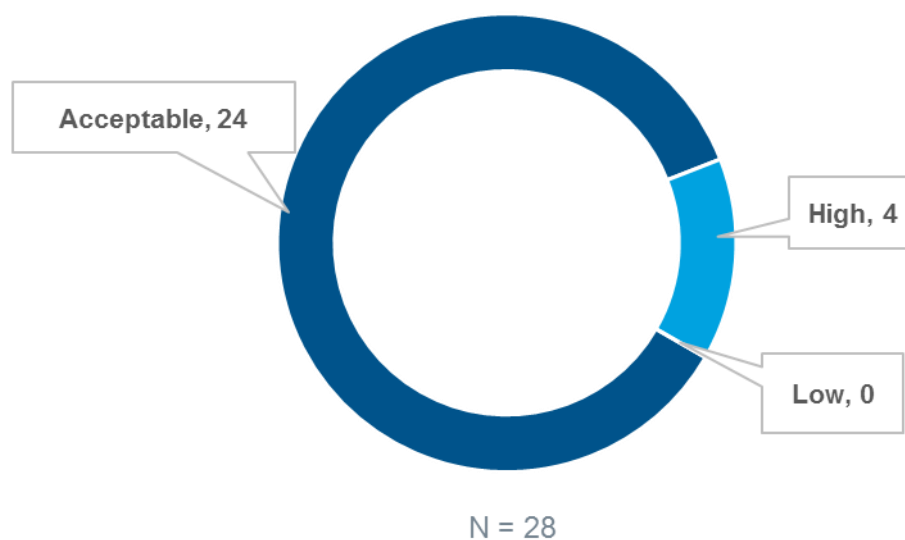


Figure A9.81 Please indicate to what extent you agree or disagree with the statements below



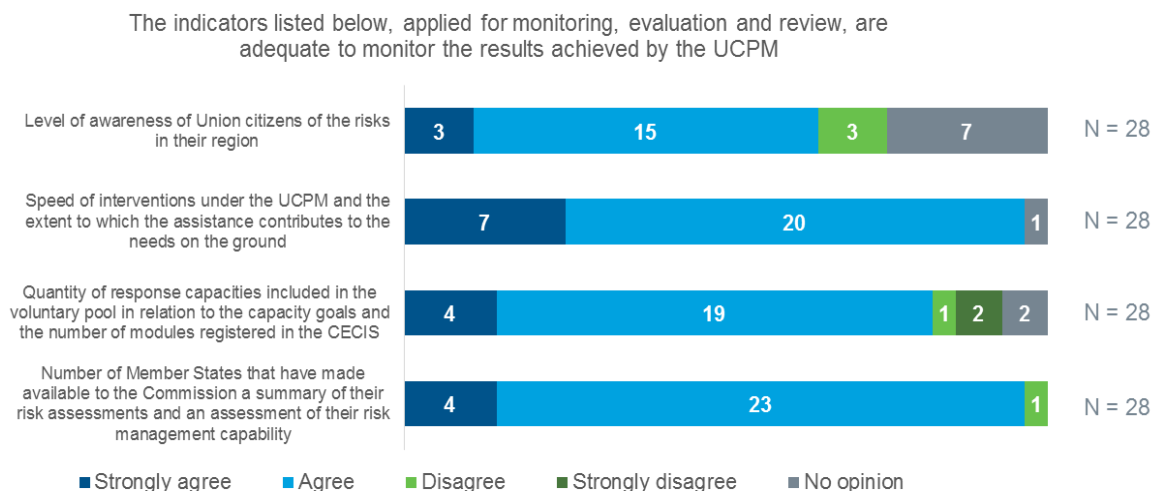
Source: ICF, based on survey results

Figure A9.82 In your opinion the overall administrative burden and its associated costs to implement the OCPM decision are:



Source: ICF, based on survey results

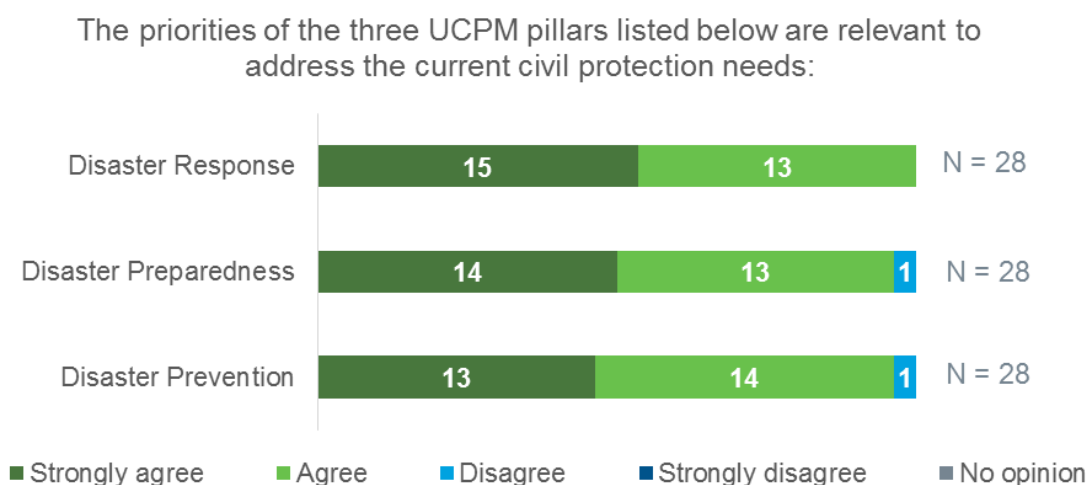
Figure A9.83 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

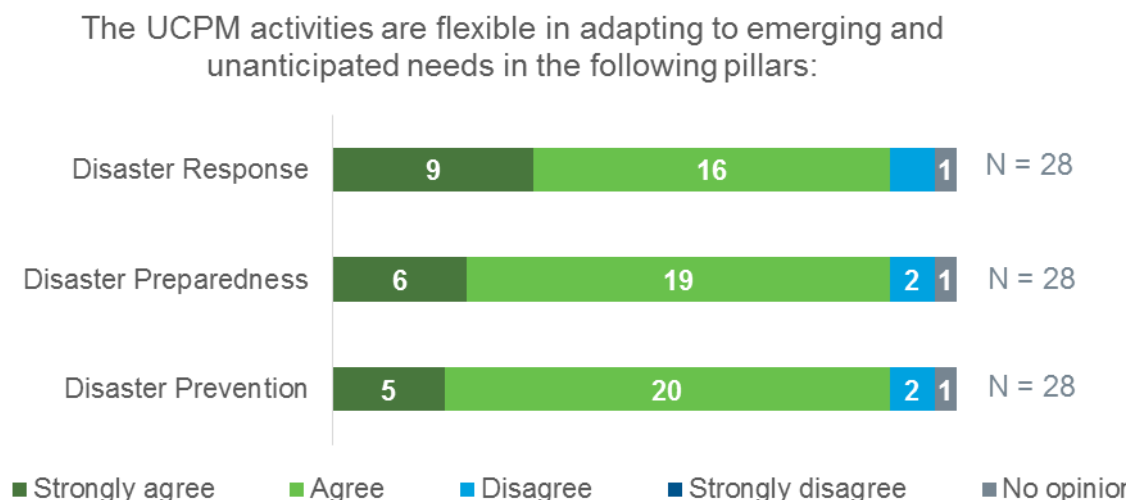
A9.3.1.7 Relevance

Figure A9.84 Please indicate to what extent you agree or disagree with the statements below



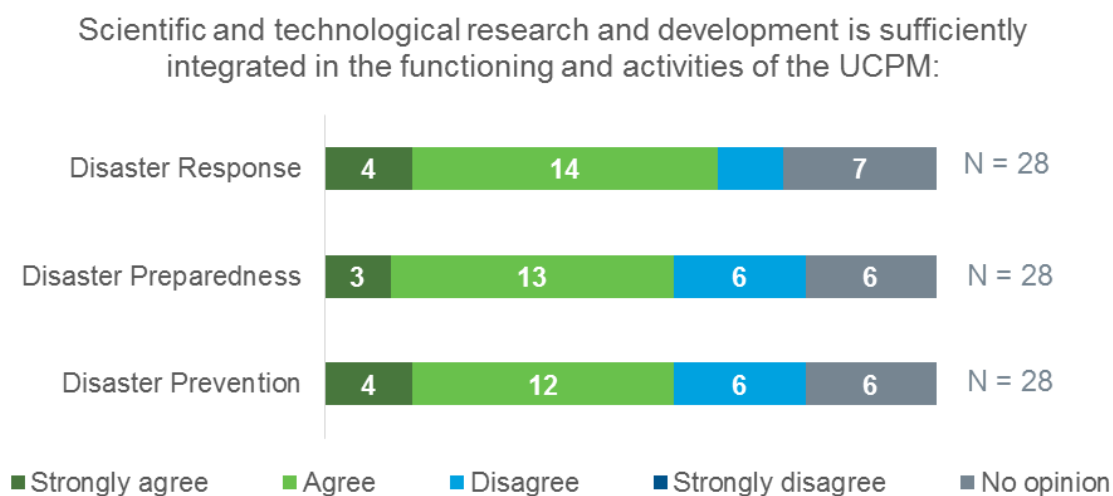
Source: ICF, based on survey results

Figure A9.85 Please indicate to what extent you agree or disagree with the statements below



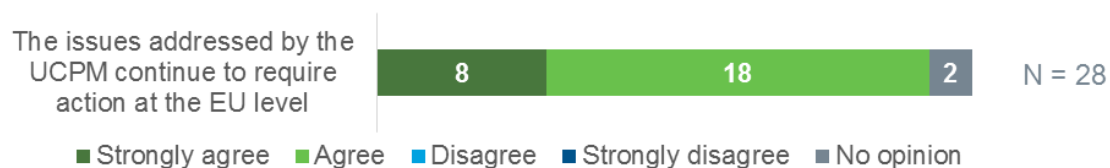
Source: ICF, based on survey results

Figure A9.86 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

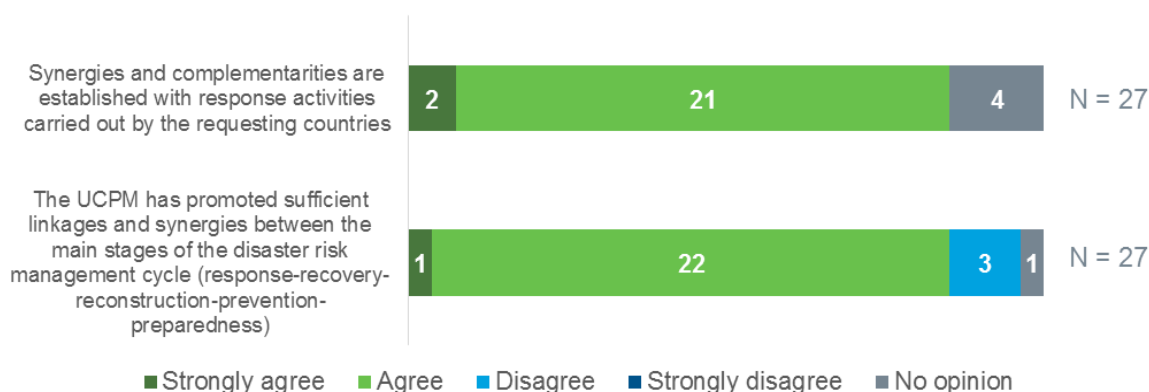
Figure A9.87 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

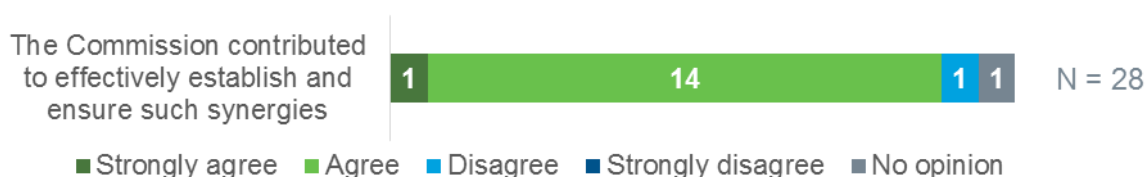
A9.3.1.8 Coherence

Figure A9.88 Please indicate to what extent you agree or disagree with the statements below



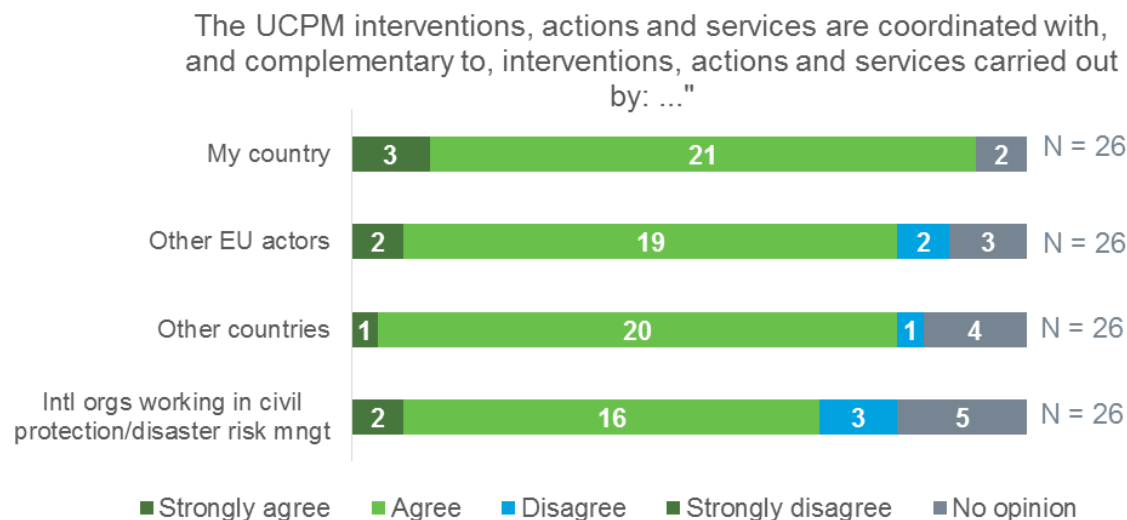
Source: ICF, based on survey results

Figure A9.89 Please indicate to what extent you agree or disagree with the statements below



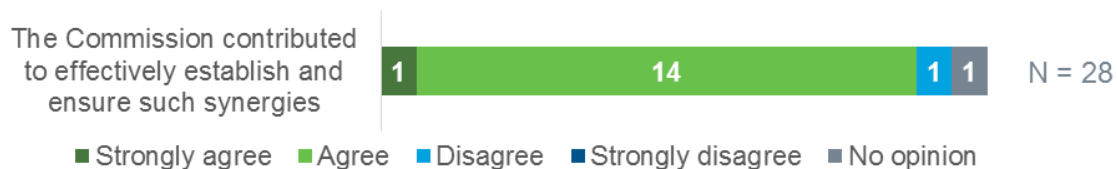
Source: ICF, based on survey results

Figure A9.90 Please indicate to what extent you agree or disagree with the statements below



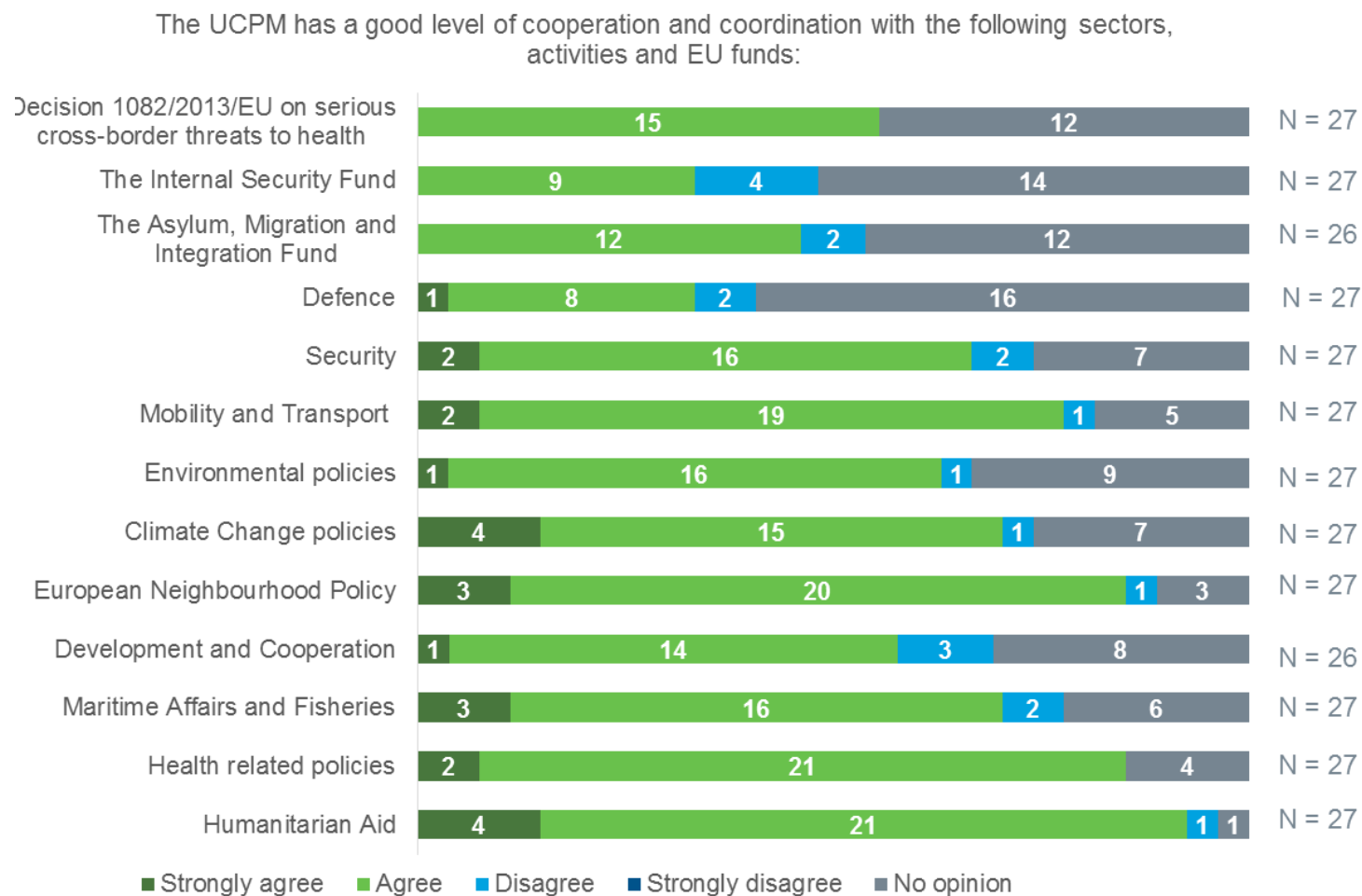
Source: ICF, based on survey results

Figure A9.91 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

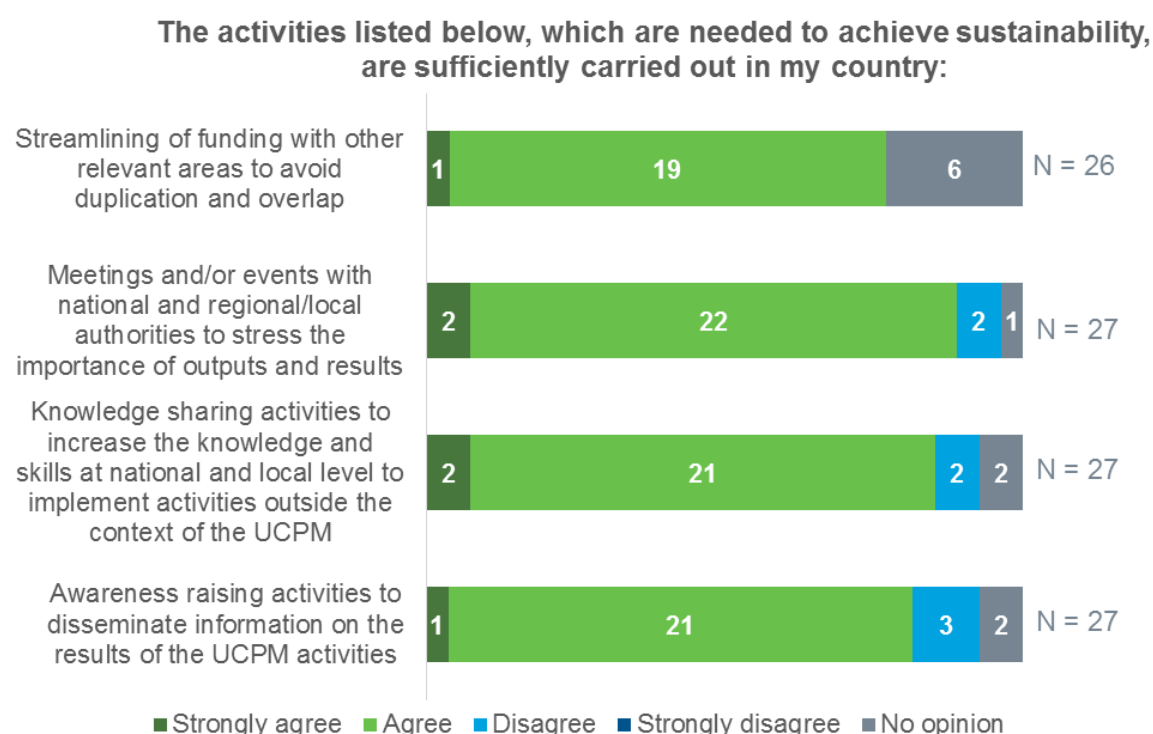
Figure A9.92 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

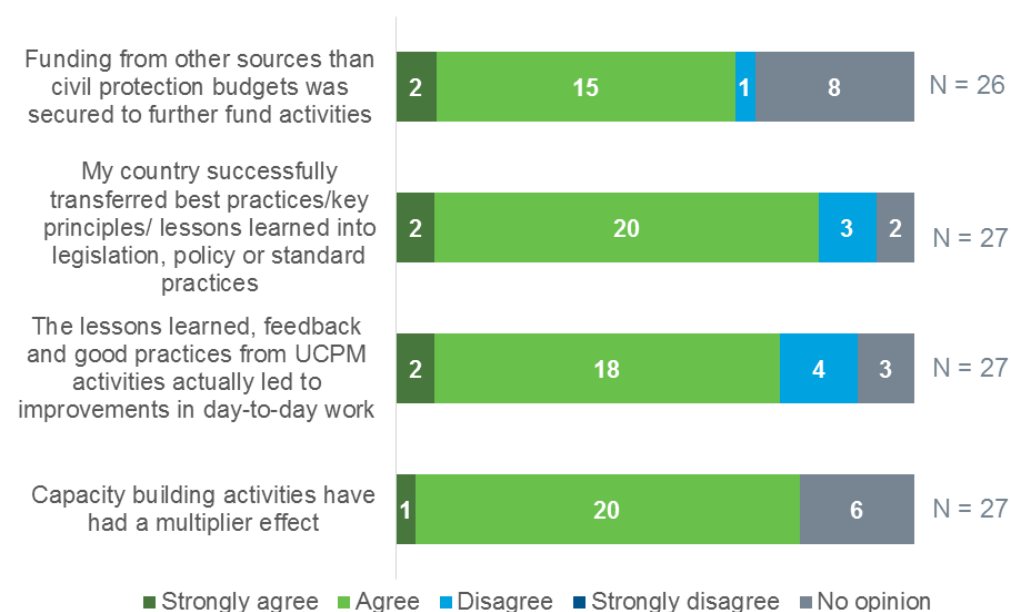
A9.3.1.9 Sustainability

Figure A9.93 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

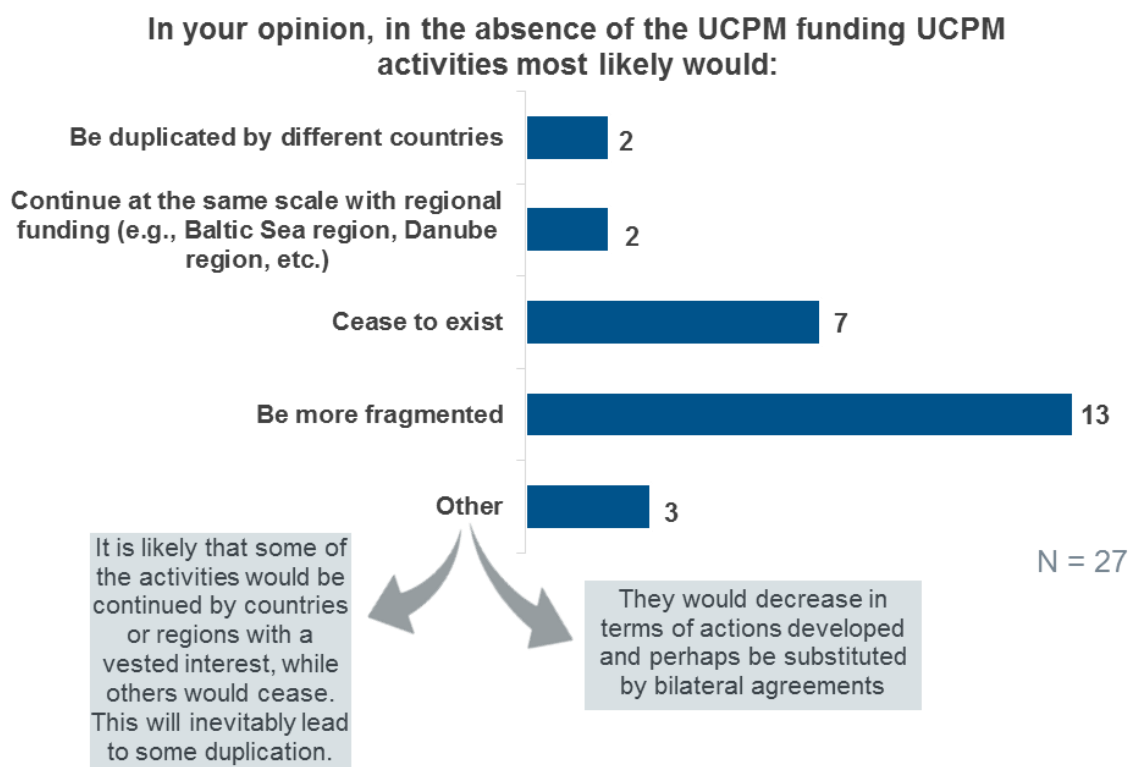
Figure A9.94 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

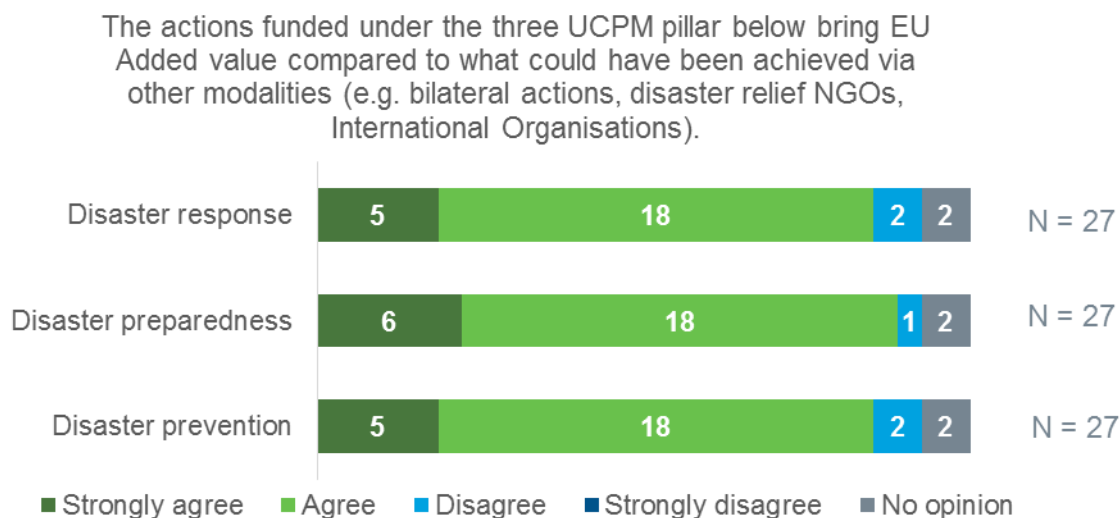
A9.3.1.10 EU Added Value

Figure A9.95 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.96 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

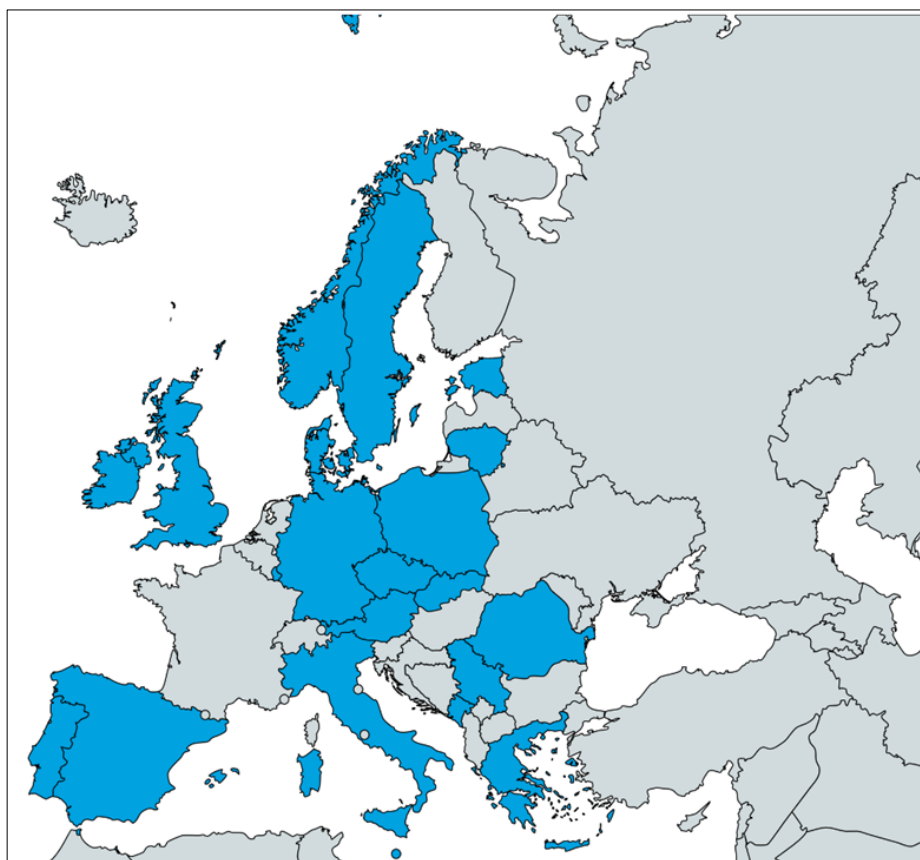
A9.4 National Training Coordinators and Training Centres

Figure A9.97 In which capacity do you respond to this survey?



Source: ICF, based on survey results

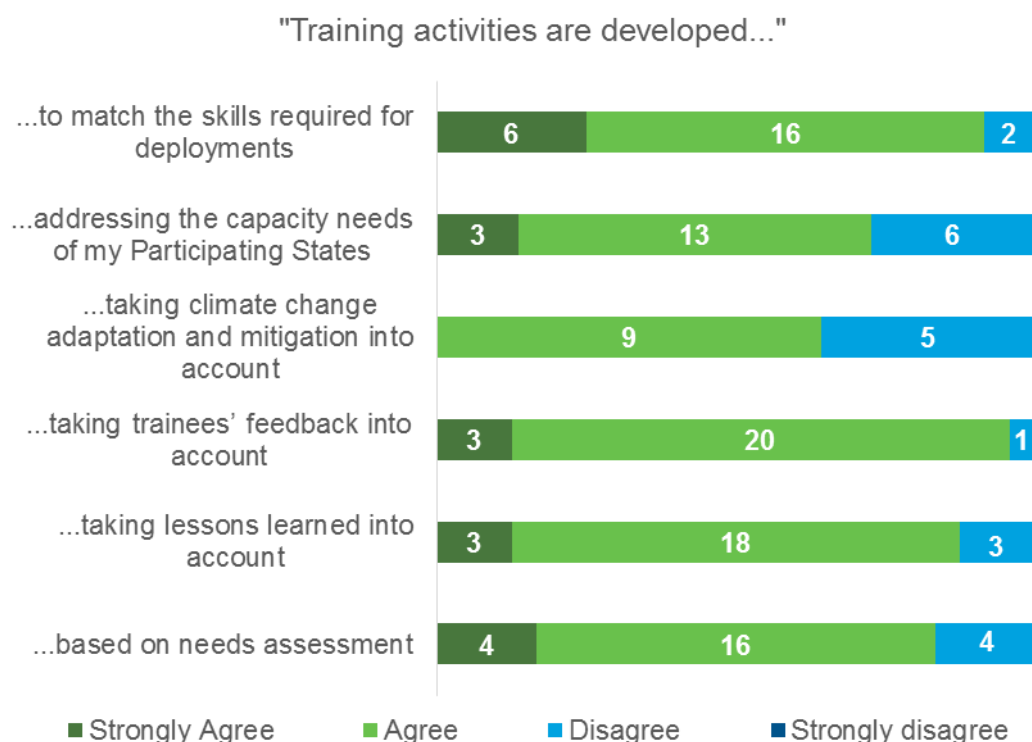
Figure A9.98 Country of origin of respondents



Source: ICF, based on survey results

A9.4.1.2 Relevance

Figure A9.99 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 3 (addressing capacity needs), 11 (taking climate into account), 1 (taking trainees feedback into account), 1 (taking lessons learned into account), 1 (based on needs assessment)

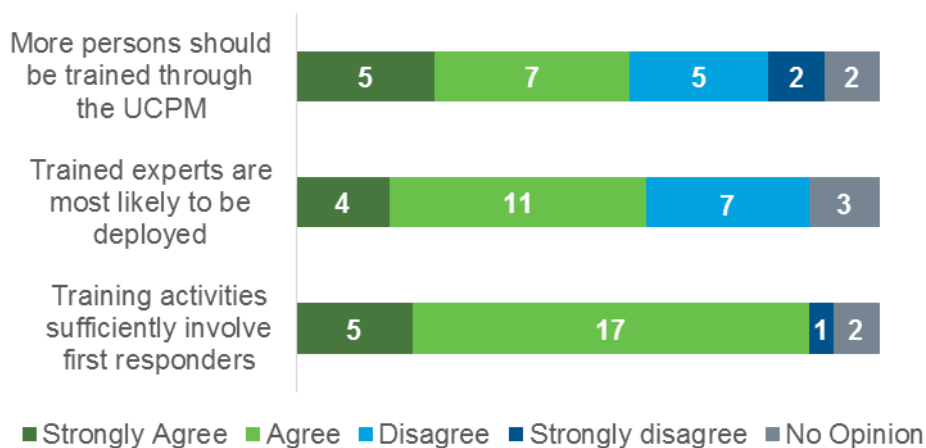
Source: ICF, based on survey results

Figure A9.100 Please indicate to what extent you agree or disagree with the statements below



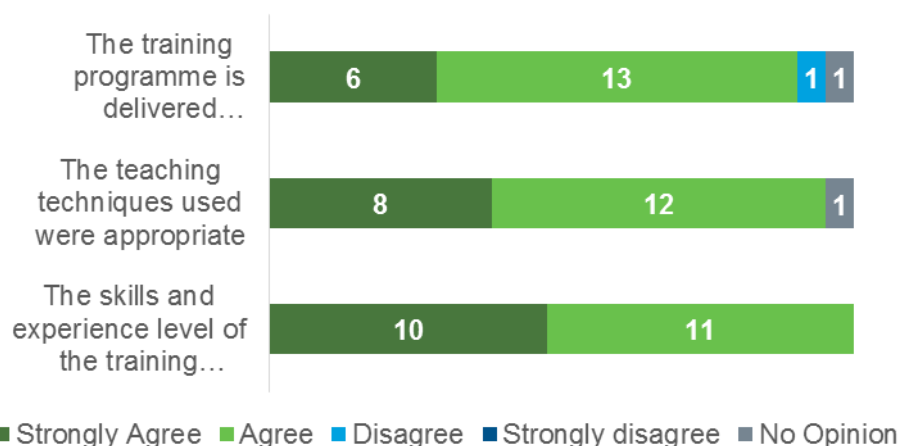
Source: ICF, based on survey results

Figure A9.101 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

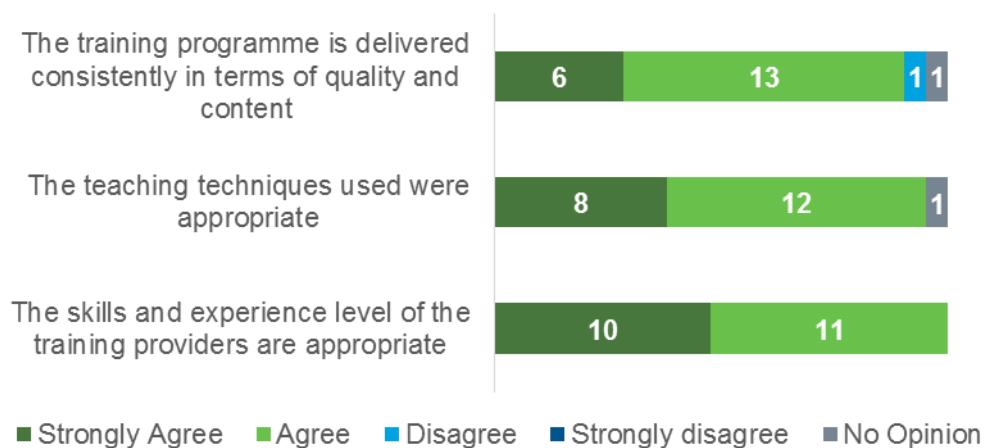
Figure A9.102 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

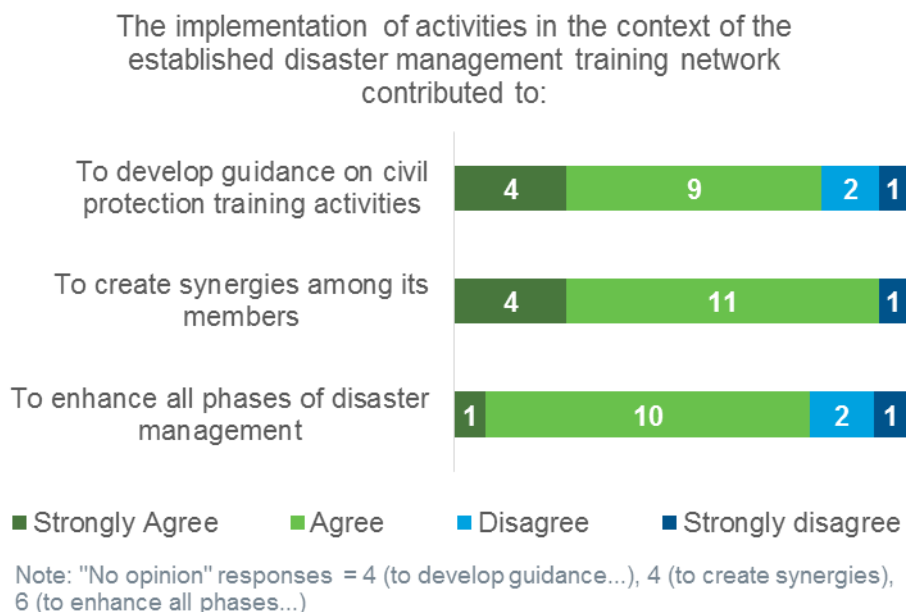
A9.4.1.3 Quality

Figure A9.103 Please indicate to what extent you agree or disagree with the statements below



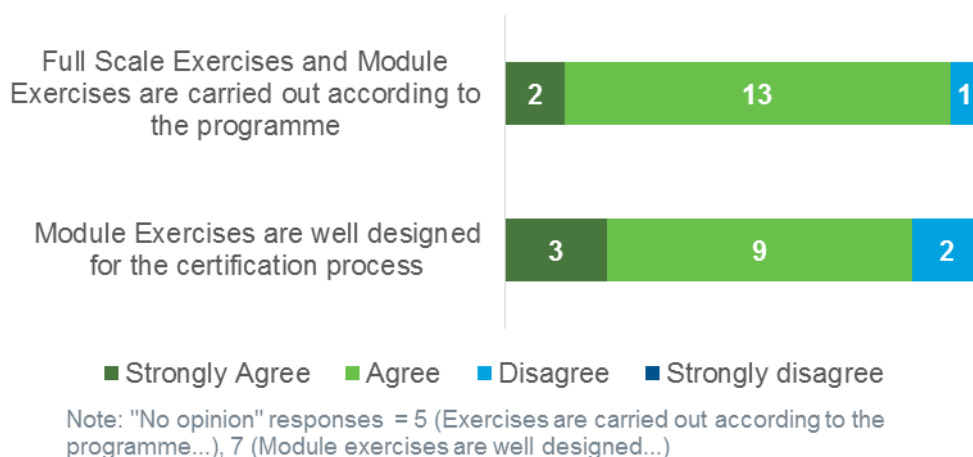
Source: ICF, based on survey results

Figure A9.104 Please indicate to what extent you agree or disagree with the statements below



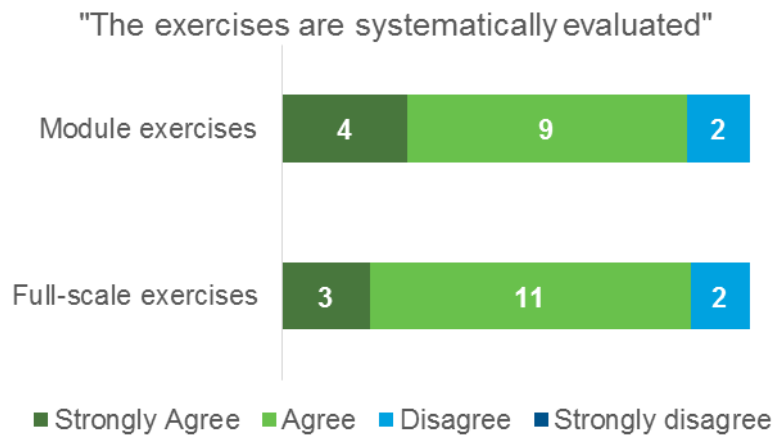
Source: ICF, based on survey results

Figure A9.105 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.106 Please indicate to what extent you agree or disagree with the statements below

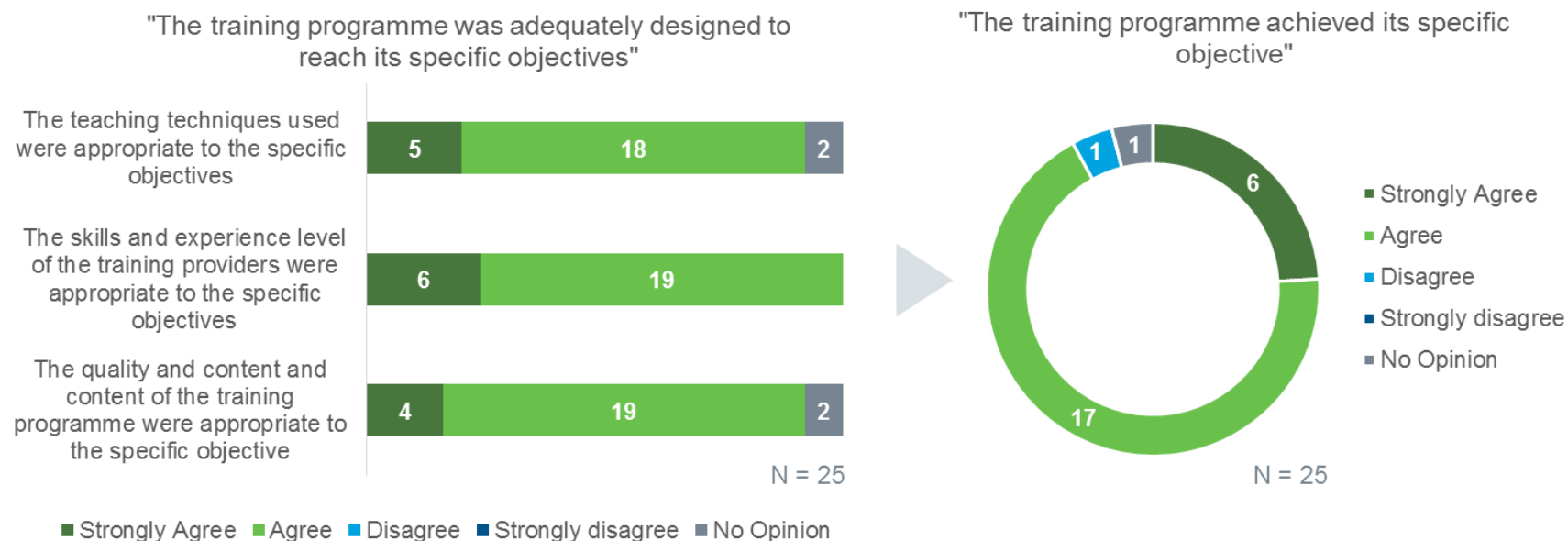


Note: "No opinion" responses = 7 (Module exercises), 6 (Full-scale exercises)

Source: ICF, based on survey results

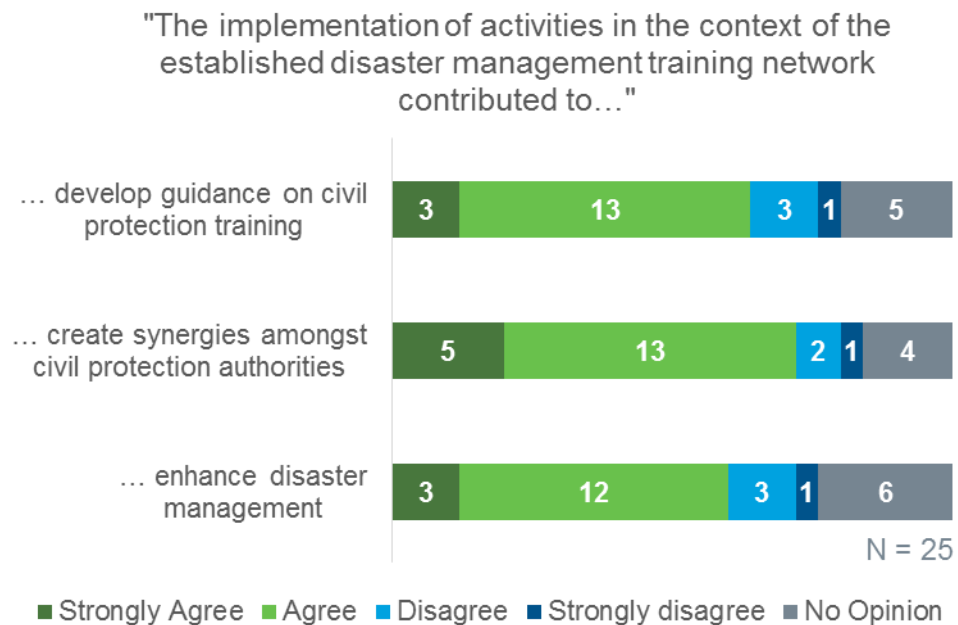
A9.4.1.4 Effectiveness

Figure A9.107 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

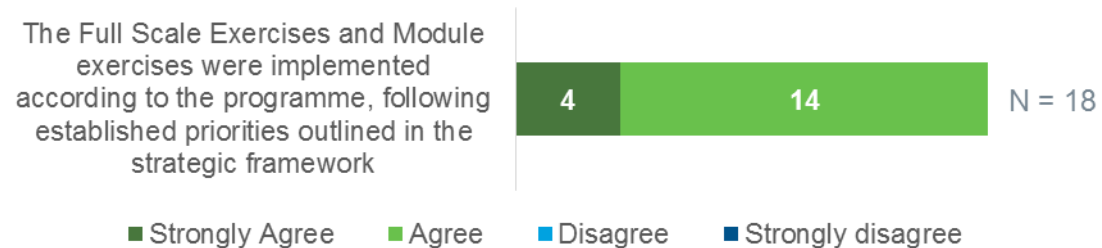
Figure A9.108 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 5 (to develop guidance...), 4 (to create synergies), 6 (to enhance all phases...)

Source: ICF, based on survey results

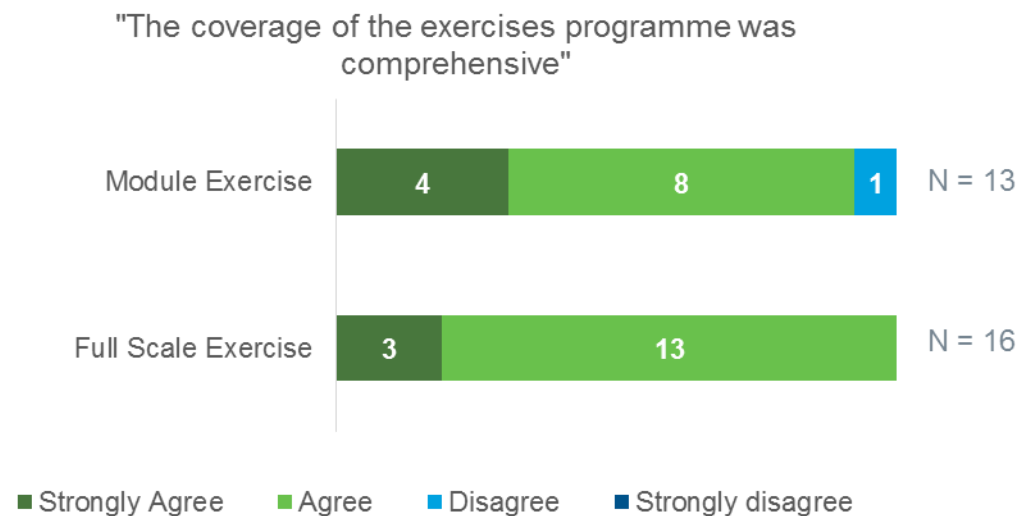
Figure A9.109 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 5

Source: ICF, based on survey results

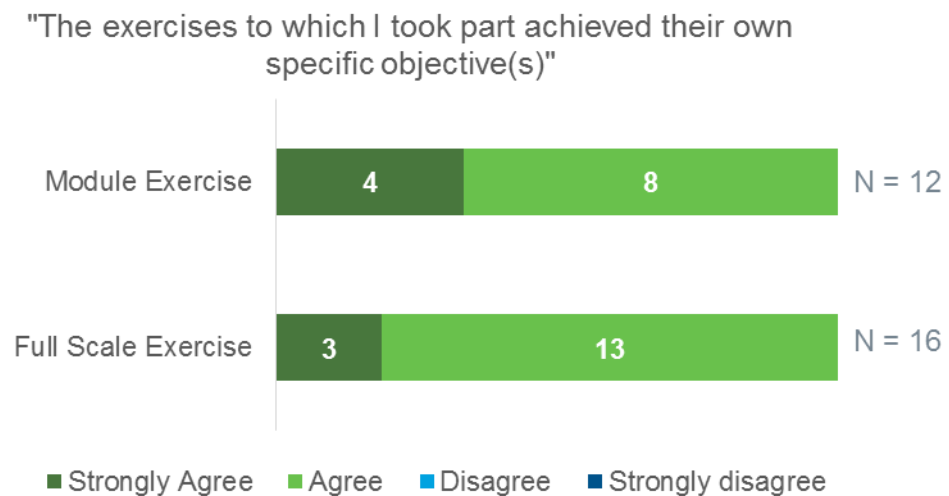
Figure A9.110 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 11 (Module exercise), 8 (Full scale exercise)

Source: ICF, based on survey results

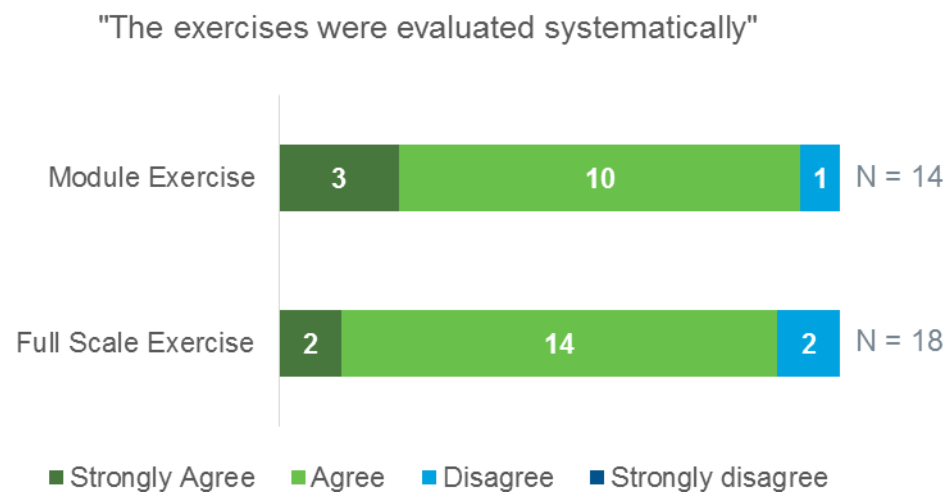
Figure A9.111 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 11 (Module exercise), 7 (Full scale exercise)

Source: ICF, based on survey results

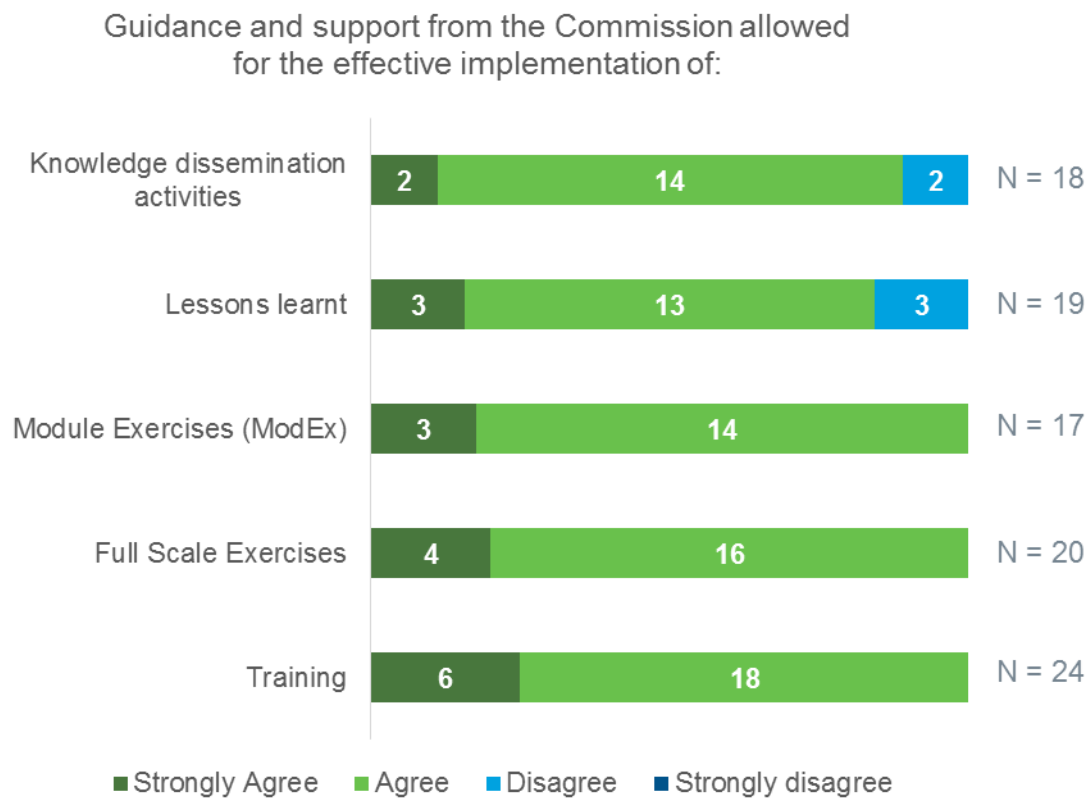
Figure A9.112 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 9 (Module exercise), 6 (Full scale exercise)

Source: ICF, based on survey results

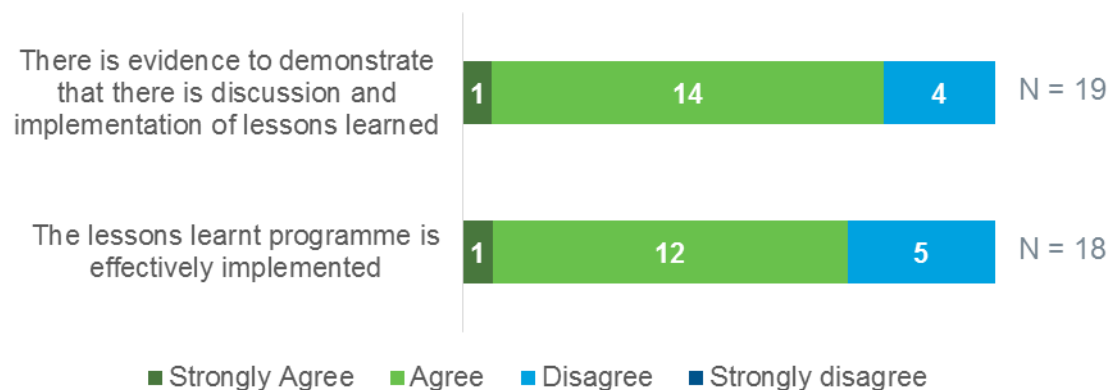
Figure A9.113 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 5 (Knowledge...), 3 (Lessons learnt), 7 (ModEX), 4 (Full scale exercises), 1 (training)

Source: ICF, based on survey results

Figure A9.114 Please indicate to what extent you agree or disagree with the statements below

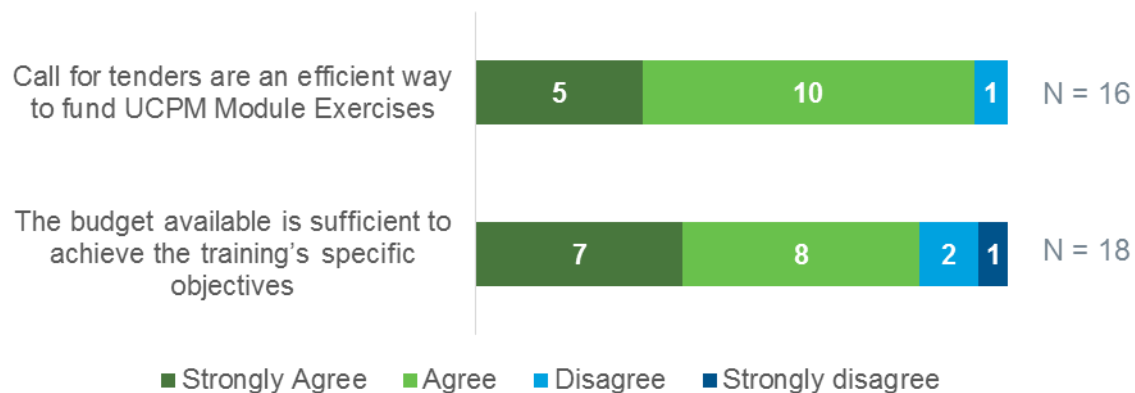


Note: "No opinion" responses = 4 (There is evidence...), 5 (The lessons learnt...)

Source: ICF, based on survey results

A9.4.1.5 Efficiency

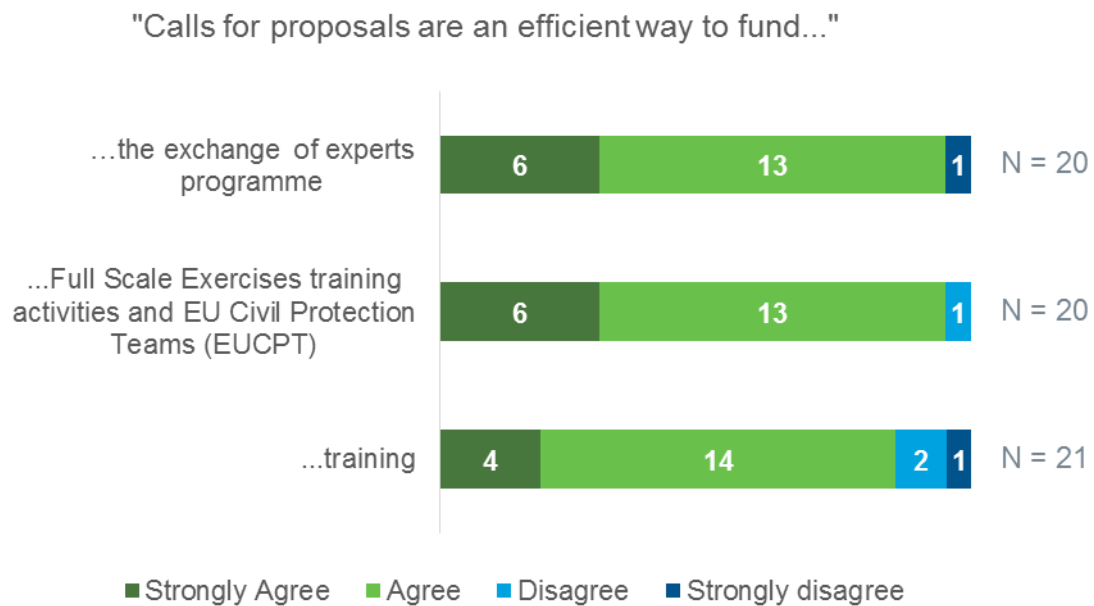
Figure A9.115 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 7 (call for tenders...), 7 (budget available is sufficient)

Source: ICF, based on survey results

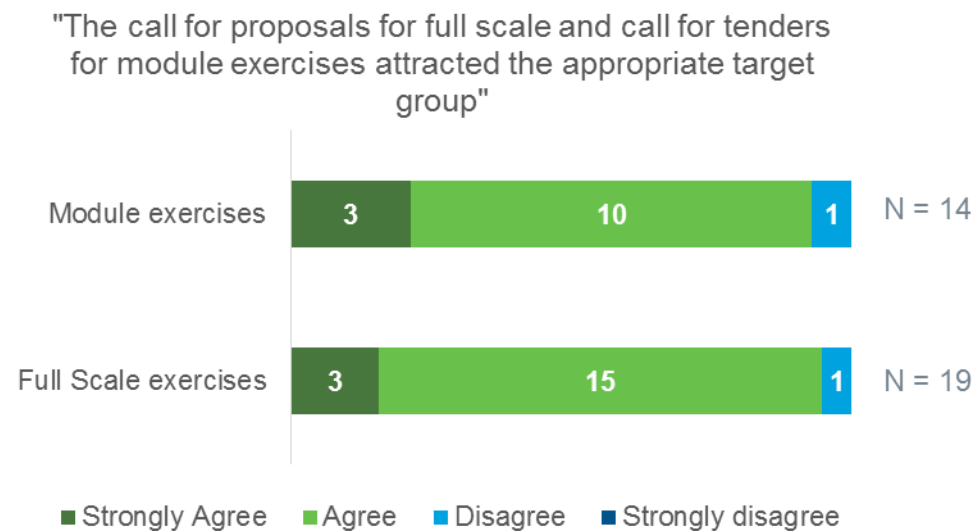
Figure A9.116 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 5 (Exchange of experts), 4 (EUCPT), 4 (Training)

Source: ICF, based on survey results

Figure A9.117 Please indicate to what extent you agree or disagree with the statements below

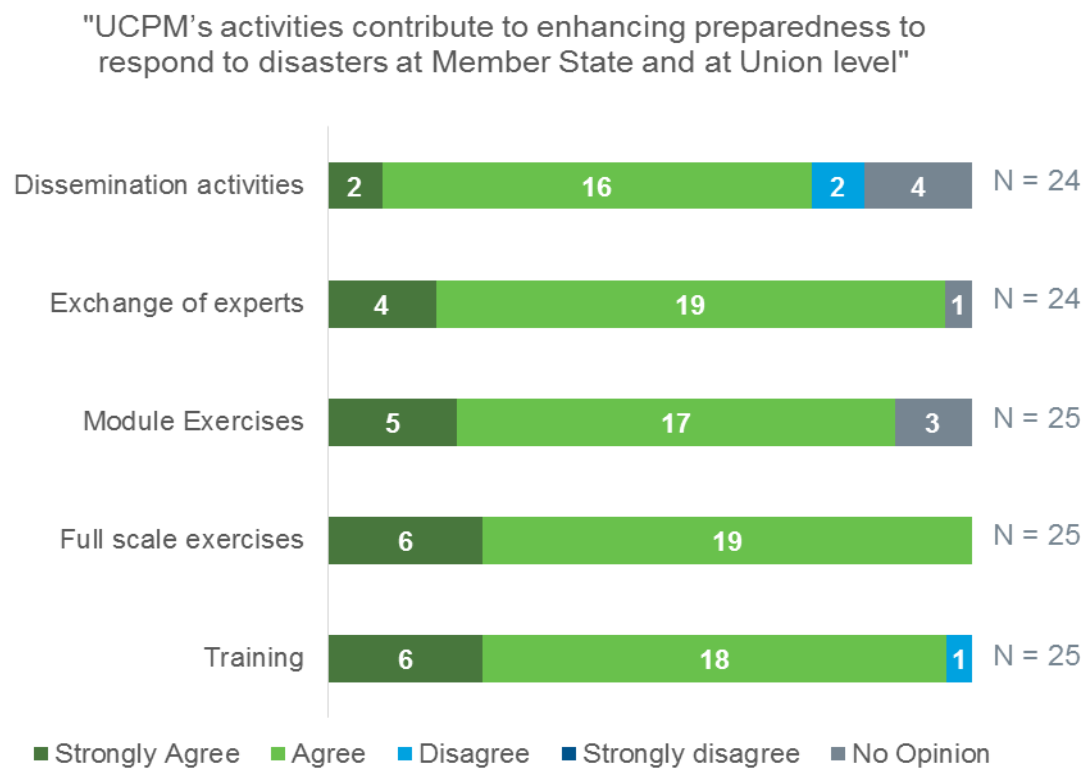


Note: "No opinion" responses = 10 (Module exercise), 5 (Full scale exercise)

Source: ICF, based on survey results

A9.4.1.6 Added Value

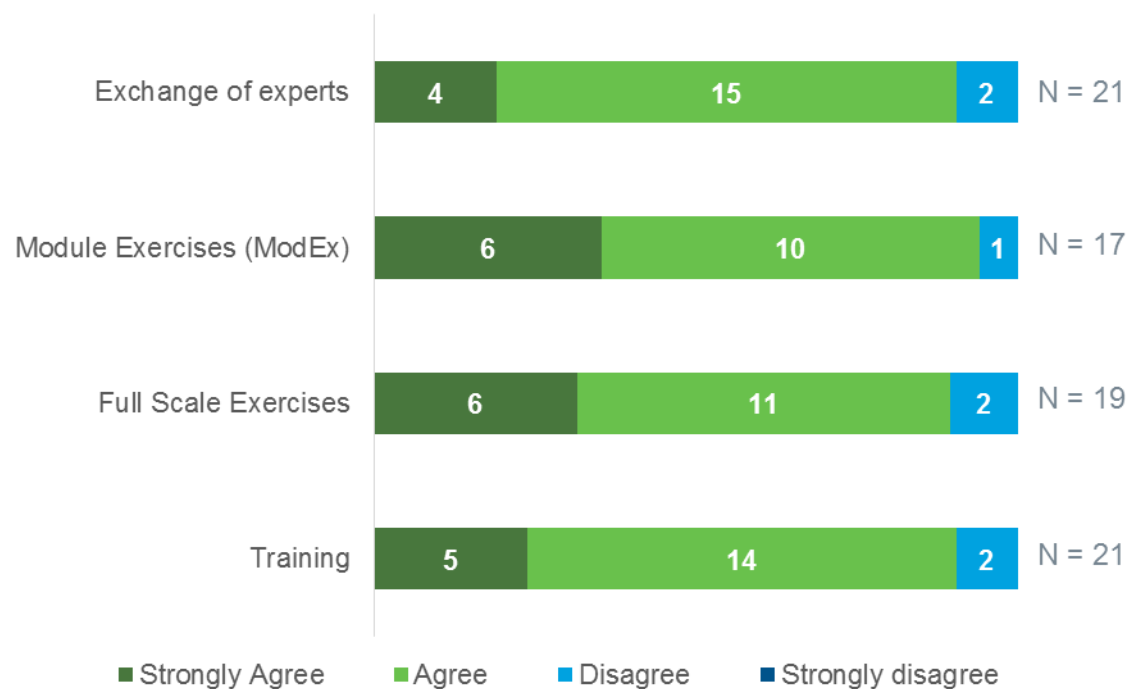
Figure A9.118 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.119 Please indicate to what extent you agree or disagree with the statements below

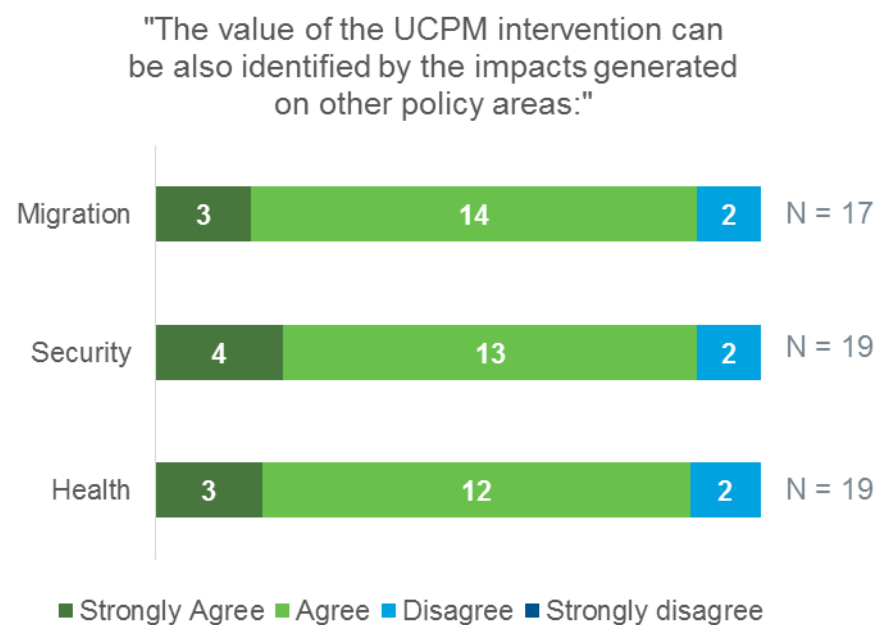
"UCPM is a unique source of funding for capacity building activities in the field of civil protection at transnational level"



Note: "No opinion" responses = 3 (exchange), 6 (ModEX), 4 (full scale exercises), 3 (training)

Source: ICF, based on survey results

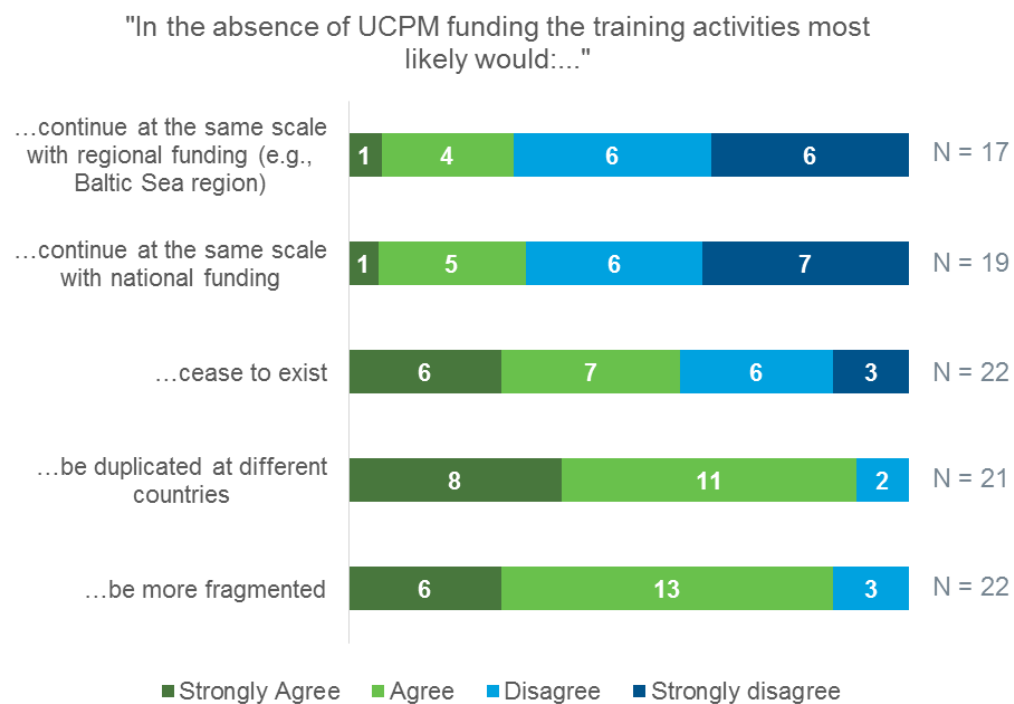
Figure A9.120 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 5 (migration), 5 (security), 7 (health)

Source: ICF, based on survey results

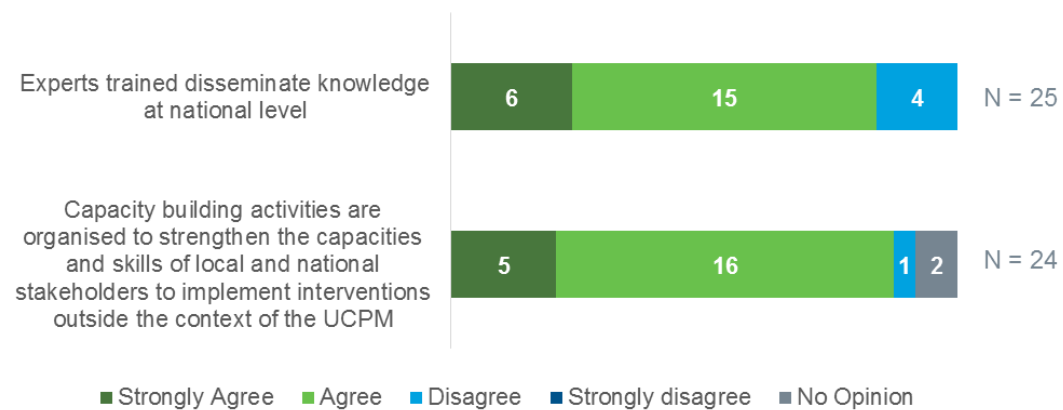
Figure A9.121 Please indicate to what extent you agree or disagree with the statements below



Note: "No opinion" responses = 6 (same scale with regional funds), 4 (same scale with national funds), 2 (cease to exist), 2 (be duplicated), 2 (be more fragmented)

Source: ICF, based on survey results

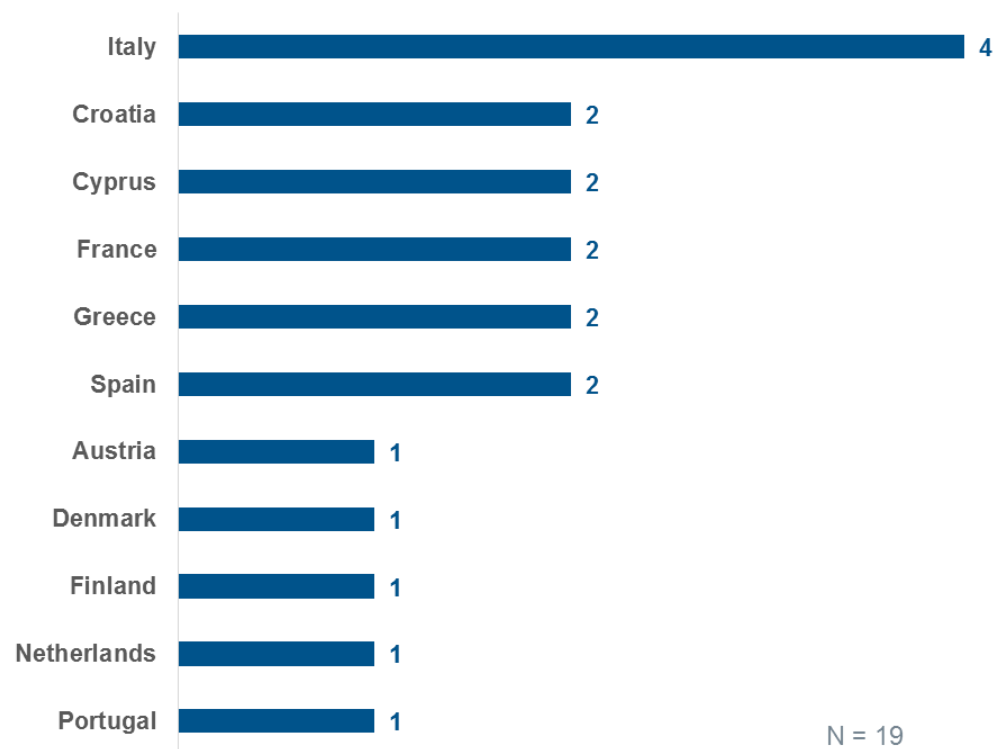
Figure A9.122 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

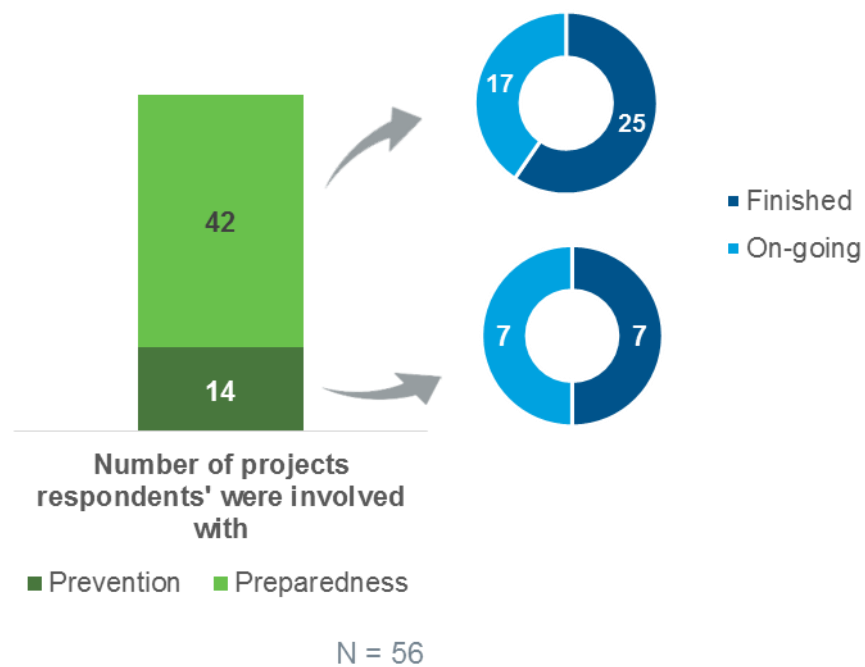
A9.5 Project leads

Figure A9.123 Respondents' nationality



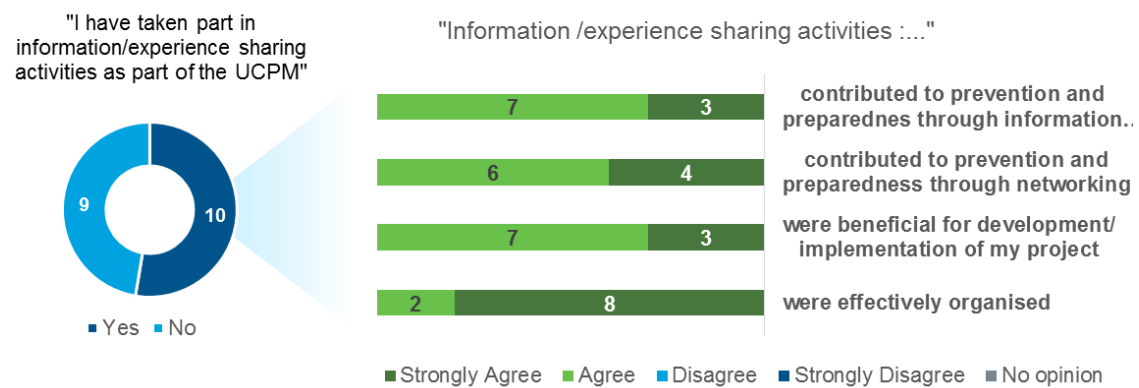
Source: ICF, based on survey results

Figure A9.124 Breakdown of respondents' projects



Source: ICF, based on survey results

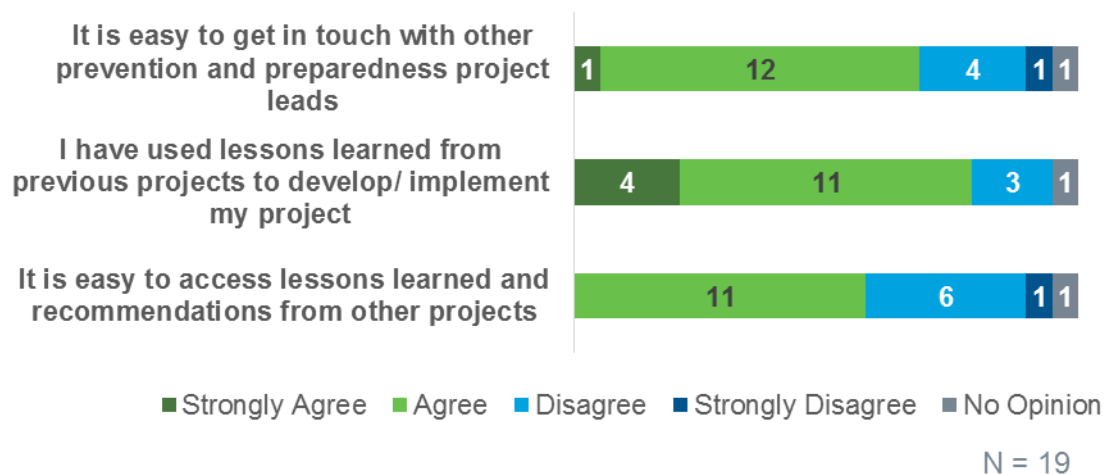
Figure A9.125 Please indicate to what extent you agree or disagree with the statements below



N = 10

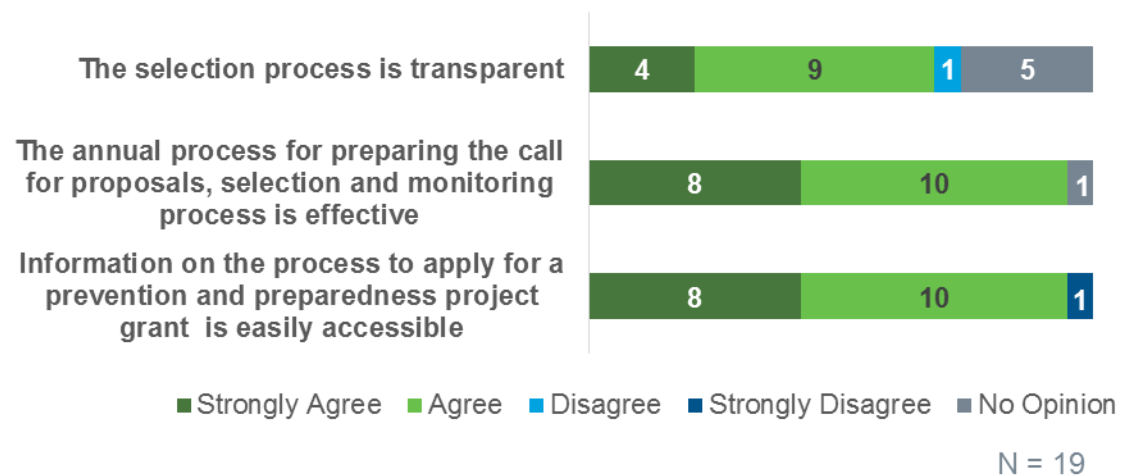
Source: ICF, based on survey results

Figure A9.126 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

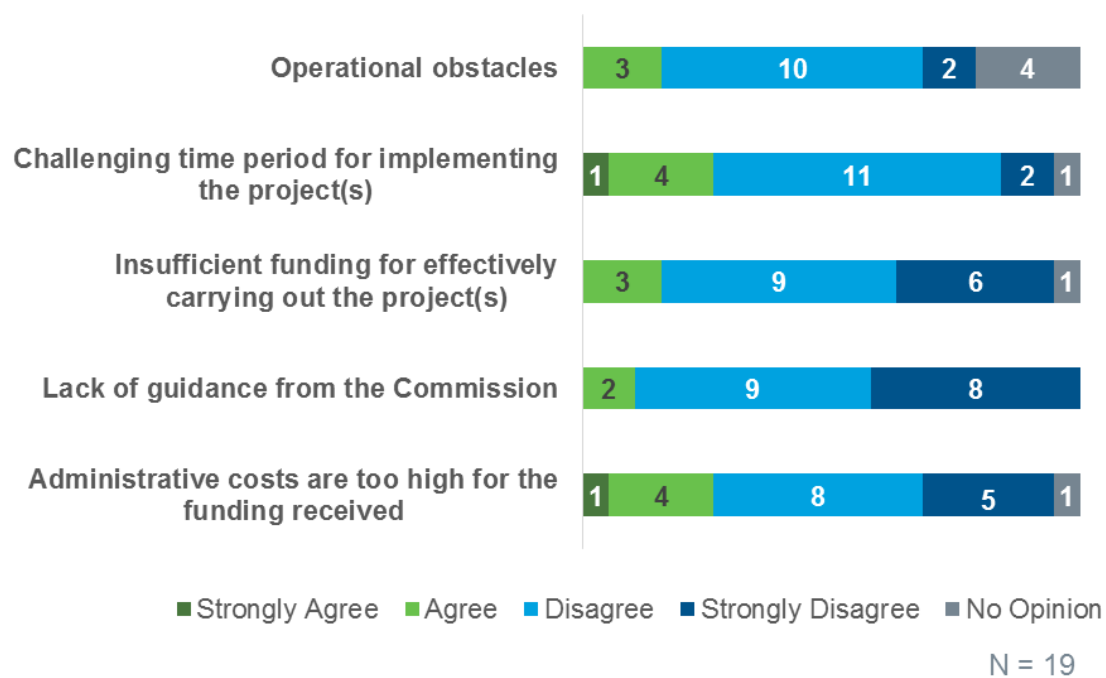
Figure A9.127 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

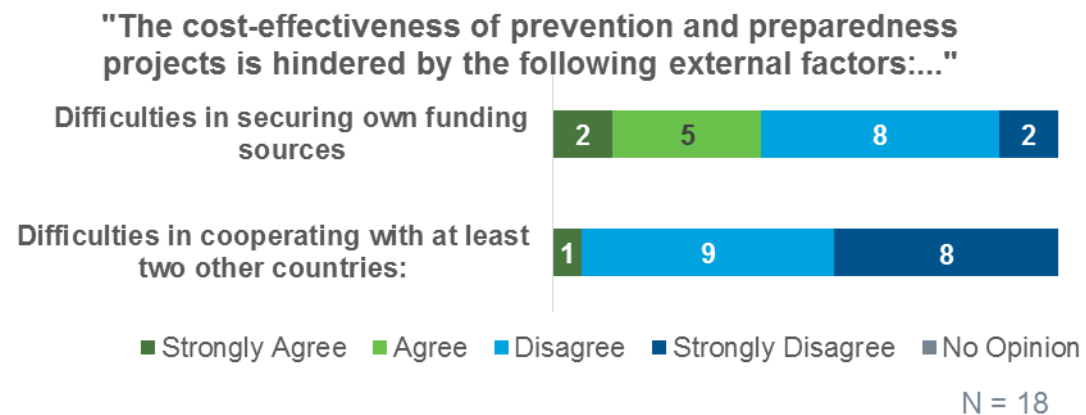
Figure A9.128 Please indicate to what extent you agree or disagree with the statements below

"The cost-effectiveness of prevention and preparedness projects is hindered by the following internal factors:..."



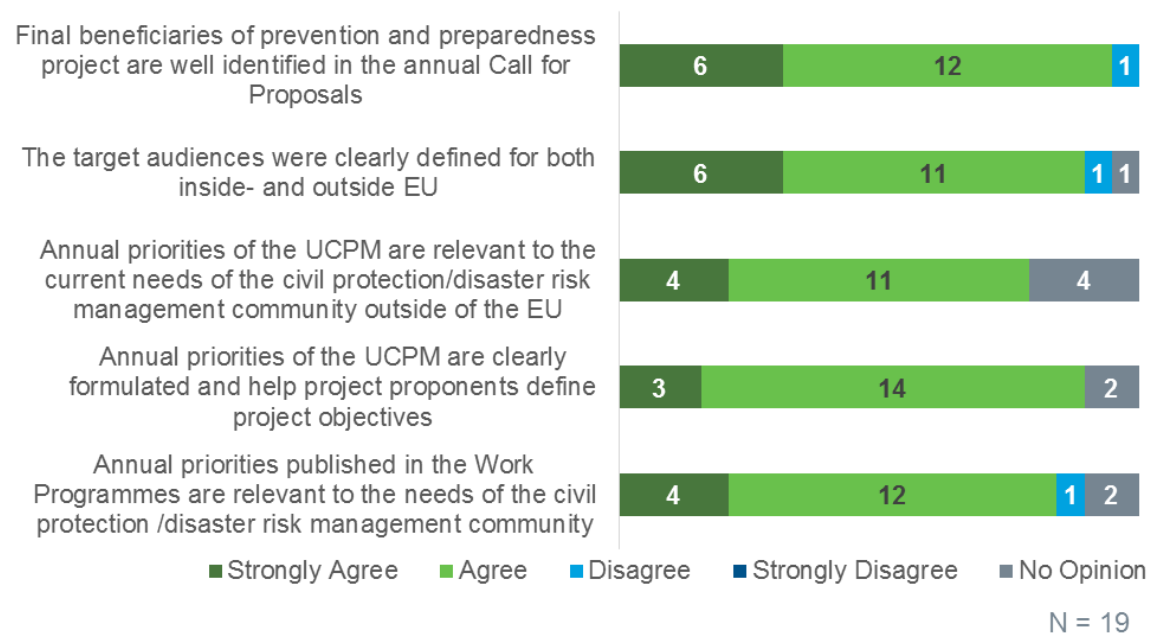
Source: ICF, based on survey results

Figure A9.129 Please indicate to what extent you agree or disagree with the statements below



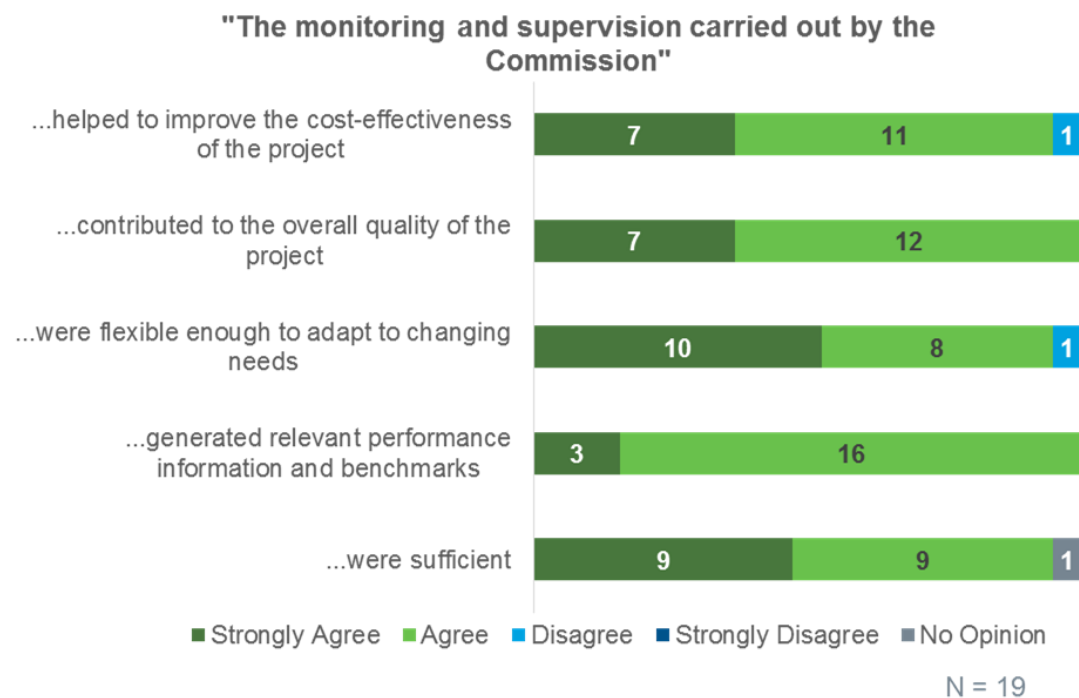
Source: ICF, based on survey results

Figure A9.130 Please indicate to what extent you agree or disagree with the statements below



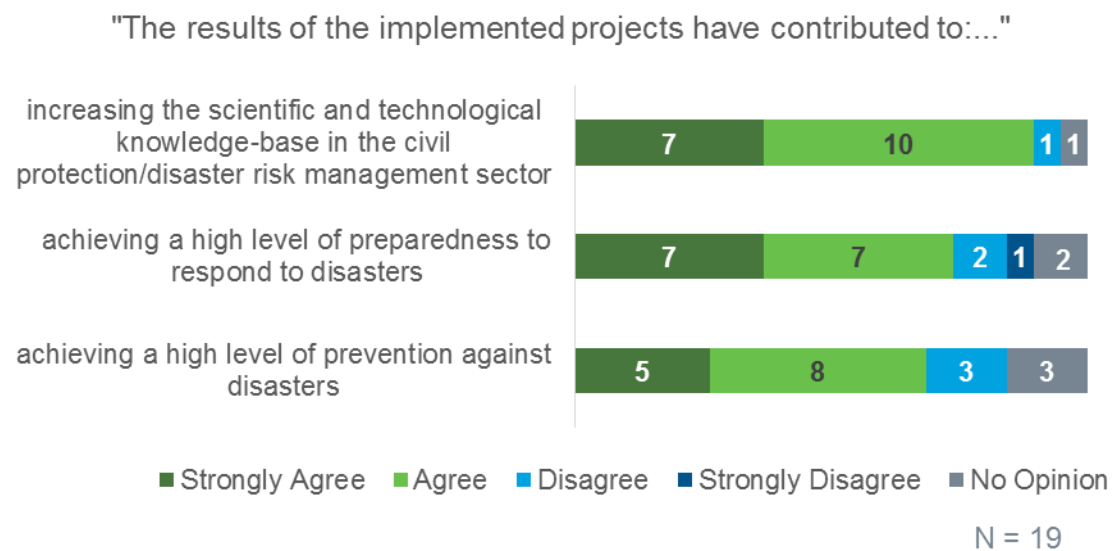
Source: ICF, based on survey results

Figure A9.131 Please indicate to what extent you agree or disagree with the statements below



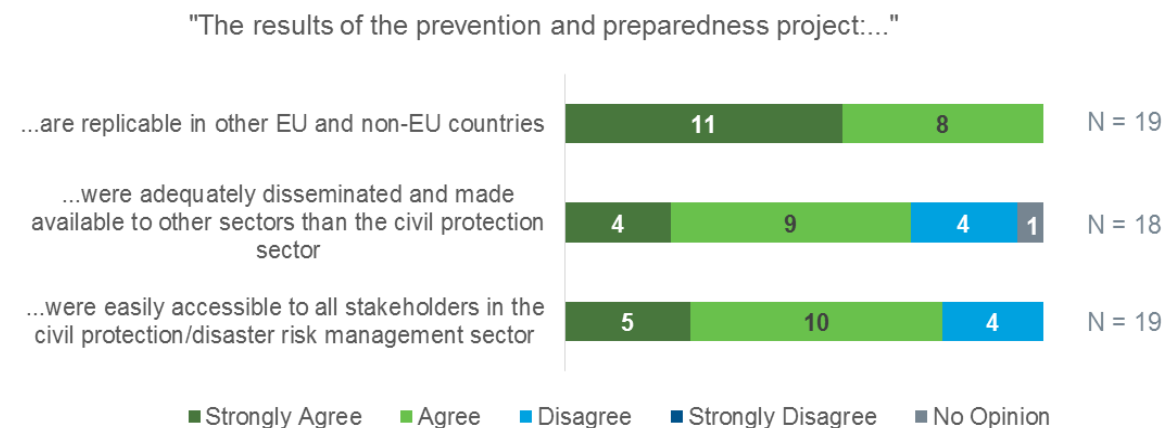
Source: ICF, based on survey results

Figure A9.132 Please indicate to what extent you agree or disagree with the statements below



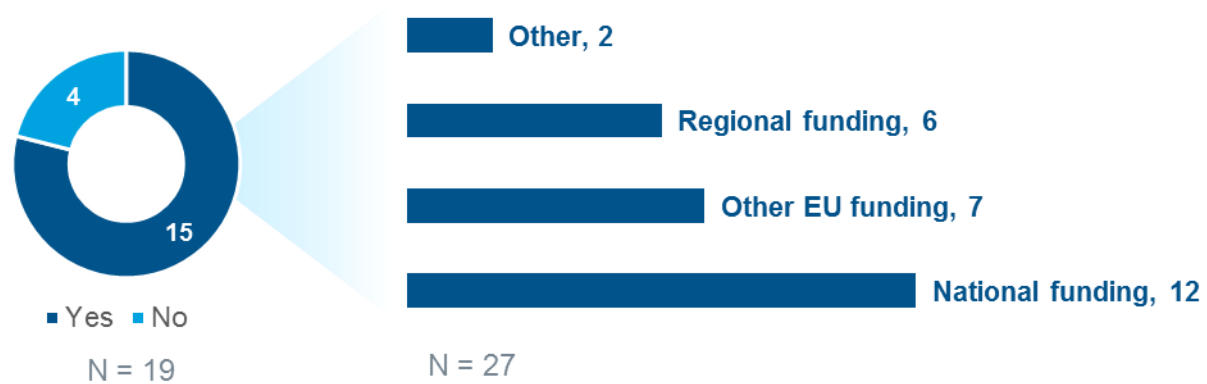
Source: ICF, based on survey results

Figure A9.133 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

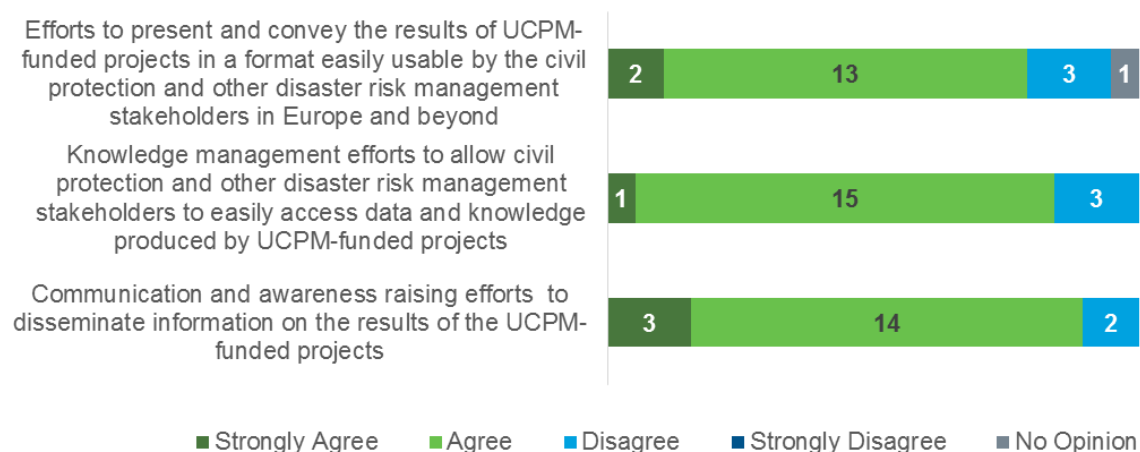
Figure A9.134 Is the project likely to be continued and/or scaled up with another funding once the UCPM has ceased? Which?



Source: ICF, based on survey results

Figure A9.135 Please indicate to what extent you agree or disagree with the statements below

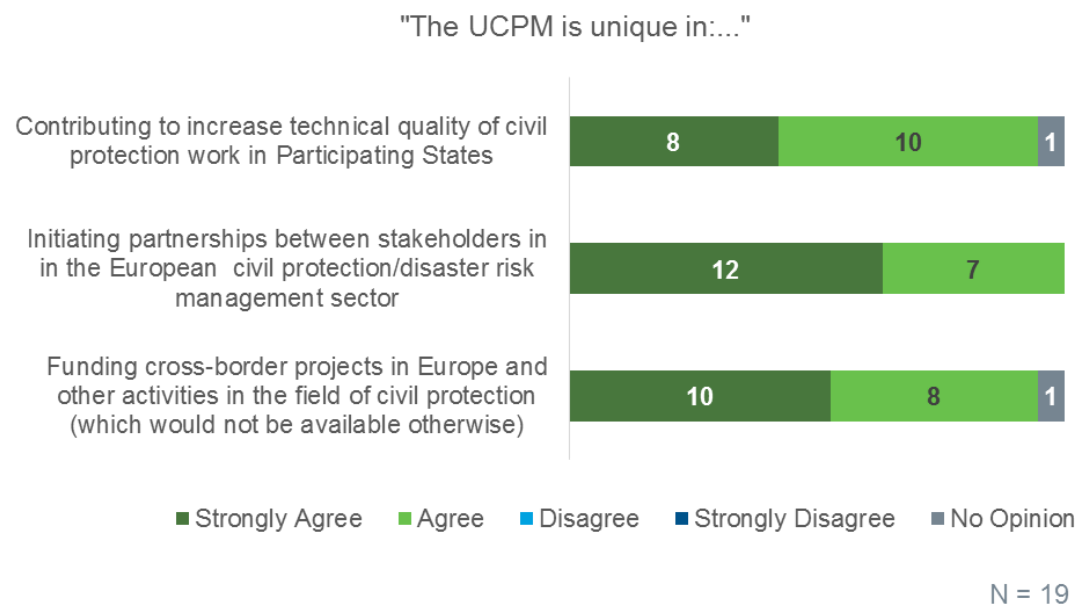
The following activities, are adequately carried out by the Commission and the UCPM:



N = 19

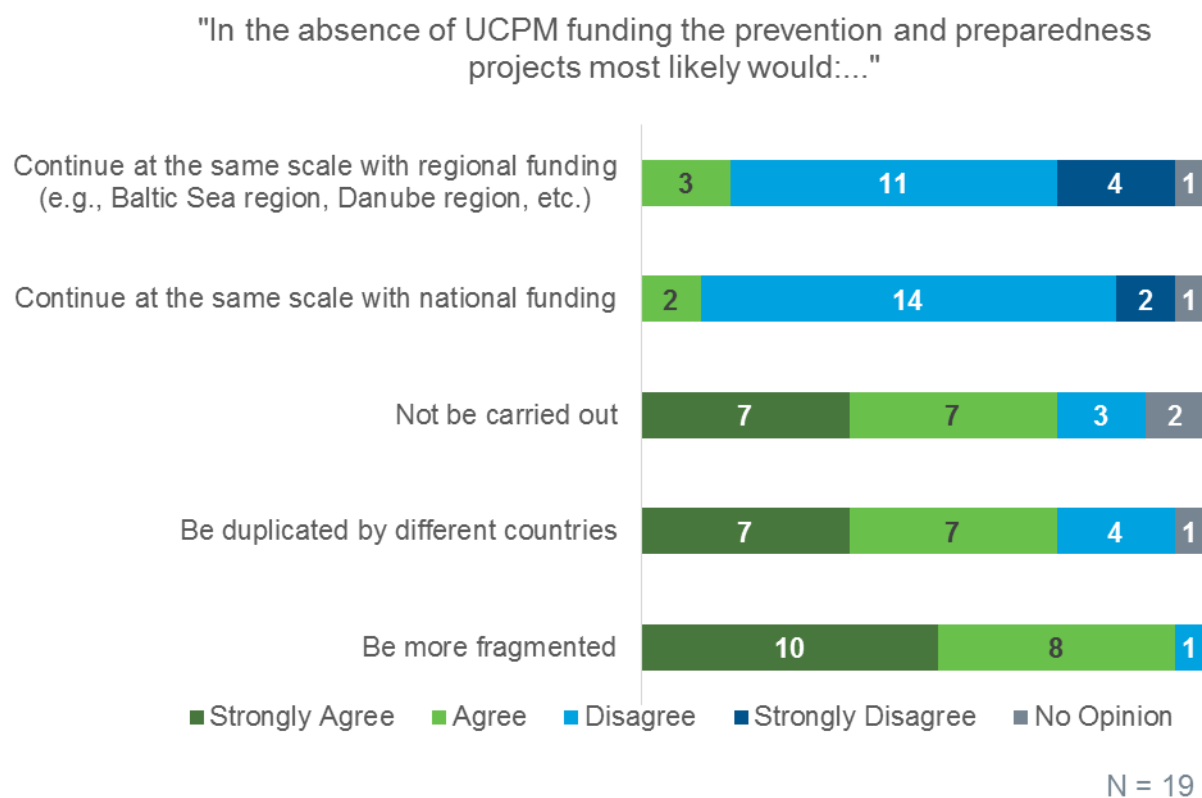
Source: ICF, based on survey results

Figure A9.136 Please indicate to what extent you agree or disagree with the statements below



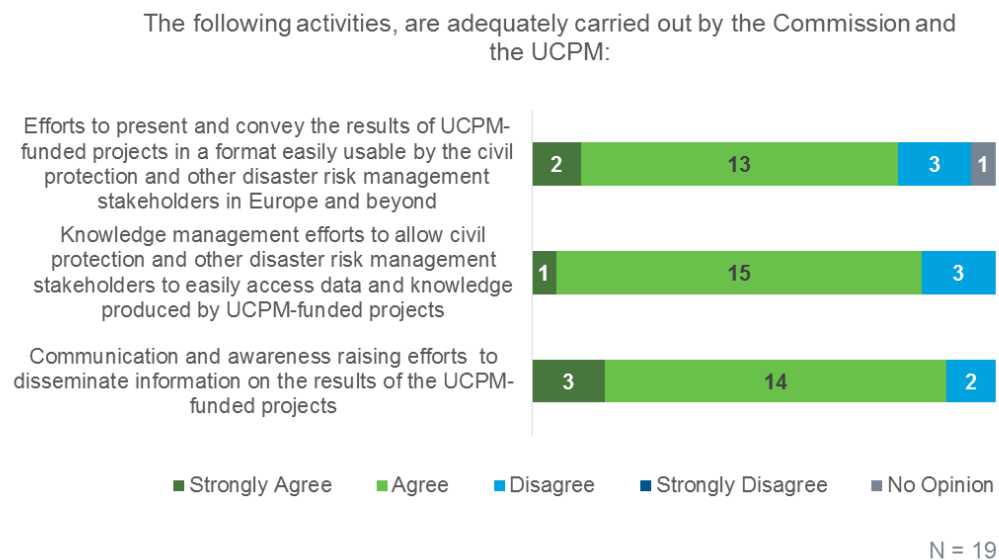
Source: ICF, based on survey results

Figure A9.137 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Figure A9.138 Please indicate to what extent you agree or disagree with the statements below



Source: ICF, based on survey results

Annex 10 Overview of budget allocations and commitments 2014-2016

Table A10.1 Planned and committed budget for the UCPM 2014-2016 (EUR)

Pillar	Budget line	2014		2015		2016	
		Planned	Committed	Planned	Committed	Planned	Committed
Prevention	Prevention projects	4,600,000	6,999,977	4,250,000	6,622,573	4,200,000	6,784,821
	EU overview of risks	300,000					
	Improving the knowledge base for disaster prevention			700,000	715,000	700,000	300,000
	Other prevention activities	700,000	100,000				
Preparedness	ERCC	800,000	838,497	800,000	800,000	800,000	800,000
	Early warning and analysis	2,150,000	2,228,288	2,730,000	2,565,072	2,050,000	2,050,000
	CECIS	200,000		200,000	200,000	200,000	194,402
	The European Emergency Response Capacity-Voluntary Pool	1,500,000	986,218	1,000,000	880,901	2,000,000	295,500
	Addressing temporary shortcomings	100,000	91,200	3,800,000	1,305,423	2,700,000	308,443
	Training	4,000,000	3,658,967	4,300,000	4,395,636	5,300,000	5,312,719
	Training network	250,000				300,000	92,968
	Civil Protection Mechanism Exercises	6,000,000	3,048,396	4,600,000	4,769,906	4,800,000	4,078,661
	MODEX	2,500,000	3,630,500	4,100,000	3,658,541	4,100,000	3,834,791

	Exchange of experts programme	1,100,000	1,096,025			1,100,000	1,096,025
	Preparedness projects	4,600,000	6,023,186	4,250,000	6,523,363	4,100,000	6,366,091
	Lessons learned programme, technical meetings and workshops, training and exercise observation missions	1,300,000	1,250,000	1,200,000	1,050,000	1,201,000	1,301,000
	Civil protection advisory missions to third countries	126,000	50,000	104,000	104,000		
Response	Response	12,313,600	12,546,000	14,404,986	14,284,000	5,553,270	5,394,670
Horizontal Activities	Peer reviews	650,000	648,000			650,000	
	Awareness-raising and dissemination of good practices	600,000	340,703	568,000	543,983	166,000	166,000
	Workshops with the EU Presidency	200,000	185,001	200,000	146,677	200,000	134,906
	Evaluation	400,000	199,800			150,000	267,975
	CECIS hosting, ERCC security and resilience	302,000	241,144	200,000	171,282	200,000	171,282
Total		44,691,600	44,161,902	47,406,986	48,736,357	40,470,270	38,950,254

Table A10.2 Planned and committed budget for UCPM 2014-2016 activities inside the EU (EUR)

Pillar	Budget line	Planned			Committed			Implementation rate			Total committed
		2014	2015	2016	2014	2015	2016	2014	2015	2016	
Prevention	Prevention projects	3,600,000	2,800,000	2,800,000	5,819,745	4,824,569	5,563,466	162%	172%	199%	16,207,780
	EU overview of risks	300,000	0	0	0	0	0	0%			-
	Improving the knowledge base for disaster prevention	0	600,000	600,000	0	615,000	300,000		103%	50%	915,000
	Other prevention activities	600,000	0	0	100,000	0	0	17%			100,000
Preparedness	ERCC	800,000	800,000	800,000	838,497	800,000	800,000	105%	100%	100%	2,438,497
	Early warning and analysis	2,000,000	2,400,000	1,800,000	1,978,288	2,235,072	1,800,000	99%	93%	100%	6,013,360
	CECIS	200,000	200,000	200,000	0	200,000	194,402	0%	100%	97%	394,402
	The European Emergency Response Capacity-voluntary pool	1,500,000	1,000,000	2,000,000	986,218	880,901	295,500	66%	88%	15%	2,162,619
	Addressing temporary shortcomings	100,000	3,800,000	2,700,000	91,200	1,305,423	308,443	91%	34%	11%	1,705,066
	Training	4,000,000	4,000,000	5,000,000	3,658,967	4,192,197	5,069,169	91%	105%	101%	12,920,333
	Training network	250,000	500,000	300,000	0	0	92,968	0%	0%	31%	92,968
	Civil Protection Mechanism Exercises	4,000,000	3,600,000	3,600,000	2,739,563	4,140,375	2,734,959	68%	115%	76%	9,614,897
	MODEX	2,500,000	4,000,000	4,000,000	3,630,500	3,658,541	3,734,791	145%	91%	93%	11,023,832
	Exchange of experts programme	900,000	0	900,000	900,000	0	900,000	100%		100%	1,800,000
	Preparedness projects	3,600,000	2,800,000	2,800,000	4,722,113	4,840,327	4,745,272	131%	173%	169%	14,307,712
	Lessons learned programme, technical meetings and workshops, training and exercise observation missions	700,000	600,000	650,000	700,000	500,000	650,000	100%	83%	100%	1,850,000
	Civil protection advisory missions to third countries	0	0	0	0	0	0				-
Response	Response	1,167,000	854,986	2,652,670	1,080,000	734,000	2,494,670	93%	86%	94%	4,308,670
Horizontal Activities	Peer reviews	500,000	0	500,000	500,000	0	0	100%		0%	500,000
	Awareness-raising and dissemination of good practices	600,000	568,000	166,000	340,703	543,983	166,000	57%	96%	100%	1,050,686
	Workshops with the EU Presidency	200,000	200,000	200,000	185,001	146,677	134,906	93%	73%	67%	466,584
	Evaluation	400,000	0	150,000	199,800	0	267,975	50%		179%	467,775
	CECIS hosting, ERCC security and resilience	302,000	200,000	200,000	241,144	171,282	171,282	80%	86%	86%	583,708
Total		28,219,000	28,922,986	32,018,670	28,711,739	29,788,347	30,423,803	102%	103%	95%	88,923,888

Table A10.3 Planned and committed budget for UCPM 2014-2016 activities outside the EU (EUR)

Pillar	Budget line	Planned			Committed			Implementation rate			Total committed
		2014	2015	2016	2014	2015	2016	2014	2015	2016	
Prevention	Prevention projects	1,000,000	1,450,000	1,400,000	1,180,232	1,798,004	1,221,355	118%	124%	87%	4,199,591
	EU overview of risks										
	Improving the knowledge base for disaster prevention		100,000	100,000		100,000			100%	0%	100,000
	Other prevention activities	100,000						0%			
Preparedness	ERCC										
	Early warning and analysis	150,000	330,000	250,000	250,000	330,000	250,000	167%	100%	100%	830,000
	CECIS										
	The European Emergency Response Capacity-voluntary pool										
	Addressing temporary shortcomings										
	Training		300,000	300,000		203,439	243,550		68%	81%	446,989
	Training network										
	Civil Protection Mechanism Exercises	2,000,000	1,000,000	1,200,000	308,833	629,531	1,343,702	15%	63%	112%	2,282,066
	MODEX		100,000	100,000			100,000		0%	100%	100,000
	Exchange of experts programme	200,000		200,000	196,025		196,025	98%		98%	392,050
	Preparedness projects	1,000,000	1,450,000	1,300,000	1,301,073	1,683,036	1,620,819	130%	116%	125%	4,604,928
	Lessons learned programme, technical meetings and workshops, training and exercise observation missions	600,000	600,000	551,000	550,000	550,000	651,000	92%	92%	118%	1,751,000
	Civil protection advisory missions to third countries	126,000	104,000		50,000	104,000		40%	100%		154,000
Response	Response	11,146,600	13,550,000	2,900,600	11,466,000	13,550,000	2,900,000	103%	100%	100%	27,916,000
Horizontal Activities	Peer reviews	150,000		150,000	148,000			99%		0%	148,000
	Awareness-raising and dissemination of good practices										
	Workshops with the EU Presidency										
	Evaluation										
	CECIS hosting, ERCC security and resilience										
Total		16,472,600	18,984,000	8,451,600	15,450,163	18,948,010	8,526,451	94%	100%	101%	42,924,624

Annex 11 Report on the results of the Open Public Consultation

A11.1 Introduction

On 24 November 2016 the European Commission (EC) launched an Open Public Consultation (OPC) on the implementation and performance of the Union Civil Protection Mechanism (UCPM). The consultation period ran for three full months (until 23 February 2017) and was available for individuals, public and private organisations from all Participating States.

The OPC was divided in two parts - one designed for respondents who indicated to have limited or no in-depth knowledge and one for those with knowledge about the mechanism. In total the OPC led to 67 answers for the survey from respondents without in-depth knowledge about the UCPM and 61 answers to the survey from respondents with in-depth knowledge about the UCPM, from 26 countries²⁶⁷. In addition, respondents were given an opportunity to provide opinion papers. In total five papers were submitted: three from organisations (International Amateur Radio Union, International Federation of Red Cross and Red Crescent Societies and PLATFORMA) and two from individuals; these papers are published in full separately.

Methodological limitations of the Open Public Consultation should be considered when interpreting the findings below. Inferences should be made with caution given that the response rate per question varies significantly. Another important consideration is that the response base is not a random sample and the selection bias is most likely skewed towards persons with knowledge or awareness of, or an interest in this specific consultation. Finally, the country of respondents is not evenly represented, and nearly two thirds of respondents were from a national or local government authority.

The remaining document provides an analysis and key findings from the survey.

A11.2 Survey results from respondents without in-depth knowledge about the UCPM

A11.2.1 Key findings from the survey

The survey analysis revealed the following key findings:

- The top five priority areas of the UCPM identified by respondents, listed in order of importance, were floods (55% of respondents listed this as one of five priority areas of the UCPM) and earthquakes (55%), terrorist attacks (48%), biological and health hazards and nuclear emergency (40%), the migrant crisis (39%), extreme weather events (37%), forest fires (36%).
- Nearly three quarters of respondents (71% or 45 respondents out of 63 with an opinion) fully or to a large extent agreed and one fifth (22% or 14 respondents) to some extent agreed that a joint EU action disaster response coordinated via the Union Mechanism is more effective than the separate response of Participating States.
- Additional support to the action of Participating States could be provided by the Union Mechanism in the area of disaster prevention, according to a majority of respondents (81% or 54 of respondents fully or strongly agreed and 15% or 10 to some extent agreed).
- However, almost two fifths of respondents (39%) thought that the provision of information on the UCPM is insufficient. In their opinion, the main source of

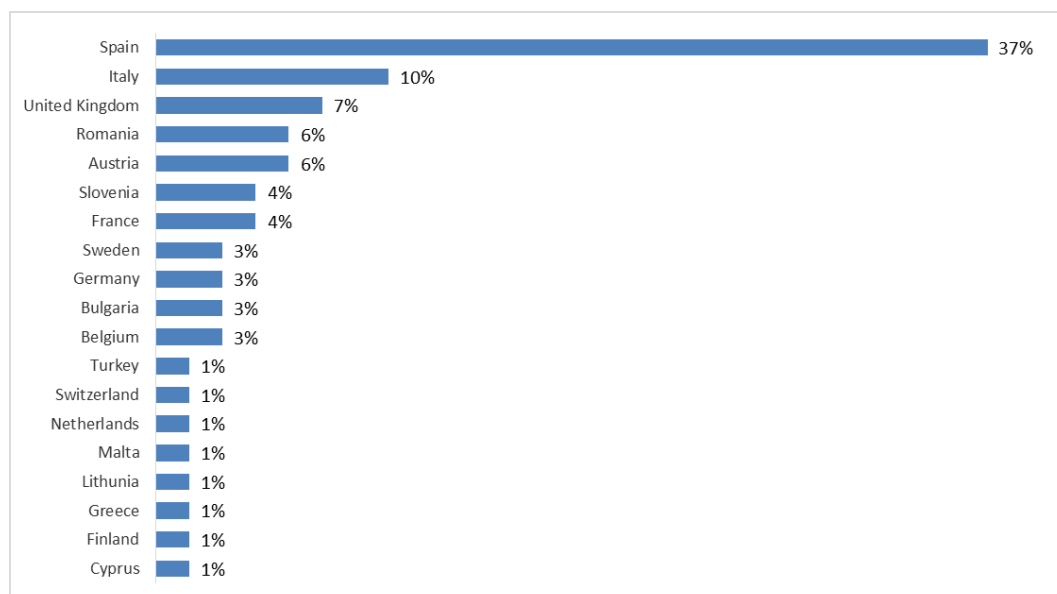
²⁶⁷ AT, BE, BG, HR, CY, FI, FR, DE, EL, HU, IE, IT, LT, LU, MT, NT, PL, PT, RO, SI, ES, SE, UK, Norway, Switzerland and Turkey

additional information on the Union Mechanism should be the national authorities (such as the national civil protection authorities) and EC websites. Written press was seen as the least relevant source of information.

A11.2.2 Report on results

A total of 67 responses were received over the consultation period that lasted from 24 November 2015 till 23 February 2016. The majority of responses were submitted by Spain (37% or 25 out of 67 respondents), Italy (10% or 7) and the United Kingdom (7% or 5) (Figure A11.1).

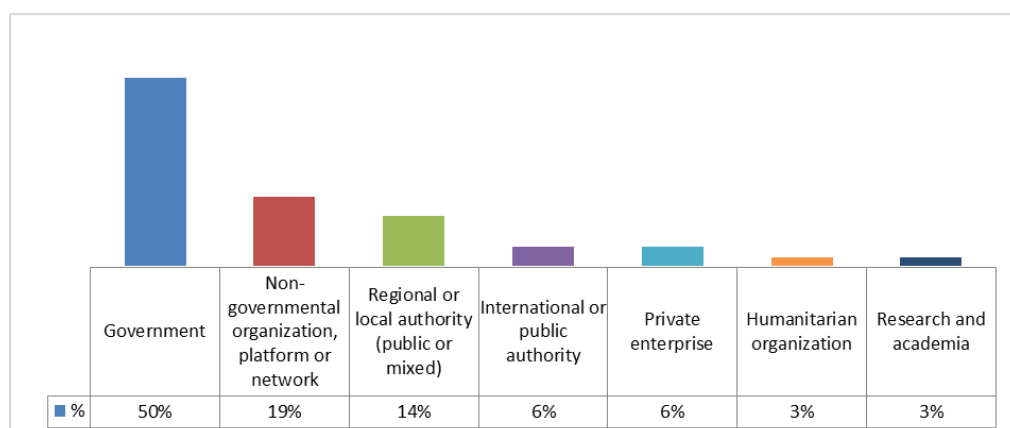
Figure A11.1 Proportion of responses received per country (n= 67)



Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

More than half of respondents to this consultation represented organizations (36 out of 67 respondents). Among the type of organizations which participated in the consultation, governments (50% or 18 respondents), non-governmental organizations (19% or 7) and regional or local authorities (14% or 5) were most frequently represented (Figure A11.2).

Figure A11.2 Type of organizations represented by respondents (n= 36)

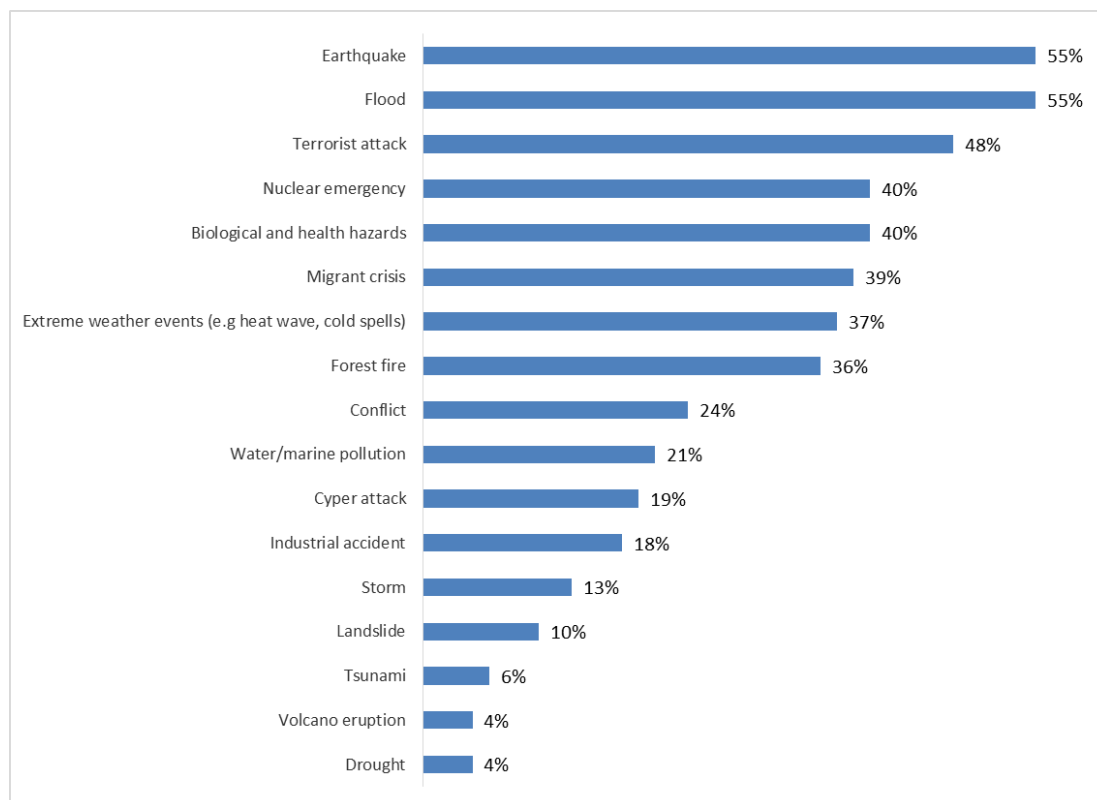


Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

According to the responses received, the top five priority areas for the UCPM were: (1) floods (55% or 37 respondents out of 67 thought this was the top priority) and earthquakes (55% or 37), (2) terrorist attacks (48% or 32), (3) nuclear emergency and

biological and health hazards (40% or 27), (4) migrant crisis (39% or 26), and (5) extreme weather events (37% or 25) (Figure A11.3).

Figure A11.3 Out of the following hazards/emergencies which Europe is confronted with, please select the five that you consider top priorities for the Union Civil Protection Mechanism (Union Mechanism) (n=67)²⁶⁸



Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

The majority (41% or 26) of respondents felt that the information provided on the Union Mechanism is to some extent sufficient, followed by 21% (or 13) who felt the information is fully or to a large extent sufficient, 39% (or 25) felt that it is not sufficient at all (Table A11.1).

Table A11.1 Do you feel you have sufficient information on the Union Mechanism?

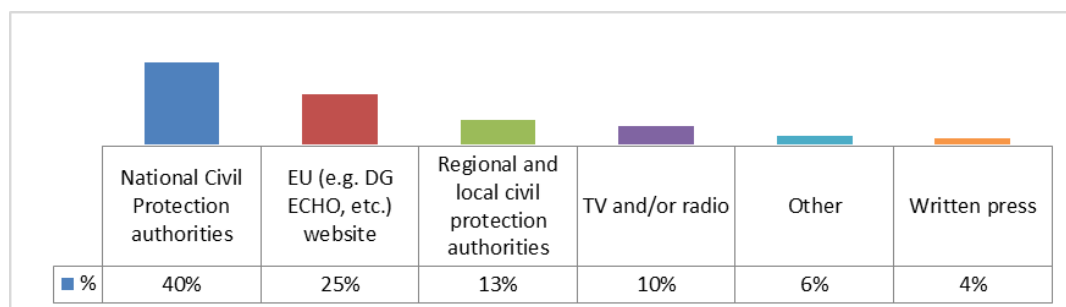
Fully	To large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
3	10	26	25	3	64	67
5%	16%	41%	39%		100%	

Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

²⁶⁸ Respondents provided more than one answer (maximum of five).

The majority of respondents thought that national authorities should be the source of additional information on the Union Mechanism, in particular the national civil protection authorities (40% or 27 of respondents) or the websites of the EU (25% or 17), including DG ECHO (Figure A11.4).

Figure A11.4 If you wanted to have additional information on the Union Mechanism, what would be your preferred source? (n=67)



Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

More than half (56% or 37) of respondents felt that they are fully or to a large extent informed about risks of natural disasters in their country and one third (33% or 22 respondents) felt they are to some extent informed. While 11% (or 7) of respondents did not feel informed at all (Table A11.2).

Table A11.2 To what extent do you feel informed about risks of "natural disasters" (i.e. caused by natural hazards such as: earthquakes, floods, landslides, etc.) in your country?

Fully	To large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
15	22	22	7	0	66	67
23%	33%	33%	11%		100%	

Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

Similarly, 41% (or 27) of respondents felt that they are fully or to a large extent informed about risks of man-made disasters and 48% (or 32) felt they are informed to some extent. While 11% (or 7) did not feel informed at all (Table A11.3).

Table A11.3 To what extent do you feel informed about risks of man-made disasters (i.e. caused by human activities, such as: industrial pollution, nuclear radiation, toxic wastes, dam failures, transport accidents, fires, chemical spills, etc.) in your country?

Fully	To large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
6	21	32	7	1	66	67
9%	32%	48%	11%		100%	

Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

In general, nearly three quarters of respondents (71% or 45) fully or to a large extent agreed that a joint EU action disaster response coordinated via the Union Mechanism is more effective than the separate response of Participating States (Table A11.4) and 22% (or 14 respondents) agreed to some extent. Only 6% (or 4 respondents) thought that EU action is not more effective than Participating States acting separately.

Table A11.4 Do you believe that a joint EU action for disaster response coordinated via the Union Mechanism is more effective than the separate response of Participating States?

Fully	To large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
24	21	14	4	0	63	67
38%	33%	22%	6%		100%	

Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

Likewise, 77% (or 50) of respondents fully or to a large extent agreed that a joint EU action for disaster preparedness coordinated via the Union Mechanism can help individual Participating States be better prepared for responding to disasters (Table A11.5) while 18% (or 12) agreed to some extent. Only 5% (or 3 respondents) responded that EU action cannot at all help individual Participating States to be better prepared for responding to disaster.

Table A11.5 Do you believe that a joint EU action for disaster preparedness coordinated via the Union Mechanism can help individual Participating States be better prepared for responding to disasters?

Fully	To large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
28	22	12	3	2	65	67
43%	34%	18%	5%		100%	

Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

The majority of respondents (81% or 54 respondents) also fully or to a large extent agreed that the Union Mechanism could provide additional support to the action of Participating States in the area of disaster prevention (Table A11.6) and 15% (or 10 respondents) agreed that additional support could be provided to some extent. Only 3% (or 2 respondents) thought that additional support should not be provided at all.

Table A11.6 As far as disaster prevention is concerned, do you believe that the EU, via the Union Mechanism, could provide additional support to the action of Participating States?

Fully	To large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
24	30	10	2	1	66	67
36%	45%	15%	3%		100%	

Source: OPC, Survey for respondents without in-depth knowledge about the UCPM

In addition, some respondents made a few qualitative statements, which can be summarised as follows:

- One respondent from France stated that there is a lack of visibility regarding the work carried out by the EU civil protection teams once the Union Mechanism has been activated. Another respondent from France suggested introducing a standardised uniform for EU civil protection teams to increase the visibility of these teams.
- One respondent from Italy stated that the common know-how, technical knowledge and communication models should be used to strengthen the individual countries resilience.
- The Belgian network of European local governments (LGs) for development cooperation PLATFORMA called for the UCPM to: "1. Invest in preparedness through the strengthening the capacities of LGs to guarantee adequate infrastructures and the delivery of services such as education and emergency services; 2. Encourage self-reliance by including LGs in providing IDPs and refugees with information on the local labour market and facilitating the matching of skills with the demand from local SMEs; 3. Seek to engage affected LGs to participate in the design and implementation of its activities throughout the crisis.

Local governments should be pivotal in facilitating citizens' participation in planning and design; and 4. Recognize the potential of decentralised cooperation in boosting the capacities of LGs to respond to disasters, through coping strategies and 'building back better' through support to urban planning".

- One respondent from Austria stressed the importance of allowing NGOs to contribute to the UCPM and provide technical support in areas such as disaster preparedness and response training, including the training of animals for search and rescue operations.

A11.3 Survey results from respondents with in-depth knowledge about the UCPM

A11.3.1 Key findings from the survey

The survey analysis has revealed the following key findings:

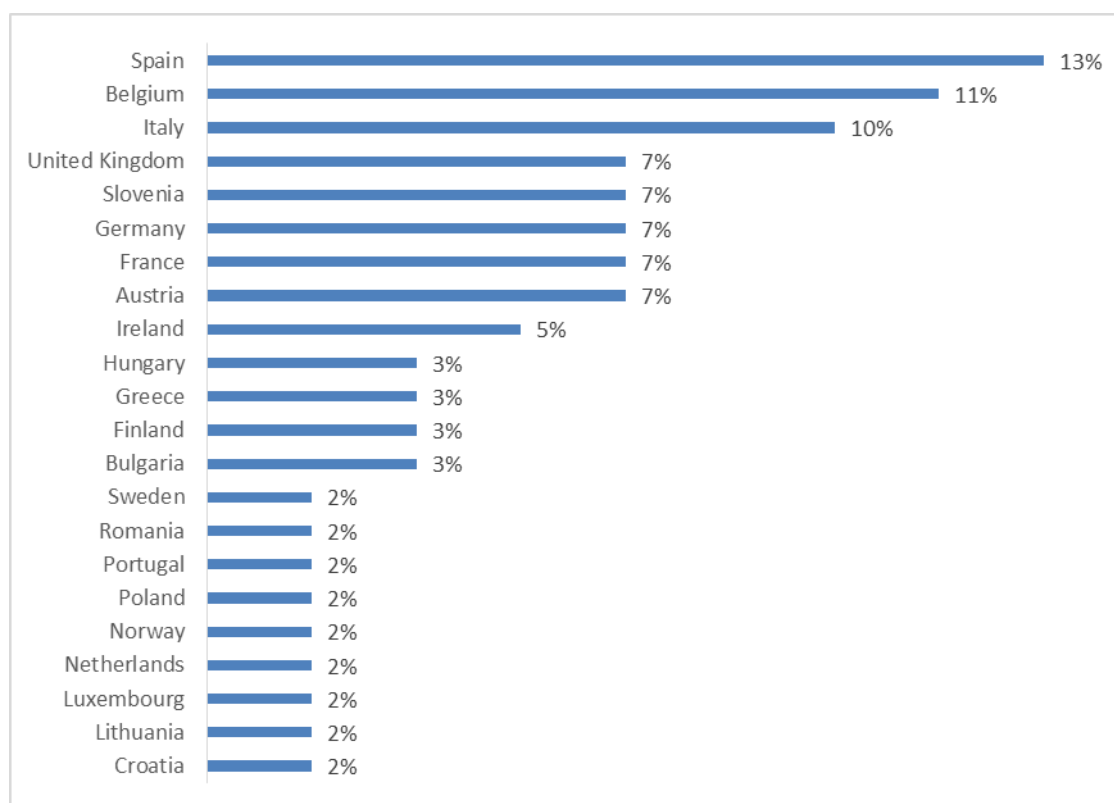
- The top priority areas of the UCPM identified by respondents, listed in order of importance, were floods (80% out of 61 respondents listed this as one of five priority areas of the UCPM), earthquakes (66%), forest fires (64%), extreme weather events (49%) and the migrant crisis (36%).
- The main reasons for participating in the UCPM which were stressed by several respondents include the wish to gain knowledge about the Union Mechanism and to share and transfer skills and knowledge. One respondent (UK) also mentioned that participating in the Union Mechanism is crucial to maintaining public safety across Europe given that no Participating State is resilient enough to stand alone after catastrophic disaster strikes.
- While respondents agreed that the objectives of the Union Mechanism set out by the EU legislation have been achieved, several areas for improvement were mentioned, including forest fires in the Mediterranean (Spain), the continued importance of bilateral activities (Austria) and the flow of communication between participating states (France) as well as the visibility of UCPM activities at national level (Germany). One respondent from Belgium stressed that the system for identifying and pooling of logistics (i.e. transportation) needed to be improved.
- Overall respondents agreed that the Union Mechanism has fully or to a large extent contributed to improving the cooperation and the coordination within Europe in all three pillars of the UCPM, in particular in the area of disaster response (79% or 47 respondents). Similarly, 78% (or 46) of respondents believed that coordination has fully or to a large extent been facilitated in the area of disaster response.
- The support for the EU Action Plan on the Sendai Framework for Disaster Risk Reduction (2015-2030) should be increased. In particular in relation to Priority Area III²⁶⁹, 67% (or 32) of respondents thought the support to promote risk-informed investments in all EU external financial instruments, including multilateral and bilateral development assistance should be increased.

General questions

A total of 61 responses were received over the consultation period lasting from 24 November 2015 till 23 February 2016. The majority of responses were submitted by Spain (13% or 8 respondents), Belgium (11% or 7) and Italy (10% or 6) (Figure A11.5).

²⁶⁹ The Sendai Framework for Disaster Risk Reduction (2015-2030), has four priority areas: (I) Understanding Risk; (II) Strengthening disaster risk governance to manage disaster risk; (III) Investing in disaster risk reduction for resilience; and (IV) Enhancing disaster preparedness for effective response, and to "Build Back Better" in recovery, rehabilitation and reconstruction.

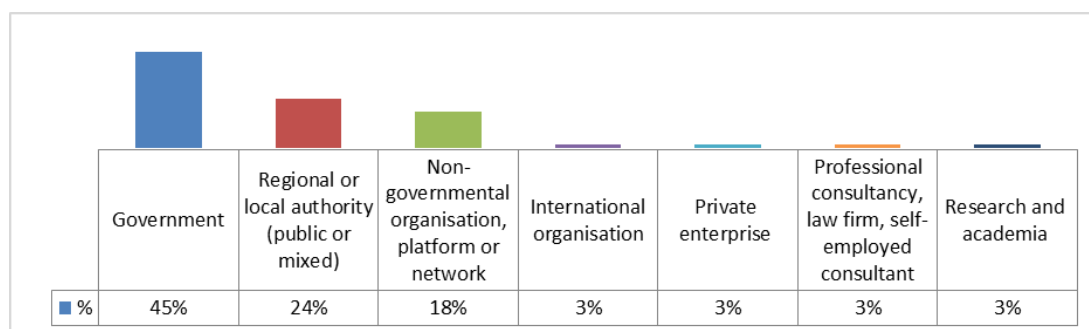
Figure A11.5 Proportion of responses received per country (n= 61)



Source: OPC, Survey for respondents with in-depth knowledge about the UCPM

More than half of respondents (33 out of 61) represented an organization. Among the type of organizations represented, governments (46% or 15 respondents), regional or local authorities (24% or 8) and non-governmental organisations, platforms or networks (18% or 6) were most frequently represented (Figure A11.6).

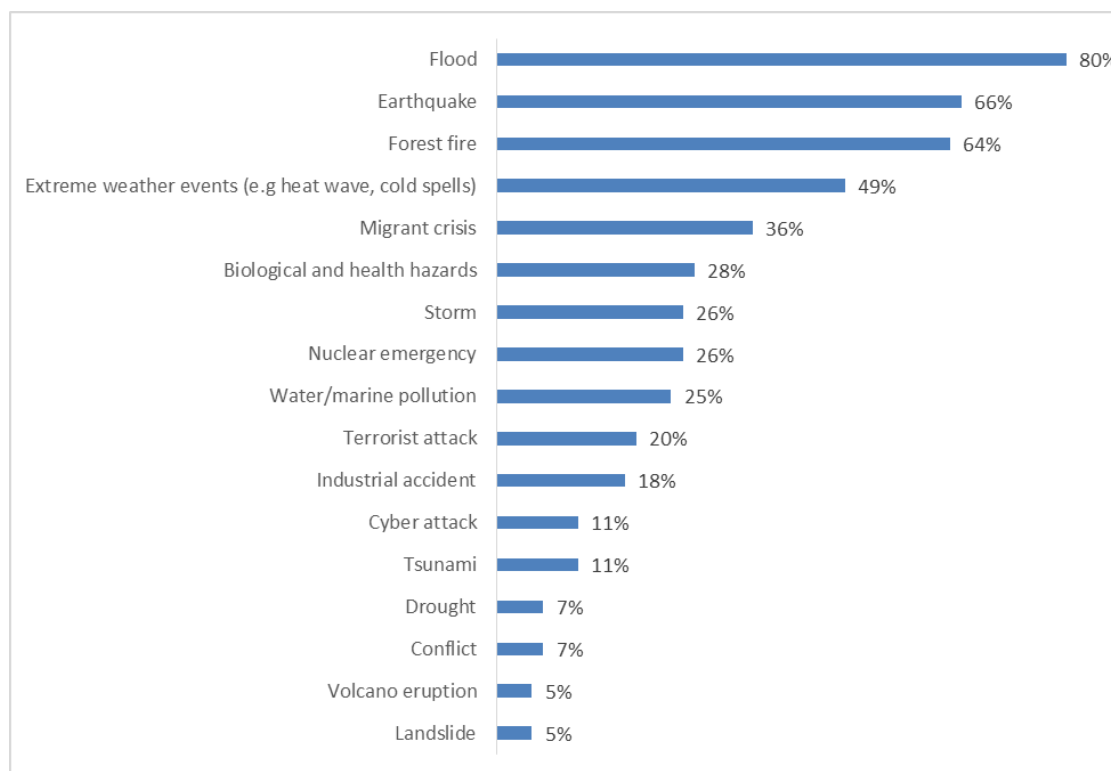
Figure A11.6 Type of organisation responding to the survey (n=33)



Source: OPC, Survey for respondents with in-depth knowledge about the UCPM

According to the responses received, the top five priority areas for the UCPM were: (1) floods (80% or 49 of respondents), (2) earthquakes (66% or 40), (3) forest fires (64% or 39), (4) extreme weather events (49% or 30), and (5) migrant crisis (36% or 22) (Figure A11.7).

Figure A11.7 Out of the following hazards/emergencies which Europe is confronted with, please select the five that you consider top priorities for the Union Civil Protection Mechanism (Union Mechanism) (n=61)²⁷⁰



Source: OPC, Survey for respondents with in-depth knowledge about the UCPM

The majority of respondents (65% or 39) were fully or to large extent familiar with the Union Mechanism and 35% (or 21 respondent) were to some extent familiar with the Union Mechanism (Table A11.7).

Table A11.7 How familiar are you with the Union Mechanism?

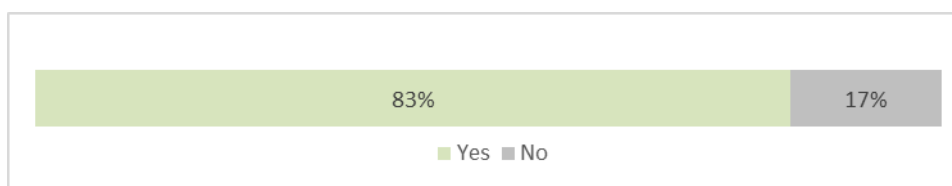
Fully	To large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
12	27	21	0	0	60	61
20%	45%	35%	0%		100%	

Source: OPC, Survey for respondents with in-depth knowledge about the UCPM

- The majority of respondents (83% or 50 respondents out of 60) has been involved in the activities supported by the Union Mechanism (Figure A11.8).

²⁷⁰ Respondents were asked to select up to five priorities, the graph presents those most often selected by respondents

Figure A11.8 Have you been involved in any of the activities supported by the Union Mechanism? (n=60)

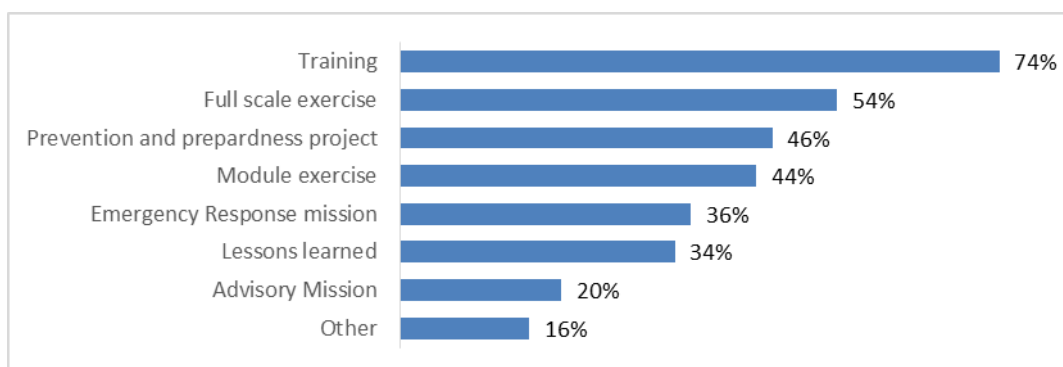


Source: OPC, Survey for respondents with in-depth knowledge about the UCPM

Some of the main reasons which were mentioned by respondents in relation to why respondents participated in the Mechanism included the wish to gain knowledge about the mechanism and to share and transfer skills and knowledge. One respondent (UK) also mentioned that participating in the Union Mechanism is crucial to maintaining public safety across Europe given that no Participating State is resilient enough to stand alone after catastrophic disaster strikes.

Most respondents indicated that they have been involved in training activities (74% or 37 respondents), full scale exercises (54% or 27) and prevention and preparedness projects (46% or 22) (Figure A11.9).

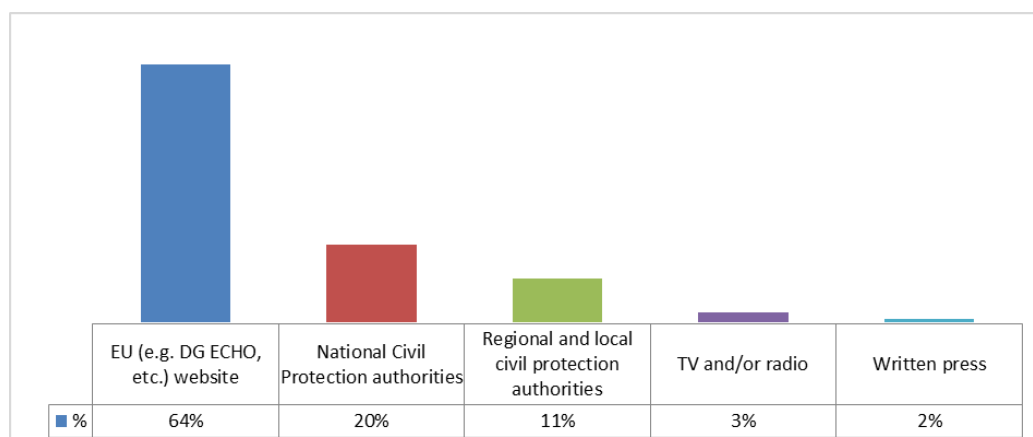
Figure A11.9 In which activity of the UCPM have you been involved? (n=50)



Source: OPC, Survey for respondents with in-depth knowledge about the UCPM

The majority of respondents would like to receive additional information on the Union Mechanism through the websites of the EU, including DG ECHO's (64% or 39 respondents), and national civil protection authorities (20% or 12). The press was seen as the least relevant source of information (2% or 1 respondent) (Figure A11.10).

Figure A11.10 If you wanted to have additional information on the Union Mechanism, what would be your preferred source? (n=61)



Source: OPC, Survey for respondents with in-depth knowledge about the UCPM

- Overall, respondents felt fully or to a large extent informed about the risks of natural disasters (75% or 45 respondents) and man-made disasters (52% or 31) (Table A11.8, Table A11.9). They also agreed to a full or large extent (84% or 51 respondents) that a joint EU action for disaster response coordinated via the Mechanism is more effective than the separate response of Participating States (Table A1.3). Similarly, the vast majority of respondents (98% or 60) agreed (to full, large and some extent) that a joint EU action for disaster preparedness coordinated via the Mechanism can help individual Participating States to be better prepared for responding to disasters (Table A11.11). Almost two thirds of the respondents (65% or 40 respondents) fully or to large extent agreed and the remaining 34% (or 21 respondents) to some extent agreed that the EU, via the Mechanism, could provide additional support to the action of Participating States in the area of disaster prevention (Table A11.12).

Objectives and effectiveness

- Overall respondents believed that the Union Mechanism has fully or to a large extent contributed to improving the cooperation and the coordination within Europe for Disaster Prevention, Disaster Preparedness and Disaster Response. Cooperation has fully or to a large extent been improved in the area of disaster response, according to 79% (or 47) of respondents (Table A11.13). Similarly, 78% (or 46) of respondents believed that coordination has fully or to a large extent been facilitated in the area of disaster response (Table A11.14).
- Moreover, 80% (or 44) of respondents fully or to a large extent - and 20% to some extent - found that the coordinated EU action of the Union Mechanism provided an effective response in the case of floods, 75% (or 38 respondents) fully or strongly - and 25% to some extent - agreed in the case of earthquakes, and 73% (or 40 respondents) fully or strongly - and 24% to some extent - agreed in the case of forest fires (Table A11.16). Response deemed to be the least effective according to respondents in case of migrant crisis (9 respondents said that it was not effective at all), tsunami (8 respondents) and transport accidents (7 respondents).
- Overall, respondents believed that the Union Mechanism has contributed to achieving its objectives set out by the EU legislation. Areas where respondents saw room for improvement include forest fires in the Mediterranean (Spain), the continued importance of bilateral activities (Austria) and the flow of communication between participating states (France) as well as the visibility of UCPM activities at national level (Germany). One respondent from Belgium

stressed that the system for identifying and pooling of logistics (i.e. transportation) needed to be improved.

Relevance

The majority of respondents (73% or 44) agreed that the Union Mechanism components fully or to a large extent address critical challenges faced by the EU today (Table A11.17). 68% (or 36 respondents) fully or to a large extent agreed that the Union Mechanism is supporting trans-national early warning systems²⁷¹ addressing the most important risks for European citizens (Table A11.23). 53% (or 29 respondents) fully or to a large extent agreed - and 42% (or 23 respondents) to some extent agreed - that the Union Mechanism has been flexible enough to cope with changing and/or emerging priorities in emergency management (e.g. migration crisis, Ebola, terrorism, etc.) (Table A11.25).

Internal Structure and Synergies with other areas

- More than half of the respondents (65% or 38 respondents) fully or to a large extent agreed that there are clear linkages between the three main components of the Union Mechanism (Table A11.26). The remaining 34% of respondents agreed to some extent with this statement. The policy area where the Union Mechanism has created the greatest synergies is the humanitarian aid (34 respondents fully or strongly agreed and policy area of environment and flood risk management (32 respondents fully or strongly agreed). The policy areas where the Union Mechanism has created the least synergies are the policy area of Migration and Refugees' integration, Urban development and land use planning, and Risk Insurance and finance (9 responders for each responded that there have been no synergies at all) (Table A11.27).

EU added value

- Overall respondents were of the opinion that individual Member States benefit from coordinated EU action in the field of civil protection. In particular increased capacity (technical expertise and equipment) (95% or 57 respondents fully or to large extent agreed with the statement); cooperation with neighbouring countries and other countries sharing similar risks (88% or 54) and increased international visibility (83% or 49) were areas where respondents fully or to a large extent agreed that individual Member States benefit from EU coordinated action (Table A11.28).

Efficiency

The majority of respondents with an opinion (50% or 10) believed that the administrative costs for preparing and submitting an application for the annual Call for Prevention and Preparedness projects are much higher compared to those of similar European/international funding programs (Table A11.29). However, it should be noted that only 20 out of 61 respondents had an opinion on this question.

In order to improve the process, respondents made few suggestions that mostly focused on developments of:

- Simplified application forms,
- Online application, and
- Some form of a storage for documents and information submitted by applicants already in the past therefore reducing the burden for applicants.

²⁷¹ Early warning systems include the European Drought Observatory, European Flood Alert System, European Forest Fires Information System, Global Disaster Alert and Coordination System, Meteoalarm

Future outlook

- The Sendai Framework for Disaster Risk Reduction (2015-2030), has four priority areas:
- Priority Area I: Understanding Risk;
- Priority Area II: Strengthening disaster risk governance to manage disaster risk;
- Priority Area III: Investing in disaster risk reduction for resilience; and
- Priority Area IV: Enhancing disaster preparedness for effective response, and to "Build Back Better" in recovery, rehabilitation and reconstruction.

Across all four Priority Areas respondents were of the opinion that the support of the EU Action Plan on the Sendai Framework for Disaster Risk Reduction (2015-2030) should be increased. The following are only some selected highlights:

In relation to **Priority Area I**, 83% (or 49) of respondents thought that there is a need for significant increase or increase of support to the use of foresight, scenarios and risk assessments for better preparedness to existing, emerging risks and new types of risks (Table A11.30).

Regarding **Priority Area II**, 88% (or 52) of respondents thought the support for the facilitation of exchange of good practices and improvements in disaster management policy and operations through mutual learning and expert review should be significantly increased or increased (Table A11.31).

For **Priority Area III**, 84% (or 42) of respondents thought the support to track investments in disaster risk reduction in all humanitarian and development assistance programs should be considerably increased or increased (Table A11.32).

Regarding **Priority Area IV**, the vast majority of respondents (84% or 49) thought that the facilitation of capacity building of local and national authorities and communities and other actors in managing disaster should receive considerably increased or increased support (Table A11.33). This was also the action across the all four Priority Areas, where the number of respondents considering that the support should be considerably increased was the highest (21 respondent).

A11.4 Full analysis of responses to survey for respondents with in-depth knowledge on the Mechanism

A11.4.1 General questions

Table A11.8 To what extent do you feel informed about risks of "natural disasters" (i.e. caused by natural hazards such as: earthquakes, floods, landslides, etc.) in your country?

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
17	28	16	0	0	61	61
28%	46%	26%	0%		100%	

Table A11.9 *To what extent do you feel informed about risks of man-made disasters (i.e. caused by human activities, such as: industrial pollution, nuclear radiation, toxic wastes, dam failures, transport accidents, fires, chemical spills, etc.) in your country?*

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
10	21	29	1	0	61	61
16%	34%	48%	2%		100%	

Table A11.10 *Do you believe that a joint EU action for disaster response coordinated via the Union Mechanism is more effective than the separate response of Member States?*

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
29	22	10	0	0	61	61
48%	36%	16%	0%		100%	

Table A11.11 *Do you believe that a joint EU action for disaster preparedness coordinated via the Union Mechanism can help individual Member States be better prepared for responding to disasters?*

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
27	21	12	1	0	61	61
44%	34%	20%	2%		100%	

Table A11.12 *As far as disaster prevention is concerned, do you believe that the EU, via the Union Mechanism, could provide additional support to the action of Member States?*

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
24	16	21	0	0	61	61
39%	26%	34%	0%		100%	

A11.4.2 Objectives and effectiveness

Table A11.13 To which extent has the Union Mechanism contributed to improving the cooperation within Europe for:

Area of concern	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
Informed Disaster Prevention about risks of natural disasters	3	16	34	1	7	54	61
	6%	30%	63%	2%		100%	
Disaster Preparedness	2	31	25	0	3	58	61
	3%	53%	43%	0%		100%	
Disaster Response	6	41	12	0	2	59	61
	10%	69%	20%	0%		100%	

Table A11.14 To which extent has the Union Mechanism facilitated the coordination within Europe for:

Area of concern	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
Informed Disaster Prevention about risks of natural disasters	2	14	37	1	7	54	61
	4%	26%	69%	2%		100%	
Disaster Preparedness	2	31	25	0	3	58	61
	3%	53%	43%	0%		100%	
Disaster Response	4	42	13	0	2	59	61
	7%	71%	22%	0%		100%	

Table A11.15 To which extent has the Union Mechanism contributed to:

Area of concern	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
Promoting a culture of prevention for natural	1	13	35	2	10	51	61
	2%	25%	69%	4%		100%	

Area of concern	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
and man-made disasters							
Raising awareness of disaster risks among the general public	1 2%	9 17%	31 58%	12 23%	8	53 100%	61
Preventing or reducing the potential effects of natural and man-made disasters	1 2%	13 24%	37 67%	4 7%	6	55 100%	61
Improving disaster preparedness at Participating State level	3 5%	23 41%	29 52%	1 2%	5	56 100%	61
Improving disaster preparedness within Europe	4 7%	29 51%	24 42%	0 0%	4	57 100%	61
Increasing preparedness of the general public for disasters	1 2%	5 10%	29 59%	14 29%	12	49 100%	61
Promoting a rapid response in the event of disasters or imminent disasters	10 18%	29 51%	17 30%	1 2%	4	57 100%	61
Facilitating an efficient response in the event of disasters or imminent disasters	12 21%	28 50%	17 29%	0 0%	4	56 100%	61
Improving the cooperation between civil protection authorities of participating states and other relevant services	19 33%	19 33%	20 34%	0 0%	3	58 100%	61

Table A11.16 For which of the following emergencies has a coordinated EU action via the Union Mechanism provided an effective response?

Emergency	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
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Emergency	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
Biological/health	3	15	22	3	18	43	61
	7%	35%	51%	7%		100%	
Earthquake	11	27	13	0	10	51	61
	22%	53%	25%	0%		100%	
Extreme Weather Events (e.g. heat wave, cold spell)	10	17	20	0	14	47	61
	21%	36%	43%	0%		100%	
Floods	9	35	11	0	6	55	61
	16%	64%	20%	0%		100%	
Forest Fires	14	26	13	2	6	55	61
	25%	47%	24%	4%		100%	
Industrial accident	4	9	18	3	27	34	61
	12%	26%	53%	9%		100%	
Marine pollution	3	15	18	3	22	39	61
	8%	38%	46%	8%		100%	
Migrant crisis	3	15	22	9	12	49	61
	6%	31%	45%	18%		100%	
Storms (incl. cyclone/hurricane)	4	19	22	2	14	47	61
	9%	49%	47%	4%		100%	
Transport accident	0	4	22	7	28	33	61
	0%	12%	67%	21%		100%	
Tsunami	3	15	16	8	19	42	61
	7%	36%	38%	19%		100%	
Volcano eruption	2	10	17	5	27	34	61
	6%	29%	50%	15%		100%	

A11.4.3 Relevance

Table A11.17 To which extent do you agree with the following statements?: The Union Mechanism components (i.e. disaster prevention, preparedness, response) address critical challenges Europe needs to cope with today

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
21	23	17	0	0	61	61
34%	38%	28%	0%		100%	

Table A11.18 To which extent do you agree with the following statements?: The Union Mechanism addresses the main needs of European citizens in terms of protection from the impact of natural and man-made disasters

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
7	24	30	0	0	61	61
11%	39%	49%	0%		100%	

Table A11.19 To which extent do you agree with the following statements?: The Disaster Risk Management Knowledge Centre provides data and knowledge about disaster risk management that is relevant to me/my organisation's needs

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
8	13	27	0	13	48	61
17%	27%	56%	0%		100%	

Table A11.20 To which extent do you agree with the following statements?: The Union Mechanism prevention activities take sufficient consideration of the impact of climate change and the management of slow-onset risks (e.g. drought)

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
1	16	23	2	19	42	61
2%	38%	55%	5%		100%	

Table A11.21 To which extent do you agree with the following statements?: Assessing the capability of a country to manage its risks from natural and/or man-made disaster (e.g. via a peer review and/or an Advisory Mission) contributes to ensuring better protection for its people and economic activities

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
19	21	21	0	0	61	61
31%	34%	34%	0%		100%	

Table A11.22 To which extent do you agree with the following statements?: The Disaster Prevention and Preparedness Projects financed by the Union Mechanism have contributed to generating and disseminating knowledge that I/my organization can apply and use

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
10	14	27	6	4	57	61
18%	25%	47%	11%		100%	

Table A11.23 To which extent do you agree with the following statements?: The Union Mechanism is supporting trans-national early warning systems addressing the most important risks for European citizens * European Drought Observatory, European Flood Alert System, European Forest Fires Information System, Global Disaster Alert and Coordination System, Meteoalarm*

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
13	23	15	2	8	53	61
25%	43%	28%	4%		100%	

Table A11.24 To which extent do you agree with the following statements?: The European Emergency Response Capacity (Voluntary Pool) is addressing all the main risks that Europe is facing today

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
10	21	24	0	6	55	61

18%	38%	44%	0%		100%	
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Table A11.25 The Union Mechanism has been flexible enough to cope with changing and/or emerging priorities in emergency management (e.g. migration crisis, Ebola, terrorism, etc.)

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
7	22	23	3	6	55	61
13%	40%	42%	5%		100%	

A11.4.4 Internal Structure and Synergies with other areas

Table A11.26 The three main components of the Union Mechanism (Prevention, Preparedness, Response) have clear linkages and complement each other

Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
14	24	21	0	2	59	61
24%	41%	34%	0%		100%	

Table A11.27 How effective has the Union Mechanism been in creating synergies with the following policy areas which relate to civil protection?

CP policy area	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
Humanitarian Aid	6 11%	28 50%	21 38%	1 2%	5	56 100%	61
Post-disaster Recovery and Reconstruction	2 4%	13 29%	25 56%	5 11%	16	45 100%	61
Climate Change Adaptation	1 3%	8 21%	28 72%	2 5%	22	39 100%	61
Maritime	3	8	25	2	23	38	61

CP policy area	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
pollution and coast guard cooperation	8%	21%	66%	5%		100%	
Environment and Flood Risk Management	5	27	18	1	10	51	61
	10%	53%	35%	2%		100%	
Development cooperation	2	13	31	2	13	47	61
	4%	27%	65%	4%		100%	
Consular assistance	1	10	26	3	21	40	61
	3%	25%	65%	8%		100%	
Security and Terrorism	1	9	27	7	17	44	61
	2%	20%	61%	16%		100%	
Public health	3	17	25	4	12	49	61
	6%	35%	51%	8%		100%	
Migration and Refugees' integration	3	7	27	9	15	46	61
	7%	15%	59%	20%		100%	
Urban development and land use planning	1	6	18	9	27	34	61
	3%	18%	53%	26%		100%	
Critical infrastructure Resilience	2	13	25	5	16	45	61
	4%	29%	56%	11%		100%	
Risk Insurance and finance	1	4	21	9	26	35	61
	3%	11%	60%	26%		100%	
Regional	2	7	20	6	26	35	61

CP policy area	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
and territorial cohesion policy	6%	20%	57%	17%		100%	
Research and innovation	3	17	21	4	16	45	61
	7%	38%	47%	9%		100%	

A11.4.5 EU added value

Table A11.28 To which extent do you agree with the following statements? A benefit of coordinated EU action in the field of civil protection compared to action carried out by individual Member States is:

Benefit identified	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
Reduced risk of duplications	17	23	19	1	1	60	61
	28%	38%	32%	2%		100%	
Filling existing gaps at national level	19	21	21	0	0	61	61
	31%	34%	34%	0%		100%	
Higher efficiency	15	29	15	0	2	59	61
	25%	49%	25%	0%		100%	
Increased international visibility	20	29	8	2	2	59	61
	34%	49%	14%	3%		100%	
Faster mobilisation of assistance	15	25	15	2	4	57	61
	26%	44%	26%	4%		100%	
Reduced cost of providing response	13	28	12	1	7	54	61
	24%	52%	22%	2%		100%	
Stronger cooperation with neighboring countries and other countries	22	32	7	0	0	61	61
	36%	52%	11%	0%		100%	

Benefit identified	Fully	To a large extent	To some extent	Not at all	Don't know	Total with opinion	Total number of respondents
sharing similar risks							
Larger capacity (technical expertise and equipment) to address risks affecting the whole Europe	27 45%	30 50%	3 5%	0 0%	1	60 100%	61

A11.4.6 Efficiency

Table A11.29 The administrative costs for preparing and submitting an application for the annual Call for Prevention and Preparedness projects financed by the Union Mechanism compared to those of other similar European/international funding programs

Much higher	Somewhat higher	Similar	Lower	Don't know	Total with opinion	Total number of respondents
10	3	2	5	41	20	61
50%	15%	10%	25%		100%	

A11.4.7 Future Outlook

Table A11.30 In the coming years, to which extent should the following priorities of the EU Action Plan on the Sendai Framework for Disaster Risk Reduction (2015-2030) receive support from the Union Mechanism? Priority Area I: Building risk knowledge in all EU policies (Sendai Priority 1 "Understanding disaster risk"):

Specific actions	Support should be considerably increased	Support should be increased	Support should stay the same	Support should be decreased	Don't know	Total with opinion	Total number of respondents
Promote collection and sharing of baseline loss and damage data	9 17%	23 43%	20 37%	2 4%	7	54 100%	61
Use foresight,	14	35	7	3	2	59	61

scenarios and risk assessments for better preparedness to existing, emerging risks and new types of risks	24%	59%	12%	5%		100%	
Further engage with the research community to better address disaster risk management knowledge and technology gaps	15	30	12	1	3	58	61
	26%	52%	21%	2%		100%	
Encourage stronger science-policy interface in decision-making	16	31	9	0	5	56	61
	29%	55%	16%	0%		100%	

Table A11.31 In the coming years, to which extent should the following priorities of the EU Action Plan on the Sendai Framework for Disaster Risk Reduction (2015-2030) receive support from the Union Mechanism? Priority Area II: An all-of-society approach in disaster risk management (Sendai Priority 2 "Strengthening disaster risk governance to manage disaster risks"):

Specific actions	Support should be considerably increased	Support should be increased	Support should stay the same	Support should be decreased	Don't know	Total with opinion	Total number of respondents
Explore the potential of educational measures for reducing disaster risks	18	29	9	2	3	58	61
	31%	50%	16%	3%		100%	
Facilitate exchange of good practices and improvements in disaster management policy and operations through mutual learning and expert review	17	35	7	0	2	59	61
	29%	59%	12%	0%		100%	
Work with stakeholders, including local authorities, civil society and communities, to develop specific strategies for risk awareness that	20	26	9	2	4	57	61
	35%	46%	16%	4%		100%	

Specific actions	Support should be considerably increased	Support should be increased	Support should stay the same	Support should be decreased	Don't know	Total with opinion	Total number of respondents
include the most vulnerable groups, such as children and youth, elderly, persons with disabilities and indigenous people							
Cooperate with the private sector to encourage business-driven innovation in all areas of disaster risk management	14	25	13	4	4	56	61
	25%	45%	23%	7%		100%	
Strengthen the links between disaster risk management, climate change adaptation and biodiversity strategies	13	26	16	1	4	56	61
	23%	46%	29%	2%		100%	
Reinforce the links between disaster risk management, climate change adaptation and urban policies and initiatives	13	27	17	0	3	58	61
	23%	47%	30%	0%		100%	
Support the development of inclusive local and national disaster risk reduction strategies, with active engagement of active engagement of local actors – authorities, communities and civil society	17	27	15	0	2	59	61
	29%	46%	25%	0%		100%	
Assist regional organizations in supporting national authorities to implement the Sendai Framework, including the development of National and Regional	17	22	0	1	6	55	61
	29%	46%	25%	0%		100%	

Specific actions	Support should be considerably increased	Support should be increased	Support should stay the same	Support should be decreased	Don't know	Total with opinion	Total number of respondents
platforms for disaster risk reduction							

Table A11.32 In the coming years, to which extent should the following priorities of the EU Action Plan on the Sendai Framework for Disaster Risk Reduction (2015-2030) receive support from the Union Mechanism? Priority Area III: Promoting EU risk informed investments (Sendai Priority 3 "Investing in disaster risk reduction for resilience"):

Specific actions	Support should be considerably increased	Support should be increased	Support should stay the same	Support should be decreased	Don't know	Total with opinion	Total number of respondents
Promote risk-informed investments in all EU external financial instruments, including multilateral and bilateral development assistance	10 21%	32 67%	6 13%	0% 0%	13	48 100%	61
Track investments in disaster risk reduction in all humanitarian and development assistance programs	13 26%	29 58%	8 16%	0 0%	11	50 100%	61
Promote risk-proofed investments in the EU, including in the context of the Investment Plan for Europe	13 30%	23 52%	8 18%	0 0%	16	44 100%	61
Promote the use of mechanisms for disaster risk financing, risk transfer and insurance, risk-sharing and retention	14 28%	25 50%	9 18%	2 4%	10	51 100%	61
Foster and implement ecosystem-based approaches to disaster risk reduction	14 29%	26 53%	8 16%	1 2%	11	49 100%	61

Table A11.33 In the coming years, to which extent should the following priorities of the EU Action Plan on the Sendai Framework for Disaster Risk Reduction (2015-2030) receive support from the Union Mechanism? Priority Area IV: Supporting the development of a holistic disaster risk management approach (Sendai Priority 4 "Enhancing disaster preparedness for effective response and to "Build Back Better" in recovery, rehabilitation and reconstruction"):

Specific actions	Support should be considerably increased	Support should be increased	Support should stay the same	Support should be decreased	Don't know	Total with opinion	Total number of respondents
Develop good practices on the integration of cultural heritage in the national disaster risk reduction strategies to be developed by EU Member States	10	29	15	3	4	57	61
	18%	51%	26%	5%		100%	
Enhance preparedness and response capacities for disasters with health consequences and cooperation between health authorities and other relevant stakeholders	14	33	9	0	5	56	61
	25%	59%	16%	0%		100%	
Facilitate capacity building of local and national authorities and communities and other actors in managing disaster risk	21	28	8	1	3	58	61
	36%	48%	14%	2%		100%	
Support the development and better integration of transnational detection and early warning and alert systems for better disaster preparedness and response action	16	26	15	0	4	57	61
	28%	46%	26%	0%		100%	
Integrate the "Build Back Better" objective into the assessment methodologies, projects and standards for disaster risk management and resilience	18	23	12	0	8	53	61
	34%	43%	23%	0%		100%	

Annex 12 Terms of Reference

Terms of Reference for the Interim Evaluation of the implementation of Decision No 1313/2013/EU on a Union Civil Protection Mechanism, 2014-2016

A12.1 Evaluation subject

A12.1.1 EU Mandate

Prior to the entry into force of the Lisbon Treaty, EU Civil Protection cooperation was largely based upon Article 308 of the EC Treaty, a catch-all provision authorising the Council to act (by unanimity) in order to achieve Treaty objectives in areas where no specific legal basis existed. It was against this background that a Community Civil Protection Mechanism was established in 2001 by the Council²⁷² and subsequently recast in 2007²⁷³. The financing of that Mechanism was ensured via Council Decision 2007/162/EC, EURATOM²⁷⁴ establishing a Civil Protection Financial Instrument which made Union financial assistance available to improve the effectiveness of the EU's response to major emergencies as well as to enhance preventive and preparedness measures for all kinds of emergencies²⁷⁵.

With the advent of the Treaty of Lisbon in 2009, Civil Protection became a self-standing policy with its own legal basis enshrined in Article 196 of the Treaty on the Functioning of the EU. According to that Article, EU action in the field of civil protection should aim to:

"a) support and complement Member States' action at national, regional and local level in risk prevention, in preparing their civil-protection personnel and in responding to natural or man-made disasters within the Union;

b) promote swift, effective operational cooperation within the Union between national civil-protection services;

c) promote consistency in international civil-protection work".

Based on the above, and in order to ensure the continued protection of people, the environment and property in a world in which the number, severity and complexity of disasters was increasing, the Council and the European Parliament repealed previous legislation²⁷⁶ and adopted Decision No 1313/2013/EU of the European Parliament and of the Council of 17 December 2013 on a Union Civil Protection Mechanism (herein 'UCPM'). This legal act, herein 'UCPM Decision' or 'the Decision', is currently in force and governs actions and activities in the field of Civil Protection.

The 2013 EU Civil Protection legislation promotes solidarity between the Member States through practical cooperation and coordination on their territory against disasters. The new 'Mechanism' places a greater emphasis on disaster prevention and preparedness with particular focus on NRA and risk management planning. To enhance preparedness of European countries to respond to disasters, the Mechanism allows for a Voluntary Pool of pre-committed response capacities by the Participating States.

²⁷² Community Mechanism to facilitate reinforced cooperation in civil protection assistance interventions; Council Decision 2001/792/EC, Euratom of 23 October 2001 (OJ L 297, 15.11.2001, p. 7).

²⁷³ Council Decision 2007/779/EC, Euratom of 8 November 2007 establishing a Community Civil Protection Mechanism (recast) (OJ L 314, 1.12.2007, p. 9).

²⁷⁴ Council Decision 2007/162/EC, Euratom of 5 March 2007 establishing a Civil Protection Financial Instrument (OJ L 71, 10.3.2007, p. 9).

²⁷⁵ It also allowed for the continued financing of activities previously undertaken on the basis of Council Decision 1999/847/EC of 9 December 1999 establishing a Community action programme in the field of civil protection (OJ L 327, 21.12.1999, p. 53).

²⁷⁶ The main reasons behind the need to revise civil protection legislation, included: i) the expiry of the financial instrument in 2013; ii) the continuing increase in the number, intensity, and complexity of disasters; iii) budgetary constraints related to the economic situation; and iv) systemic limitations of the Mechanism, which restricted the effectiveness, efficiency, coherence and visibility of the EU's disaster response. A detailed analysis of underlying reasons and/or problems which led to new legislation being proposed by the Commission can be found in the impact assessment accompanying Decision 1313/2013/EU (<http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52011SC1632>). Also see the Ex-post evaluation of the Community Civil Protection Mechanism and Civil Protection Financial Instrument for the period 2007-2013 [2014] which can be found at the following address: http://ec.europa.eu/echo/funding-evaluations/evaluations/thematic-evaluations_en.

According to the 2013 Decision, the Union shall support and complement Member States' action at national, regional and local level in preventing, preparing for and responding to natural or man-made disasters within the Union and promote consistency in international civil-protection work. Harmonization of Member States' laws and regulations is explicitly excluded.

Furthermore, the Decision guarantees funding for the UCPM for a period of seven years (linked to the Multi-Annual Financial Framework). The total financial envelope for the implementation of UCPM actions in the period 2014-2020 is €368 428 000. The UCPM Decision specifies, by its Article 19(5), that the financial envelope should be allocated according to the following breakdown: 20% prevention, 50% preparedness and 30% response, with the possibility to vary each by ± 8 percentage points.

A12.1.2 The Union Civil Protection Mechanism (UCPM)

The EU Civil Protection Mechanism is a framework for cooperation in disaster risk management among the national civil protection authorities across Europe. The Mechanism's original purpose (2001-2013) was to enable a coordinated assistance from its participating states whenever the scale of an emergency overwhelmed the response capabilities of a country. Eventually, Decision 1313/2013/EU, which came into action in January 2014, added a greater emphasis on cooperation for disaster prevention and preparedness with particular focus on NRAs and risk management planning. To enhance preparedness of European countries to respond to disasters, the Mechanism created a Voluntary Pool of pre-committed response capacities by the Participating States.

As set out in Article 1(1) of the Decision, the UCPM's **general objective** is:

"To strengthen the cooperation between the Union and the Member States and to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters."

In addition to this, Article 1(3) states that:

"The Union Mechanism shall promote solidarity between the Member States through practical cooperation and coordination, without prejudice to the Member States' primary responsibility to protect people, the environment, and property, including cultural heritage, on their territory against disasters and to provide their disaster-management systems with sufficient capabilities to enable them to cope adequately and in a consistent manner with disasters of a nature and magnitude that can reasonably be expected and prepared for."

Specific objectives are laid out in Article 3(1) of the Decision, which states that the UCPM is intended to "support, complement and facilitate coordination of Member States' action in pursuit of the following common specific objectives:

(a) to achieve a high level of protection against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services;

(b) to enhance preparedness at Member State and Union level to respond to disasters;

(c) to facilitate rapid and efficient response in the event of disasters or imminent disasters; and

(d) to increase public awareness and preparedness for disasters.

Article 1(2) clarifies the **scope** of the UCPM, namely that protection ensured by the Mechanism shall cover primarily people, but also the environment and property, including cultural heritage, against all kinds of natural and man-made disasters, including the consequences of acts of terrorism, technological, radiological or environmental disasters, marine pollution, and acute health emergencies, occurring inside or outside the Union. In

the case of consequences of acts of terrorism or radiological disasters, the UCPM covers only preparedness and response actions.

In terms of **geographical reach**, participation in the UCPM is not limited to EU Member States. Participation is, in fact, open to acceding countries, candidate countries and potential candidates of the EU as well as European Free Trade Association (EFTA) countries that are members of the European Economic Area (EEA) and other European countries "when agreements and procedures so provide". At present, the so-called "Participating States" of the UCPM include all EU Member States, Iceland, Norway, Serbia, the Former Yugoslav Republic of Macedonia, Montenegro and Turkey.

It should be highlighted that candidate countries and potential candidates that do not participate in the Union Civil Protection Mechanism, as well as countries that are part of the European Neighborhood Policy (ENP), can also benefit from certain of the activities financed under Decision 1313/2013.

A12.1.3 UCPM activities

Besides its pivotal role in disaster response, the UCPM also provides substantial support to disaster prevention and preparedness. As set out by Decision 1313/2013/EU, the UCPM main pillars are: (i) prevention; (ii) preparedness; (iii) response. These pillars include, among others, the following activities²⁷⁷:

Disaster prevention: Under the UCPM, Participating States shall make available to the Commission their NRAs and national risk management capability assessments. The Commission shall provide guidance to Participating States in carrying out assessments and facilitates the dissemination and exchange of information of good practices. This includes, in particular, improving the knowledge base on disaster risks (e.g. by developing an overview of European risks which takes into account the impact of climate change) and developing an integrated approach to disaster management which allows the potential interaction between several natural and man-made hazards. The Commission is required to facilitate the sharing of knowledge, best practices and information related to prevention, taking due account of existing international commitments (such as the Hyogo and Sendai Frameworks). The Commission also finances cooperation projects in the field of disaster prevention based on yearly calls for proposals, which are published on the DG ECHO website.

Disaster preparedness: The creation of a European Emergency Response Capacity (EERC) in the form of a 'Voluntary Pool' is one of the major innovations in the UCPM. Participating States can pre-commit different types of response capacities for participation in EU Civil Protection missions. The European Medical Corps (EMC) is a subset of the EERC through which teams and equipment from the EU Member States can be rapidly deployed to provide medical assistance and public health expertise in response to emergencies inside and outside the EU. Through the Common Emergency Communication and Information System (CECIS), a web-based alert and notification application enabling real time exchange of information between, the UCPM Participating States and the Commission share a common information system for mobilizing and deploying these pre-committed assets. This increases predictability of assistance while significantly reducing deployment times. Participating States and the Commission are working closely together to develop quality criteria and a certification process for the different modules, thus ensuring that all teams meet high quality and interoperability standards and can effectively work together in the field. The UCPM also supports trainings and preparedness exercises to test and further improve performance and coordination. Costs to upgrade existing national response capacities and certification costs, trainings and workshops can be financed by the EU. Once certified and part of the Voluntary Pool, the transport costs

²⁷⁷ The description below is purely descriptive and not exhaustive. The Decision text and the annually approved Work Programs contain a comprehensive list of mandates and activities executed by the UCPM.

of teams in response to emergencies is eligible for EU co-financing of up to 85%. Additionally, the Mechanism works via its Emergency Response Coordination Centre (ERCC) to: (i) monitor hazards, collect, analyse and disseminate information on disasters; and (ii) map available assets in close cooperation with UCPM's Participating States, (iii) prepare plans for the deployment of individual experts, teams and/or assets, providing emergency communications and monitoring tools.

Disaster Response: The operational heart of the UCPM is the 24/7 Emergency Response Coordination Centre ("ERCC"), which is located within the Commission's Directorate General for Humanitarian Aid and Civil Protection (DG ECHO) in Brussels. The ERCC supports a coordinated and rapid response to disasters both inside and outside Europe using resources from the countries participating in the UCPM. With a capacity to deal with several simultaneous emergencies on a 24/7 basis, the ERCC facilitates a coherent and efficient European response to emergencies, aiming to reduce unnecessary and inefficient duplication of efforts. Whenever the scale of an emergency overwhelms the response capabilities of a country, the UCPM may be activated upon official request of that country or the UN and its agencies, as well as IOM²⁷⁸, IFRC²⁷⁹, or OPCW²⁸⁰. When this occurs, the ERCC acts as an operational hub, facilitating the coordination of assistance made available by the UCPM's Participating States²⁸¹ to the affected country. Requests for assistance through the UCPM can concern disasters of any type, both within and outside Europe²⁸². The UCPM can also be activated in response to marine pollution and other maritime disasters, on which it coordinates closely with the European Maritime Safety Agency (EMSA). Assistance made available via the UCPM may consist of operational assets, relief items (in-kind assistance) and experts²⁸³. The latter can be deployed for needs assessment and coordination missions as well as to provide advice to a requesting country on prevention and preparedness measures. The Commission can also co-finance the transport costs of assistance delivered via the UCPM. This enables a rapid distribution of assistance to the affected country and results in a reduced budgetary impact on the UCPM's Participating State(s) offering the assistance. Pooling and consolidating shipments of assistance for the affected country allows the ERCC to further boost the efficiency of the European response. The ERCC fosters increased coordination between the civil protection and humanitarian aid operations. The ERCC keeps direct links to the civil protection and humanitarian aid authorities in Member States which enables a smooth and real-time exchange of information. It ensures deployment of coordination and assessment teams composed of humanitarian aid and civil protection experts to conduct joint needs assessments.

Additional information on the prevention, preparedness and response activities of the UCPM can also be found on the Civil Protection [fact sheets](#) available on DG ECHO [website](#).

²⁷⁸ IOM: International Organization for Migration

²⁷⁹ IFRC: International Federation of Red Cross and Red Crescent Societies

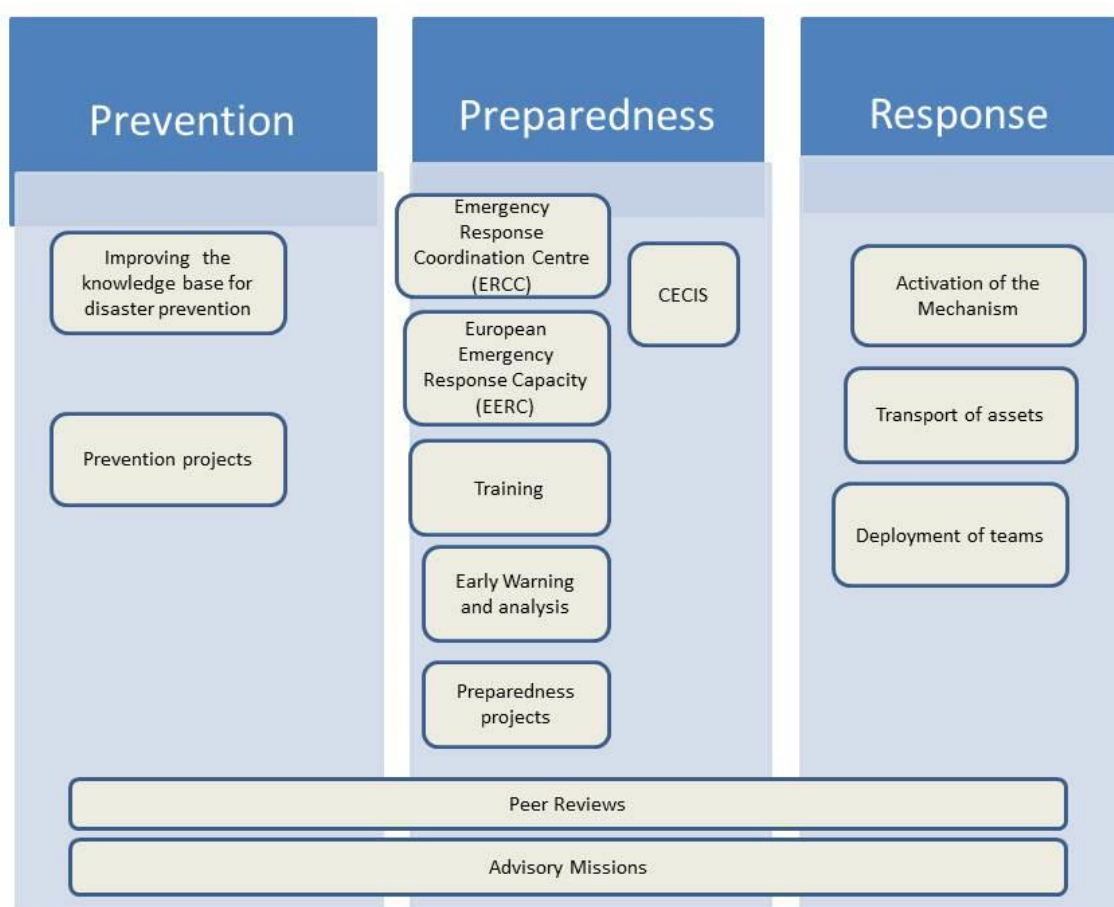
²⁸⁰ OPCW: Organisation for the Prohibition of Chemical Weapons

²⁸¹ At present, the Participating States of the UCPM include: all EU Member States, Iceland, Norway, Serbia, the former Yugoslav Republic of Macedonia, Montenegro and Turkey.

²⁸² Recent examples include: the Ebola outbreak in West Africa (2014), the floods in the Western Balkans (2014), the conflict in Eastern Ukraine (2015), the voluntary evacuation of EU citizens from Yemen (2015), and the ongoing refugee crisis (2015-16).

²⁸³ When civil protection assistance is requested by third countries, it is often combined with humanitarian aid.

Table 1: Overview of activities of the UCPM



A12.1.4 Monitoring of the UCPM

The monitoring of UCPM is mainly carried out by DG ECHO around the reports presented in the table below. Most of these reports are publicly available on DG ECHO and EC website and the ones that are not will be provided by the DG ECHO team to the Evaluator in the Inception Phase of the evaluation.

The evaluation of the previous programme also drew on the following categories of documents:

- Strategic documents;
- Fact Sheets;
- Statistics;
- Administrative documents;
- Operational documents (e.g. Operation Manuals, Standard Operating Procedures, etc.)
- Lessons learnt exercises;
- Training (including external reports of an evaluative nature);
- Meeting minutes;
- PPT presentations;
- Project reports;
- Cost statements.

Table A12.1 Reports on the implementation of the UCPM

Report Name	Frequency of reporting	Comments
DG ECHO Strategic Plan (2016-2020)	Multi-annual exercise	Prepared at the beginning of the multi-annual period (i.e. Feb 2016). Its specific objectives and result indicators overlap with the Decision's. This Plan did not exist prior to 2016. Public document.
DG ECHO Management Plan	Beginning of year	Prepared at the beginning of the year, forward looking document with expected achievements for the year. Includes monitoring of some objectives and indicators from Decision. Public document.
DG ECHO Annual Activity Report	End of year	Reports on progress towards some of the Decision's specific objectives/indicators. Public document.
DG ECHO Annual Report	End of year	Highlights of main activities/outputs of the past year; does not report on Decision indicators. Public document.
DG ECHO Mid-Term Review	Mid-year	Includes financial disbursement information
DG ECHO Financial Program Statement	Beginning of year	Annual forward looking programming document; carried out with DG BUDG.
Other sources		
European Parliament questions	Ad hoc	Public document.
Court of Auditors	Ad hoc	Ad hoc performance

		audits; Public document.
ERCC Analytics (data and reports)	Ad Hoc	Internal reports.

A12.2 Purpose and scope of the evaluation

A12.2.1 Purpose

Article 34 of the Decision requires the Commission to submit an interim evaluation (hence forth the "Evaluation") report to the European Parliament and the Council no later than 30 June 2017. The interim evaluation report should highlight the "results obtained and the qualitative and quantitative aspects of the implementation of this Decision". The interim evaluation report shall be accompanied, if appropriate, by proposals for amendments to the Decision.

The main objective of this call for tenders is to have an independent interim evaluation of the implementation and performance of Decision No 1313/2013/EU of the European Parliament and of the Council of 17 December 2013 on a Union Civil Protection Mechanism (herein UCPM). Based on an analysis of the actions performed from January 2014 to December 2016, the evaluation should provide a clear indication of whether the general and specific objectives laid down in Articles 1 and 3(1) of the UCPM are being met. Actions performed in relation to third countries, including in accordance with Article 28(2), will be covered by the evaluation.

Findings of the interim evaluation should support the Commission to:

Identify any gaps or shortcomings in the current legislative framework²⁸⁴;

Improve implementation of existing legislative provisions;

Provide inputs for any possible proposal to amend Decision 1313/2013/EU or implementing acts thereof;

Inform, if appropriate, the review of the financial breakdown of the UCPM as set out by Art.19(5) (see section 1 above).

Based on the Commission's Better Regulation Guidelines, a [Roadmap](#) has been established and published for this evaluation.

A12.2.2 Scope of the Evaluation

The Evaluation will cover activities carried out under the UCPM in the timeframe of January 2014 – December 2016²⁸⁵. In particular, the evaluation will encompass actions carried out under the framework of the UCPM and spanning across the three fields of prevention, preparedness and response to natural and man-made disasters (Para 1, Decision Preamble).

To provide a basis for the evaluation, the evaluator should provide a **description of the current situation**, taking account of the progress made in implementing the Decision, and how the intervention has impacted on the stakeholders so far.

The information requested through the **evaluation questions** listed below is the main subject of this evaluation. These are linked to the five mandatory evaluation criteria (see

²⁸⁴ Decision 1313/2013/EU of 17 December 2013 and Commission Implementing Decision of 28.02.2014

²⁸⁵ The scope of the evaluation report may need to include exceptional events (e.g. natural or man made disasters and crisis) that might occur in the first months of 2017 and may highlight significant findings on the performance of the UCPM.

the European Commission's Better Regulations Guidelines²⁸⁶). A sixth criteria, *sustainability*, has been added as it provides an important angle to assess the durability of results achieved by the Mechanism.

Effectiveness

Efficiency

Relevance

Coherence

EU added value

Sustainability

Based on the evaluator's response to the evaluation questions, **recommendations** should be provided, as appropriate, on how the implementation of the Decision could be improved.

Furthermore, the evaluator should provide a set of **additional tasks** that are specified in a dedicated section below.

A12.2.2.1 Evaluation questions

In order to ensure the evidence-based nature of the evaluation, each of the evaluation criteria will be assessed on the basis of a set of evaluation questions. Each question is broken down into more specific sub-questions, which will help guiding the response. The response to each of the below questions will need to encompass the three fields of action of the UCPM, i.e. prevention, preparedness and response and draw evidence from the different activities supported by the Mechanism (see Table 1). Additional clarification and guidance will be provided to the evaluators during the Inception phase of the evaluation.

(a) Effectiveness

Effectiveness analysis considers how successful EU action has been in achieving or progressing towards its objectives. Article 3(2) of the Decision spells out the expected results and related indicators (see Table 3) that shall be used for monitoring, evaluating and reviewing as appropriate the application of the Decision. It is important to note that the evaluation will have to highlight the causal relationship between activities carried out under the UCPM framework and the objectives, in order to distinguish from potential external factors.

Question 1: To what extent have the objectives of the Decision been achieved?

The response should, as appropriate, make reference to the indicators identified in the Decision (see Table 3)

To what extent has the UCPM contributed to achieving the general objective of the Decision?

To what extent has progress been made in relation to the 4 specific objectives?

Given the current timeframe, is the UCPM on track to achieve the specific objectives of the Decision?

To what extent have external factors influenced the observed progress towards the objectives?

Indicative areas for recommendations (not exhaustive):

How could shortcomings in prevention / preparedness / response capacities be better addressed?

²⁸⁶ http://ec.europa.eu/info/better-regulation-guidelines-and-toolbox_en

Where implementation progress has been limited or slower (e.g. mobilization of a stand-by capacity), what were the main hindering factors and how should these be dealt with?

How could coordination (on the ground as well as Brussels-based) be improved?

How could transparency on use of UCPM assistance delivered be improved?

(b) Efficiency

Efficiency considers the relationship between the resources used by an intervention and the changes generated by the intervention. Differences in the way an intervention is approached and conducted can have a significant influence on the effects, making it interesting to consider whether other choices achieved the same benefits at less cost (or greater benefits at the same cost). Considerations should be different for the prevention, preparedness and response pillars of the Mechanism and should be supported by examples.

Question 2: To what extent are the costs of the activities performed under the UCPM justified when compared to their benefits?

To what extent did DG ECHO achieve cost-effectiveness in its actions under the UCPM?

To address this question the evaluator is invited to propose a dedicated, overall approach.

What main factors influenced cost-effectiveness of the actions?

Were there significant differences in costs and objective achievement between the Participating States? If so, what are the underlying causes?

Which decisions could contribute to improve cost-effectiveness?

Indicative areas for recommendations (not exhaustive):

How could cost-effectiveness of assistance be improved, particularly concerning low value goods?

Question 3: To what extent have the monitoring arrangements contributed to an efficient and effective implementation of the intervention?

Are the indicators currently set by the Decision adequate and sufficient to capture to monitor successful implementation of the Decision? Which, if at all, additional indicators should be considered?

Has data been properly collected and monitored? Is data generally available?

(c) Relevance

Relevance looks at the relationship between the needs and the problems in society and the objectives of the intervention. In particular, relevance analysis aims at assessing whether the intervention helps addressing needs or problems still present at the time of the evaluations.

Question 4: To what extent are the Decision's objectives still relevant to the needs identified and to the European Commission's priorities for 2014-2020?

To what extent do the general and specific objectives of Decision still correspond to current needs within the EU?

To what extent have the general and specific objectives of the Decision proved to be appropriate to address the issues highlighted in the Impact Assessment (2011) Were the main findings and lessons learnt presented in the Ex-Post Evaluation of the Community Civil Protection Mechanism (2007-2013) taken into account for the implementation of the UCPM?

Has the Mechanism been flexible enough to address emerging/unanticipated critical issues in the disaster risk management arena?

To what extent has the UCPM integrated in its functioning as well as in its activities scientific and technological research and development that has become available since its creation?

(d) Coherence

The evaluation of coherence involves looking at how well (or not) different actions work together. This includes both *internal* coherence (i.e. how the various components of an EU intervention operate together to achieve its objectives) and *external* coherence (i.e. coordination and synergies between different EU interventions in the same policy field or in areas which may have to work together). External coherence also includes compliance with international agreements, such as the Hyogo Framework for Action (2005-2015) and the Sendai Framework for Disaster Risk Reduction (2015-2030).

Question 5. To what extent is this intervention internally and externally coherent?

How well are the different activities of the UCPM articulated, interlinked, and mutually supportive?

What examples of synergies exist between different activities and areas (i.e. prevention/preparedness/response) of the UCPM? Can further synergies be sought? Are there any missed opportunities?

To what extent are the potential synergies between the UCPM and other EC policy areas as well as international frameworks/initiatives being exploited? Are any good examples to be found? Can particular missed opportunities be identified? Among others, areas to be considered are:

Humanitarian Aid;

The Asylum, Migration and Integration Fund;

The Internal Security Fund;

Decision 1082/2013/EU of the European Parliament and of the Council of 2 October 2013 on serious cross-border threats to health and repealing Decision No 2119/98/EC;

The Maritime area (e.g. maritime pollution and coast-guard cooperation);

The Sendai framework for Disaster Risk Reduction;

The 2015 Paris Climate Conference (COP 21).

(e) EU added value

The evaluation should consider arguments about the value resulting from EU interventions that is additional to the value that would have resulted from interventions initiated at regional or national levels by both public authorities and the private sector.

Question 6. What is the EU Added Value of the UCPM, including the added value to other participating states?

What results of the intervention can be identified that could not have been achieved without a coordinated effort at the EU level?

Which criteria could be considered to demonstrate EU added value of the UCPM-supported interventions in prevention, preparedness, and response?

(f) Sustainability

The evaluation should examine the likelihood that the effects will last after the intervention ends, which is important for interventions which have a finite duration, such as particular programmes.

Question 7. To what extent are the results achieved by the UCPM sustainable?

To what extent are the results achieved by the UCPM likely to last beyond the timeframe of the intervention?

Are adequate arrangements in place to ensure (financial, capacity, technical, etc.) sustainability of current and future interventions?

A12.2.2.2 Additional Tasks

The evaluator should:

(a) Analyse and synthesise in a report the results of an **Open Public Consultation** (OPC) – see further Section 6 below. The OPC is scheduled to be launched by the Commission in October, and the Contractor is asked to:

Analyse and synthesise the results of the OPC;

Integrate the results, as appropriate, in the evaluation;

Provide a draft Consultation reports according to the requirements of the Better Regulation Guidelines.

The OPC will be launched in English only, but the Contractor should take into account that responses could be submitted in other official EU languages.

Information on the consultation activities will be published on:

http://ec.europa.eu/echo/index_en

(b) Provide a final **consultation strategy** (Inception phase);

(c) Identify and assess the **risks** that the objectives set will not be achieved within the timeframe of the Decision. What mitigating measures have been put in place to address such risks?

(d) Identify the main **lessons learnt** (positive and negative) in the three fields of action from the implementation of the Decision.

(e) Make a proposal for **dissemination** of the evaluation results;

(f) Provide and **abstract** on the evaluation of a maximum of 200 words.

Table A12.2 Table 3: UCPM specific objectives and related indicators as set out in the Decision Art.3 (1)

General Objective	To strengthen the cooperation between the Union and the Member States and to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters.				
Specific Objectives	No.	Objective	Area	Indicator	Activity ²⁸⁷
	1	To achieve a high level of protection against by preventing or reducing their potential effects	Progress in implementing the disaster prevention framework	Number of Member States that have made available to the Commission a summary of their risk assessments as referred to in Art.6	Improving the knowledge base for disaster prevention Prevention projects
				Number of Member States that have made available to the Commission an assessment of their risk management capability as referred to in Art.6	Improving the knowledge base for disaster prevention Prevention projects
	2	To enhance preparedness at Member State and Union level to respond to disasters	Progress in increasing the level of readiness for disasters	Quantity of response capacities included in the Voluntary Pool in relation to the capacity goals referred to in Art.11	European Emergency Response Capacity (ERCC) Exchange of expert programme Advisory missions

²⁸⁷ As indicated in the UCMP Annual Work Program. The list is not exhaustive.

				Number of modules registered in CECIS	Maintenance and further development of the CECIS
	3	To facilitate rapid and efficient response in the event of disaster or imminent disasters	Progress in improving the response to disasters	Speed of interventions under the Union Mechanism	CECIS hosting
				Extent to which the assistance contributes to the needs on the ground	CECIS hosting Lessons learned programme
	4	To increase public awareness and preparedness for disasters	Progress in increasing public awareness and preparedness for disasters	Level of awareness of Union citizens of the risk in their region	Preparedness projects

A12.3 Methodological guidance

In their offer, the bidders will describe in detail the methodological approach they propose in order to tackle the evaluation questions listed above, as well as the tasks requested.

This will include a description of one or more indicative judgment criteria²⁸⁸ for addressing each evaluation question. The judgement criteria, as well as the information sources to be used in addressing these criteria, will be discussed with and validated by the Commission during the desk phase

The exercise should involve the following methodological steps:

Considering the heterogeneous topology of available secondary data, it is essential that the Contractor carry out a mapping of existing, relevant documents, following discussions with the Commission, in addition to those documents available online on UCPM activities covered by the evaluation;

Plan for and design interviews, surveys and other types of secondary data collection tools, to get relevant information from relevant Commission staff and stakeholders (national CP authorities, other government stakeholders, other EU stakeholders, international partners);

Prepare study visit(s) and case studies (see further Section 6 below) to complement for some of the activities information available through secondary sources and to validate findings of the evaluation. Number and location of study visits will be agreed with the EC in the Inception phase. For each of the case studies, final workshops will be organised to discuss the main findings with relevant stakeholders;

Analyse all information collected in order to obtain evidence-based conclusions, by properly combining primary data (i.e. information collected directly by the evaluators during their work), with secondary information (programming and policy documents, monitoring reports and data, statistical data, relevant studies and evaluations, etc.);

Drafting the deliverables requested in these Terms of Reference and take account of written and oral comments received from the ISG;

Liaise on regular basis via email, teleconference and, where possible, face-to-face meetings with the DG ECHO contact point.

The methodological approach will be refined with, and validated by, the Commission during the Inception phase.

A12.4 Consultation strategy

The objectives of the consultation activities will mainly be to gather information and opinions on the implementation of the Decision as well as to test analysis and findings. To the extent possible, the methodology should promote the participation in the evaluation exercise of all actors concerned, when relevant and feasible.

The main stakeholders are:

- National Civil Protection agencies,
- Civil Protection authorities' National Contact Points,

²⁸⁸ A judgement criterion specifies an aspect of the evaluated intervention that will allow its merits or success to be assessed. E.g., if the question is "To what extent has DG ECHO assistance, both overall and by sector been appropriate and impacted positively the targeted population?", a general judgement criterion might be "Assistance goes to the people most in need of assistance". In developing judgment criteria, the tenderers may make use of existing methodological, technical or political guidance provided by actors in the field of Humanitarian Assistance such as HAP, the Sphere Project, GHD, etc.

- Trainers (including from private contractors), participants, experts in civil protection,
- other EU agencies, in particular the European Maritime Safety Agency (EMSA) and the European Centre for Disease Prevention and Control (ECDC)
- International partners, in particular the UN Office for the Coordination of Humanitarian Affairs (UN OCHA) and the World Health Organization (WHO)
- Professional organisations involved in running of the Mechanism.

As indicated above, an open 12 week internet-based public consultation is planned to be launched in the inception phase of the evaluation.

In addition, targeted consultations with the main stakeholders should be organised by the contractor.

The complete and final consultation strategy should be presented by the contractor in the Inception report.

A12.5 List of deliverables to be provided by the contractor

The following deliverables should be provided, for approval by the Inter-service Steering Group (ISG):

- Draft minutes from all meetings with the ISG;
- Inception report;
- Final Consultation Strategy (to be included in the Inception report);
- Interim Report;
- Case studies, including workshops with relevant stakeholders;
- Draft Final Report;
- Final Report;
- Executive Summary in English, French and German;
- Report from the OPC (separate document);
- A document on the risks of not achieving the UCPM objectives within the timeframe (annex to the final report);
- Main lessons learned (annex to the Final Report);
- A proposal for the dissemination of the evaluation results (annex to the Final Report);
- An abstract on the evaluation of a maximum of 200 words (to be integrated in the EU Bookshop format of the Final Report).

A12.6 Phases of the evaluation

1. Inception phase

The inception phase starts from the moment the contract is signed. During the inception phase the evaluation team will analyse the intervention logic on the basis of official documents and propose the evaluation questions and judgment criteria. The team then will specify the indicators, and develop the final definition of the methodology and the schedule for possible visits to HQ.

The documents to be analysed may be produced by the Commission or any other relevant actor (other Commission services, international agencies, other donors, partners, communities of practice etc.). The contractor will ensure that an appropriate literature review is carried out throughout the contract.

Kick-off Meeting

A kick-off meeting will be convened as soon as possible after the signature of the contract. The consultants will present their understanding of the Terms of Reference. The evaluation questions, either from the ToR or proposed by the evaluation team will be

discussed as well as an indicative methodological design. Access to informants and to documents, as well as foreseeable difficulties will be considered. Minutes from the meeting will be taken by the evaluator and will be shared and agreed with the Commission.

Inception Report

The Inception Report will be produced after the kick-off meeting and will contain, at a minimum, the following elements:

- a finalised evaluation framework covering all evaluation questions;
- a logical framework;
- the consultation strategy;
- a description of the methodology for data collection and analysis, including the chain of reasoning for responding to the evaluation questions, and indicating limitations;
- draft questionnaires and interview guides; and
- a final detailed work plan and timetable.

Inception Meeting

One week after the submission of the Inception report the evaluation team will present its overall approach in the Inception Meeting which will take place in Brussels at DG ECHO headquarters with the Commission's Inter-service Steering Group (ISG). The Inception report will be discussed and the evaluation team will have the possibility to ask for additional information and/or clarification on the requirements of the ToR, possibly obtain technical support relative to the execution of the tasks. The Inception Report will be revised according to the mutually agreed amendments, comments from the ISG will be taken into account and if satisfactory, the report will be approved.

2. Research phase

First analysis of available data will be done in relation to the evaluation questions and partial answers to the questions will be given. Limitations of the evaluation methods used will be pointed out, biases and risks, as well as problems to be solved.

The research phase should include **3 case studies**. The case studies should illustrate the three main areas of the UCPM: preparedness, prevention and response. The case studies should be representative for each mentioned area and to extent possible they should address different contexts such as for example: natural disasters or man-made disasters.

Interim Report

The Interim Report is to be produced after the primary and secondary research has been completed. The report must as a minimum provide:

- an overview of the status of the evaluation project;
- a description of any problems encountered and potential solutions to those;
- the first elements of answers to the evaluation questions when available;
- an assessment of the data collected, whether it meets expectations and will provide a sound basis for responding to the evaluation questions;

a conclusion whether any changes are required to the work plan, or any other proposals to ensure that the required results of the evaluation are achieved.

Report on the Open Public Consultation

The evaluator should present the report on the Open Public Consultations to the ISG. The report should inform on which stakeholders groups participated, which interests they represented and identify what stakeholder groups have been reached. Furthermore it should describe consultation results, key issues of the contribution and give feedback on

how the results will contribute to the final assessment. The report will be presented during the Interim meeting.

Interim Meeting

A presentation of the Interim report and the Open Public Consultation should be organised in Brussels a week after their submission. The ISG will provide comments on the reports following the presentation, to be considered as appropriate by the evaluator before finalising the documents.

3. Synthesis Phase

During synthesis phase all information obtained in the previous phases should be analysed and triangulated, including information related to the case studies.

The Draft Final Report should deliver the results of all tasks covered by these Terms of Reference, and must be clear enough for any potential reader to understand.

As a reminder, even if the evaluation will assess individual projects, conclusions and recommendations must be drafted with a view to the overall evaluation of the Commission's intervention in the area concerned, and will be based on the overall information collected during the evaluation process.

The Draft Final Report should deliver the results of all tasks covered by these Terms of Reference, and must be clear enough for any potential reader to understand.

The structure of the draft report should follow (please also refer to the list of deliverables under section 5 above):

- **Main body:** The main report must be limited to 50 pages and present, in full, the results of the analyses and conclusions arising from the evaluation. It must also contain a description of the subject evaluated, the context of the evaluation, and the methodology used;
- **Annexes:** these must collate the technical details of the evaluation, and must include the Terms of Reference, questionnaire templates, interview guides, any additional tables or graphics.

Draft Final Report Meeting

A meeting will be organised to discuss the draft Final Report.

The draft report should be accompanied by a PowerPoint presentation in electronic form, covering the main conclusions and recommendations of the evaluation. The evaluator may be requested to present the evaluation results once in Brussels to DG ECHO's staff and / or stakeholders.

Final Report

On the basis of the comments made by the Inter-service Steering Group, the evaluator shall make appropriate amendments, insofar as these do not interfere with the independence of the evaluator in respect of the conclusions they have reached and the recommendations made. The evaluator shall submit the Final Report (maximum 50 pages annexes excluded), accompanied by an Executive Summary (maximum 5 pages). The Executive Summary should be translated into French and German by a professional translator, once it has been approved by the Steering Committee.

For a further detailed description of the format required for the Final Report (incl. EU Bookshop requirements), see Annex.

The structure of the final report:

Abstract – should summarise the evaluation report in no more than 200 words (to be integrated in the EU Bookshop format of the Final Report);

Executive summary - it sets out, in no more than 5 pages, a summary of the evaluation's main conclusions and the main evidence supporting

Main Body

Annexes

A12.7 Management and supervision of the evaluation

The Evaluation Sector in DG ECHO is responsible for the management and the monitoring of the evaluation, in consultation with the responsible desk. DG ECHO Evaluation Sector, and in particular the internal manager assigned to the evaluation, should therefore always be kept informed and consulted by the contractors and copied on all correspondence with other DG ECHO staff.

The DG ECHO Evaluation manager is the contact person for the contractors and shall assist the team during their mission in tasks such as providing documents and facilitating contacts.

A steering group, made up of Commission staff involved in the activity evaluated, will provide general assistance to and feedback on the evaluation exercise, and discuss the conclusions and recommendations of the evaluation.

A12.8 Team requirements

The team must cover the following competences:

Documented experience in assessing disaster prevention capabilities, including disaster risk assessment, (natural and man-made disasters), policies and legislation;

Documented experience of assessing disaster preparedness and response policies/plans, teams and assets;

Documented experience with Monitoring & Evaluation of large, multi-annual programs;

Familiarity with cost-effectiveness assessments and/or other methods for assessing efficiency of programs;

Fluency in English and, ideally 2-3 other EU languages.²⁸⁹

A12.9 Amount of the Contract

The maximum budget allocated to this evaluation is **300 000€**.

A12.10 Timetable

The duration of the contract is **8 months**.

The indicative starting date of the contract is **17 October 2016**.

The evaluation starts after the contract has been signed by both parties, and no expenses may be incurred before that. The main part of the existing relevant documents will be provided after the signature of the contract.

The final report must be delivered no later than **31 May 2017**.

In the offer, the tenderer shall provide an indicative schedule based on the table below:

²⁸⁹ Although the Online Public Consultation (OPC) will be using English only, responses may be provided in other EU languages. Thus, the Contractor should be prepared for analysing the response in other EU languages than English. As these languages are not yet known, a general approach to be presented for ensuring that required knowledge skills are available once the response to the OPC has been received.

Indicative timing	Report	Meeting
T+3 weeks	Draft Inception Report	
T+4 weeks		Inception meeting
T+13 weeks	Draft Interim Report	
T+14 weeks		Interim Report meeting
T+23 weeks	Draft Final Report	
T+24 weeks		Draft Final Report meeting
T+29 weeks	Final Report	

A12.11 Content of the Offer

The **administrative part** of the bidder's offer must include:

The tender submission form (annex D to the model specific contract);

A signed Experts' declaration of availability, absence of conflict of interest and not being in a situation of exclusion (annex F to the model specific contract)

The technical part of the offer should be presented in a **maximum of 30 pages**, and must include:

A description of the understanding of the Terms of Reference, their scope and the tasks covered by the contract. This will explain the bidder's understanding of the evaluation questions, including a first proposal of any additional evaluation questions and the information sources to be used for answering the questions. The final definition of evaluation questions and information sources will be validated by the European Commission following the Inception meeting;

The methodology for data collection and analysis the bidder intends to apply for this evaluation in order to answer the evaluation questions specified in sections 2.1 and carry out the tasks specified in section 2.2 of these Terms of Reference. The methodology will be discussed with the ISG and finalised by the Contractor following the Inception meeting;

A description of the distribution of tasks in the team, including an indicative quantification of the work for each expert in terms of person / days;

A detailed proposed timetable with the total number of days needed for each task;

The CVs of each of the experts proposed.

The **financial part** of the offer must include the proposed total budget in Euros, taking due account of the maximum amount for this evaluation as defined above.

A12.12 Award

The contract will be awarded to the tender offering the best value for money on the basis of the following criteria:

Quality criteria

N°	Qualitative Award criteria	Weighting points) (max.
1.	Understanding of the terms of reference and the aim of the services to be provided	10
2.	Methodology for structuring, data collection and analysis	40
3.	Organization of tasks and team, timetable	10
4.	Appropriateness of the team on the basis of the expertise proposed	40
Total		100

Only those tenders with a mark higher than 50% of the maximum number of points for each quality criteria, and higher than 70% for the overall maximum number of points, will be considered for the award of the contract.

Price

For the purpose of the financial evaluation of the offers, the European Commission will use the lump sum price as submitted in the financial offer of the tenderer.

Award of the contract

The contract will be awarded to the tender achieving the highest score obtained by applying the following formula:

Score for tender X	=	Cheapest price	*	total quality score (out of 100) for all criteria of tender X
		Price of tender X		

A12.13 Annex: The final report

By commissioning an independent evaluation and/or review DG ECHO expects to obtain an objective, critical, easy to read and transparent analysis of its interventions. This analysis should contain the information needed by the Commission for management, policy-making and accountability. It should also include operational, realistic recommendations at operational and/or strategic level. Above all, the report should be a document that can function as a learning tool. Therefore, while writing it, the evaluators should always bear in mind why the report is done, for whom, and how the results will be used.

To each evaluation question quoted in the report the consultant will provide an evidence-base, reasoned answer. Conclusions²⁹⁰ will be provided pointing out strengths and weaknesses of the evaluated intervention, with special attention paid to the intended and unintended results. Furthermore, the report is a working tool of value to DG ECHO only as long as it is feasible and pragmatic, keeping in mind DG ECHO's mandate constraints

²⁹⁰ A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments. (OECD Glossary of Key terms in Evaluation and results based management)

and it clearly reflects the evaluator's independent view. DG ECHO's concern is to respect this independence.

The evaluation methods should be clearly outlined in the report and their appropriateness, focus and users should be explained pointing out strengths and weaknesses of the methods. The report should briefly outline the structure of the team (e.g. sector expertise, local knowledge, gender balance) and its appropriateness for the evaluation. It should also briefly outline the evaluators' biases and/or constraints that might have affected the evaluation and how these have been counteracted (past experiences, background, etc.).

The report shall be written in a straightforward manner in English with an Executive Summary at the beginning of the document. Final editing shall be provided by the contractor. The report should be in the font Time Roman 12, have single line spacing and be fully justified.

The final report should contain (also taking account of the above list of deliverables):

- An Executive Summary of maximum **5 pages**.
- A list of Abbreviations and Acronyms
- Technical annexes.
- Other annexes, as appropriate.

This format should be adhered to:

- *Cover page* (a template is provided at the end of this annex)
 - title of the evaluation report;
 - date of the evaluation;
 - name of the company;
 - disclaimer in the sense that "The opinions expressed in this document represent the views of the authors, which are not necessarily shared by the European Commission."
- Table of contents
- List of Abbreviations and Acronyms
- Executive Summary

A clearly drafted, to-the-point and free-standing Executive Summary is an essential element. It should be short, no more than **5 pages**. It should focus on the key purpose or issues of the evaluation, outline the main points of the analysis, and contain a matrix made of two columns clearly indicating the main conclusions and specific recommendations. Cross-references should be made to the corresponding page or paragraph numbers in the main text. EU Member States receive each Executive Summary, which is also published on DG ECHO website. The evaluation team should take this into account when drafting this part of the report.

- Main body of the report

The report should include at least a description of:

- the purpose of the evaluation
- the scope of the evaluation
- the design and conduct of the evaluation, including a description of the methodology used
- limitations and challenges
- the evidence found
- the analysis carried out
- the conclusions drawn in the form of reasoned answers to each of the evaluation questions provided in the Specifications. The questions must be quoted fully in the report, followed by an evidence-based answer. Conclusions should be fully

substantiated, and derive in a logical manner from the data collection and analysis carried out during the evaluation process

- recommendations for the future. Recommendations should be clearly linked to the findings and based on conclusions. They should be as realistic, operational and pragmatic as possible; they should take careful account of the circumstances currently prevailing in the context of the implementation of the humanitarian activities, DG ECHO's mandate and of the resources available to implement it both locally and at the Commission level. Recommendations should be prioritised, directed at specific users and where appropriate include an indicative timeframe.

All possible confidential information shall be presented in a separate, non-formal annex.

While finalising the report and its annexes, the evaluators must always highlight changes (using track changes) and modifications introduced as resulting from the meeting and the comments received from DG ECHO Evaluation Sector.

Each report and all its annexes shall be transmitted in electronic form to DG ECHO – To the attention of DG ECHO A3/Evaluation sector, AN88 04/05, B-1049 Brussels, Belgium.

The final report should be sent by email to DG ECHO Evaluation Sector (ECHO-EVAL@ec.europa.eu) in three separate documents in PDF format each containing: the executive summary, the report without its annexes (also removed from the table of contents) and the report with its annexes.

Annex 13 Executive summary in French

Document de synthèse

Objectifs et portée de l'évaluation

Ce rapport présente les résultats de l'évaluation intermédiaire du mécanisme de protection civile de l'Union (MPCU), mis en œuvre par la Direction générale de l'aide humanitaire et de la protection civile (DG ECHO). L'évaluation a été effectuée par ICF, avec la contribution de trois experts externes.

Le but était de procéder à une évaluation intermédiaire de la mise en œuvre et de l'application de la décision n° 1313/2013/UE (ci-après «la décision») relative au MPCU. L'évaluation portait sur l'efficacité, l'efficience, la pertinence, la cohérence, la valeur ajoutée de l'UE ainsi que la viabilité du MPCU et avait pour but d'émettre des recommandations sur la façon dont la mise en œuvre de la décision pourrait être améliorée.

Les résultats de cette évaluation intermédiaire visent à aider la Commission à:

- identifier les principaux résultats et les aspects quantitatifs et qualitatifs de la mise en œuvre de la décision;
- expliquer les progrès réalisés dans la mise en œuvre de la décision, en particulier dans la réalisation des objectifs;
- identifier les lacunes ou les dysfonctionnements dans la mise en œuvre de la décision;
- améliorer la mise en œuvre des dispositions législatives existantes;
- contribuer à une éventuelle proposition de modification de la décision ou de ses actes d'application; et
- fournir, le cas échéant, des informations pour l'examen de la répartition financière du MPCU, conformément à l'article 19, paragraphe 5.

L'évaluation intermédiaire donne lieu à un rapport que la Commission est tenue de fournir au Parlement européen et au Conseil, au plus tard le 30 juin 2017, en vertu de l'article 34 de la décision. L'évaluation portait sur les activités menées dans le cadre du MPCU entre janvier 2014 et décembre 2016. Elle a examiné toutes les activités horizontales du MPCU et celles classées selon les trois piliers thématiques du MPCU: prévention, préparation et réaction aux catastrophes.

Le mécanisme et l'instrument financier

Le MPCU est un cadre de coopération en matière de gestion des risques de catastrophes naturelles ou provoqué par l'homme entre les autorités de protection civile nationales en Europe. Son prédécesseur a été créé en 2001 dans le but d'assurer une aide coordonnée des États participants en cas d'urgence. Avec l'entrée en vigueur de la décision en janvier 2014, la prévention et la préparation aux catastrophes sont devenues des piliers essentiels du MPCU.

L'article premier, paragraphe 1, de la décision énonce l'objectif général et l'objet du mécanisme. L'article 3, paragraphe 1 de la décision, stipule que le MPCU «soutient, coordonne ou complète» la coordination des interventions des États membres, en vue de la réalisation des objectifs spécifiques suivants:

- assurer un niveau élevé de protection contre les catastrophes en prévenant ou en réduisant leurs effets, ainsi qu'en encourageant le développement d'une culture de la prévention et en améliorant la coopération entre le service de protection civile et les autres services concernés;

- mieux préparer les États membres et l'Union à faire face aux catastrophes;
- favoriser la mise en œuvre d'une réaction rapide et efficace lorsqu'une catastrophe majeure survient ou est imminente; et
- sensibiliser l'opinion publique et améliorer la préparation des citoyens européens aux catastrophes.

Au cours de la période 2014-2016, près de 131 millions d'euros ont été alloués à la mise en œuvre des activités du MPCU, dont près de 75 % au titre de la prévention et de la préparation. La prévention comprend les activités suivantes: améliorer la base de connaissances pour la prévention des catastrophes; amener l'UE à recenser les risques de protection civile; organiser des missions de conseil pour soutenir et aider les pays tiers à mettre en œuvre des mesures de protection civile; effectuer des examens par les pairs; sensibiliser l'opinion et diffuser les bonnes pratiques. Dans le cadre du pilier relatif à la préparation, le MPCU gère le Centre de coordination de la réaction d'urgence (ERCC), qui assure une réponse coordonnée et plus rapide en cas de catastrophe et propose des systèmes d'alerte précoce, d'analyse et de communication. En outre, la Commission finance des programmes de formation, d'exercice et d'échange en matière de protection civile afin de fournir aux experts européens et au personnel national de protection civile des connaissances théoriques utiles et de renforcer la coopération sur le terrain entre les États participants. Au titre de son pilier relatif à la réaction, le MPCU coordonne la réponse européenne aux catastrophes à l'intérieur et à l'extérieur de l'Union en déployant des experts européens en protection civile et en contribuant au transport et à l'équipement des équipes nationales de protection civile.

Approche méthodologique

Les évaluateurs ont examiné la documentation, les données et les publications et extrait des informations qualitatives et quantitatives pertinentes aux fins de l'évaluation. Les principales données ont été recueillies par le biais de différentes méthodes notamment:

- des entretiens téléphoniques et en face-à-face auprès d'un large éventail de parties prenantes;
- cinq enquêtes auprès des points de contact nationaux et des partenaires nationaux, des autres autorités nationales compétentes, des formateurs et des coordinateurs de formation nationaux, des experts de la protection civile participant au programme d'échange d'experts, des chefs de projets de prévention et de préparation;
- trois études de cas, dont les résultats ont été utilisés pour trianguler les informations reçues via les outils de consultation ainsi que pour tester et confirmer les résultats; et
- une analyse de la consultation publique ouverte (CPO) qui s'est déroulée de fin novembre 2016 à fin février 2017.

Résultats concernant les activités horizontales et piliers du MPCU

Activités horizontales: dans un esprit de soutien mutuel, un système d'examen par les pairs a été mis en place pour inviter les États participants et les pays tiers à indiquer les domaines à améliorer. Deux examens pilotes par les pairs ont été menés, dans le contexte du Cadre d'action de Hyogo²⁹¹, avec le Bureau des Nations Unies pour la réduction des risques de catastrophe (UNISDR) et l'Organisation de coopération et de développement économiques (OCDE). Six autres examens par les pairs portaient sur des thèmes plus spécifiques ou sur des travaux récents dans le domaine de la réduction des risques de catastrophe, mis en œuvre dans certains pays.²⁹² Les parties prenantes

²⁹¹ Le cadre international des Nations Unies pour la réduction des risques de catastrophe.

²⁹² Bulgarie, 2015 - systèmes de gestion des catastrophes; Géorgie, 2015 - évaluation des risques et alerte précoce; Turquie, 2015 - gouvernance et responsabilités en matière de gestion des catastrophes et des situations d'urgence; Pologne, 2016 -

impliquées ont généralement considéré le programme d'examen par les pairs comme efficace, même si certains États participants ont refusé d'y prendre part. À l'avenir, il faudra encore améliorer la transparence et le suivi du processus et des résultats.

Le MPCU a mené des missions de prévention et de préparation aux situations d'urgence pour aider les États participants ou les pays tiers à mettre en œuvre des mesures de prévention et de préparation et à fournir des conseils spécialisés en engageant des équipes d'experts. Des problèmes de visibilité et d'accessibilité demeurent dans les pays tiers, ainsi que des difficultés de suivi de ces missions.

La décision a institué un programme fondé sur le «retour sur expérience». Les parties prenantes consultées ont estimé que ce programme avait été bien mis en œuvre, avec des exemples positifs d'identification formelle (écrite) des enseignements tirés et d'autres situations plus informelles dans lesquelles les enseignements avaient été identifiés suite à une formation, des exercices ou des opérations de réaction. La mise en œuvre constante et systématique d'exercices de retour sur expérience après chaque opération de réaction constitue un défi. Les trois études de cas ont conclu que les enseignements n'étaient pas toujours identifiés ou perçus comme tels. Le manque de suivi et de prise en compte des résultats du programme de retour sur expérience sont considérés comme problématiques, tant pour la Commission que pour les États participants.

Prévention des catastrophes: le MPCU a amélioré le niveau de protection contre les catastrophes en prévenant ou en atténuant leurs effets potentiels. Il pourrait permettre d'atteindre l'objectif de prévention des risques de catastrophe s'il est évalué en fonction du nombre d'États participants qui ont soumis des résumés de leurs évaluations nationales des risques (ENR). Les progrès réalisés sont utiles pour améliorer la planification de la préparation et de la réaction des États membres aux catastrophes. Ces évaluations doivent couvrir tous les domaines politiques connexes et engager d'autres parties prenantes nationales (par exemple, les ministères, le secteur privé et le milieu universitaire). Le fait de soumettre des résumés des ENR tous les trois ans devrait étendre encore leur portée. Toutefois, l'indicateur spécifié dans la décision ne tient pas pleinement compte des progrès réalisés concernant l'objectif de prévention des catastrophes.

La base de connaissances dans le domaine de la prévention s'améliore grâce à la recherche et aux activités scientifiques. Ces progrès sont dus à l'accroissement du financement de la prévention et de la gestion des risques de catastrophe ces dernières années grâce aux fonds de cohésion. Les praticiens des États participants affichent un faible niveau de sensibilisation à ces connaissances et recherches. Le MPCU doit assurer une bonne visibilité des résultats scientifiques et de recherche en invitant les praticiens nationaux à participer aux ateliers, aux conférences, aux initiatives de recherche et à d'autres activités utiles.

- **Préparation aux catastrophes:** le MPCU a amélioré la préparation aux catastrophes au niveau des États participants et de l'UE. Le programme de formation et les exercices ont fait l'objet d'une coordination efficace à l'échelon de l'UE et sont perçus positivement par toutes les parties prenantes concernées. Le programme a considérablement renforcé la capacité de l'UE et la réserve d'experts en protection civile par rapport à 2007-2013. Le programme de formation en cours vise à améliorer la coordination, la compatibilité et la complémentarité entre les capacités des pays. Le défi consiste à faire passer le programme d'un système axé sur le rendement (par exemple, le nombre de participants) à un système améliorant l'identification des besoins de formation, des cours requis, du niveau d'acquisition des enseignements et des impressions des participants. L'accès continu aux cours devrait être assuré pour les petits États participants. La faible

capacités d'évaluation des risques; Estonie, 2016 - capacité de gestion des risques de catastrophe; Malte, 2016 - évaluation des risques.

proportion de personnes formées parmi les personnes déployées est également un sujet de préoccupation.

D'importants progrès ont été réalisés dans la réalisation des objectifs de capacité initiale de la Capacité européenne de réaction d'urgence (EERC). Dans la plupart des cas, le nombre de modules différents et des autres capacités a dépassé les objectifs initiaux. La mise en place de l'EERC, qui rassemble des équipes de secours, des experts et des équipements de toutes sortes fournis par les États participants, a assuré une bonne qualité globale des modules et amélioré la fiabilité du système. Nous sommes passés d'un système de coordination réactif et ad hoc à une organisation plus prévisible, planifiée à l'avance et cohérente de la réaction de l'UE en cas de catastrophe. Il demeure primordial de recenser les besoins en capacités et de définir des objectifs et des normes de qualité appropriés en la matière.

Le programme d'échange d'experts, qui prévoit le détachement d'experts en protection civile d'un État participant à l'autre, est perçu de façon positive, mais la capacité des participants à transmettre les compétences et les connaissances acquises est limitée. Bien que ce processus d'acquisition et de transfert de connaissances soit encouragé par le programme, il repose sur la volonté des participants. Il n'existe actuellement que des moyens limités pour évaluer les effets en cascade de ces connaissances au niveau national.

Réaction en cas de catastrophe: le MPCU a progressivement mis en place une réaction rapide et efficace en cas de catastrophe ou de catastrophe imminente. L'évaluation corrobore les résultats du rapport de la Cour des comptes européenne (CCE) pour les opérations de réaction rapide. Le Centre de coordination de la réaction d'urgence (ERCC), successeur du Centre de suivi et d'information (MIC), a renforcé la capacité de coordination des opérations de réaction, tandis que la création de points de contact nationaux a amélioré la coordination et l'échange d'informations.

Par exemple, l'ERCC a contribué à renforcer la préparation du secteur de la protection civile, tant au niveau de l'UE qu'au niveau national. Il a prouvé son efficacité pour répondre aux catastrophes à l'intérieur et à l'extérieur de l'UE, bénéficiant des activités interconnectées du MPCU. Les activités mises en œuvre dans le cadre du pilier relatif à la préparation ont un impact positif sur les activités menées au titre du pilier relatif à la réaction.

Des progrès ont également été réalisés avec Copernicus, le programme d'observation de la Terre de l'UE pour l'observation et la surveillance en temps réel au moyen de satellites et de systèmes de mesure au sol. Ont notamment été mis au point des outils d'alerte précoce tels que le système européen d'alerte pour les inondations (EFAS), qui permet de prévoir les inondations, et le système européen d'information sur les feux de forêt (EFFIS), qui permet d'obtenir des informations à jour sur les feux de forêt. Ces systèmes sont devenus pleinement opérationnels en 2012 et ont été intégrés dans un système de gestion des situations d'urgence (EMS). La poursuite du déploiement et de l'utilisation de ces outils peut être attribuée à la coopération entre la DG ECHO, le Centre commun de recherche de la Commission européenne (CCR) et la DG GROW.

Le système commun de communication et d'information d'urgence (CECIS) est une application en ligne utilisée pour l'échange d'informations en temps réel et de communication entre les autorités de protection civile des États membres et l'ERCC. Il sert à demander de l'aide. Les autorités de protection civile considèrent qu'il s'agit d'un outil utile pour le partage d'informations, mais ses fonctionnalités devraient être améliorées pour plus d'efficacité. En particulier, il faudra améliorer la présentation des informations et les fonctionnalités de compilation des données. Les limitations actuelles du système, qui sont devenues apparentes avec la croissance du MPCU, rendent plus difficile le suivi des indicateurs prévus dans la décision (notamment la vitesse de réaction des opérations individuelles).

Dans le domaine des transports, le MPCU prévoit une mise en commun des ressources des États membres en cas d'urgence, c'est-à-dire un éventuel partage d'avions ou de camions. Toutefois, il existe très peu de cas de partage des transports entre les États participant à des opérations de réaction. La Commission européenne a aussi désigné un intermédiaire de transport pour organiser le transport de l'aide en nature en cas d'urgence. Il s'agit d'une ressource importante pour faciliter les transports, qui s'est avérée particulièrement efficace lors de la crise des réfugiés en 2015-2016 pour certains États participants. Cependant, cette ressource est généralement sous-utilisée.

Autres résultats clés du MPCU

Valeur ajoutée de l'UE: l'évaluation a révélé que le mécanisme présente une valeur ajoutée européenne évidente pour les États participants dans les trois piliers. La réalisation d'ENR bénéficie à l'ensemble de l'UE, car cela permet de mieux cerner les risques et les lacunes des capacités de réaction de l'Union. L'ajout de nouvelles capacités via la réserve volontaire a permis d'améliorer la préparation globale au niveau de l'UE et contribué au déploiement immédiat de ressources. En ce qui concerne la réaction, la valeur ajoutée de l'UE était plus évidente au vu des capacités disponibles à l'échelon de l'UE et de la possibilité de solliciter une réponse coordonnée à l'échelle de l'UE au moyen d'une plateforme unique.

Pertinence: les objectifs généraux et spécifiques de la décision tiennent compte des besoins au sein de l'UE. Les résultats de l'évaluation indiquent que les objectifs généraux et spécifiques de la décision correspondent actuellement aux besoins du secteur de la protection civile et des différents groupes d'intervenants. Reste néanmoins à déterminer comment améliorer la pertinence du MPCU pour les opérations de réaction dans le contexte des crises humanitaires.

Sensibilisation et préparation du public: le MPCU n'a pas été très efficace pour sensibiliser le public et le préparer aux catastrophes. Les mécanismes, outils et ressources de surveillance utilisés sont limités et ne permettent pas d'exploiter pleinement les informations de surveillance, ce qui entrave la mesure des progrès obtenus dans la réalisation des objectifs et l'efficacité du MPCU en cas de catastrophe.

Adaptabilité: la décision facilite la flexibilité du mécanisme dans le cadre de la gestion des risques de catastrophe, lors du traitement et de l'adaptation aux nouveaux développements, même s'il existe des défis liés aux différents types de catastrophes, comme en témoigne la crise des réfugiés en 2015-2016. Le MPCU intervient dans un contexte international de plus en plus large. Il a renforcé sa coopération avec les partenaires internationaux, notamment par des protocoles d'entente et/ou des dispositions de travail avec des partenaires internationaux clés. Le rôle croissant du MPCU à l'intérieur et à l'extérieur de l'UE est reconnu, mais il est encore possible d'améliorer la coordination opérationnelle avec les partenaires internationaux, les pays voisins et les autres pays tiers. Les opérations de réaction dans les situations d'urgence complexes, telles que les interventions humanitaires et la réponse à la crise des réfugiés, ont permis de débattre du rôle et de la portée du MPCU, ainsi que de l'adaptabilité des acteurs de la protection civile et de leur capacité à fonctionner efficacement dans de telles circonstances.

Coopération: une coopération interinstitutionnelle continue, via des canaux de communication établis, est cruciale pour assurer la complémentarité des actions entreprises par les DG de la Commission dans le domaine de la protection civile. Le MPCU a considérablement renforcé les liens vers d'autres politiques publiques grâce à la coopération entre la DG ECHO et d'autres directions générales et agences exécutives. Citons en particulier la coopération avec le DRMKC (le Centre de connaissances sur la gestion des risques de catastrophe), la DG GROW dans le cadre de Copernicus, la DG Politique régionale (en particulier via l'inclusion de la conditionnalité *ex ante* sur la prévention et la gestion des risques de catastrophe dans les projets de politique de cohésion), la DG Environnement (notamment via la directive sur les inondations et la

directive Seveso), la DG Action pour le climat sur l'adaptation au changement climatique, la DG Santé et sécurité alimentaire et le Centre européen de prévention et de contrôle des maladies (CEPCM) pour les activités liées à la santé (y compris le corps médical européen) et la DG NEAR dans le cadre de la politique de voisinage et d'élargissement. Reste encore à améliorer les synergies avec certaines DG et agences de la Commission pour des besoins spécifiques *ad hoc*. Il est également possible d'améliorer la complémentarité des financements et la cohérence stratégique avec la DG Politique régionale, ainsi que les synergies avec la DG Migration et Affaires intérieures en ce qui concerne les problèmes de sécurité et de terrorisme.

Durabilité: les États participants mènent des activités visant à assurer la durabilité des actions financées par le MPCU. Le partage des connaissances et les activités de sensibilisation font partie des pratiques habituelles des États participants, comme en témoigne la diffusion des résultats et des connaissances obtenus dans le cadre des projets de prévention et de préparation, du programme d'échange d'experts, des activités de formation et des exercices. Cependant, en l'absence de structures institutionnalisées (par opposition aux initiatives et relations *ad hoc*), la durabilité des actions spécifiques (telles que projets, formations, exercices et échanges) est compromise et les changements d'emploi ou les départs à la retraite peuvent entraîner une perte de capacité institutionnelle.

Principales recommandations

Recommandations relatives aux trois piliers:

La portée précise des interventions de protection civile en dehors de l'UE devrait être mieux définie.

Il faudrait développer et mettre en place des outils et des systèmes de surveillance améliorés, permettant de mesurer de manière constante et précise l'efficacité des activités menées au titre du MPCU.

Recommandations pour les activités horizontales

Il faudrait renforcer la visibilité et le suivi du programme d'évaluation par les pairs.

Une amélioration de l'accessibilité des missions de prévention et de préparation dans les pays tiers et des informations en la matière s'impose et il faudrait organiser systématiquement des événements autour des enseignements tirés après chaque activité.

Recommandations concernant la prévention

La pertinence des projets de prévention (et de préparation) devrait être améliorée par: l'organisation conjointe de réunions de lancement et de clôture et un suivi plus rigoureux des résultats; des activités de sensibilisation pour faire connaître le centre de connaissances et ses activités aux praticiens nationaux; un soutien pour aider les États participants à élaborer des résumés plus complets des ENR par le biais d'ateliers et de conseils supplémentaires sur les domaines politiques connexes.

Recommandations concernant la préparation

Les objectifs de capacité de la réserve volontaire devraient être définis plus en détail, sur la base de critères précis.

Il faudrait améliorer la valeur des informations contenues dans la base de données par: la définition de profils d'experts; l'évaluation des performances individuelles à l'issue de chaque formation, exercice et déploiement; la mise en place d'une interface de recherche pour les experts; une cartographie des pratiques nationales de formation.

Recommandations concernant la réaction

Pour certaines délégations de l'UE dans le monde, il serait nécessaire de renforcer l'expertise en matière de protection civile en désignant des conseillers spécialisés dans ce domaine.

Il faudrait améliorer le CECIS en ajoutant un outil de recherche et en facilitant la sélection de critères afin de filtrer de grandes quantités d'informations.

Une évaluation détaillée de la vitesse de réaction devrait être réalisée après chaque opération de réaction.

Il faudrait noter plus en détail les informations relatives aux subventions de transport afin de faciliter la définition de critères de coûts, notamment les limites inférieures et supérieures des coûts prévus (pour les avions et les heures de vol, par exemple).

Annex 14 Executive summary in German

Zusammenfassung

Ziele und Aufgabenstellung der Evaluierung

Dieser Bericht stellt die Ergebnisse der Zwischenevaluierung des von der Generaldirektion Humanitäre Hilfe und Katastrophenschutz (GD ECHO) umgesetzten Katastrophenschutzverfahrens der Union (UCPM) vor. Die Evaluierung wurde von ICF unter Berücksichtigung der Beiträge von drei externen Experten durchgeführt.

Die Evaluierung soll eine unabhängige Zwischenanalyse des Beschlusses Nr. 1313/2013 durchführen (nachfolgend „der Beschluss“). Die Evaluierung beurteilt die Effektivität, Effizienz, Relevanz, Kohärenz, und den Mehrwert durch die EU sowie die Nachhaltigkeit des UCPM und gibt außerdem Empfehlungen dazu, wie die Umsetzung des Beschlusses verbessert werden könnte.

Die Ergebnisse dieser Zwischenevaluierung sollen die Kommission bei den folgenden Aufgaben unterstützen:

- Ermittlung der wichtigsten Ergebnisse sowie der quantitativen und qualitativen Aspekte der Umsetzung des Beschlusses;
- Erklärung des Fortschritts, der im Hinblick auf die Umsetzung des Beschlusses gemacht wurde, insbesondere, inwiefern seine Ziele erreicht wurden;
- Ermittlung von Lücken oder Schwachpunkten bei der Umsetzung des Beschlusses;
- Verbesserung der Umsetzung bestehender Gesetzesvorschriften;
- Vorschläge zur Änderungsvorschläge zum Beschluss oder zur entsprechenden Durchführungsrechtsakte;
- Gegebenenfalls Bereitstellung von Informationen zur Überprüfung der Kostenverteilung des UCPM nach Artikel 19 (5).

Die Ergebnisse der Zwischenevaluierung fließen in den Zwischenbericht ein, den die Kommission nach Artikel 34 des Beschlusses bis 30. Juni 2017 dem Europäischen Parlament und dem Rat vorlegen musste. Die Aufgabenstellung der Bewertung erstreckte sich auf Maßnahmen, die zwischen Januar 2014 und Dezember 2016 im Rahmen des UCPM durchgeführt wurden. Sie berücksichtigt alle horizontalen Maßnahmen des UCPM sowie die Maßnahmen, die nach dem UCPM unter drei thematische Grundsätze fallen – Prävention, Vorsorge und Bewältigung von Naturkatastrophen und vom Menschen verursachte Katastrophen. .

Das Verfahren und das Finanzierungsinstrument

Das UCPM ist ein Rahmen für die Zusammenarbeit der nationalen Katastrophenschutzbehörden in ganz Europa. Das Vorgängerverfahren wurde 2001 eingerichtet, um sicherzustellen, dass die Teilnehmerstaaten bei der Bewältigung von Notfällen koordinierte Unterstützung erhalten. Durch den Beschluss, der im Januar 2014 in Kraft trat, wurden Katastrophenprävention und -vorsorge zu wichtigen Grundsätzen des UCPM.

Artikel 1 (1) des Beschlusses beschreibt die allgemeinen Ziele und den Gegenstand des Verfahrens. Laut Artikel 3 (1) des Beschlusses werden durch das UCPM die Maßnahmen „der Mitgliedstaaten unterstützt und ergänzt und ihre Koordinierung erleichtert“, wobei die folgenden gemeinsamen spezifischen Ziele verfolgt werden:

- Hohes Katastrophenschutzniveau durch Verhinderung oder Verringerung der potenziellen Auswirkungen von Katastrophen durch Förderung einer

Präventionskultur und die Verbesserung der Zusammenarbeit zwischen dem Katastrophenschutz- und anderen einschlägigen Diensten;

- Bessere Katastrophenvorsorge auf Ebene der Mitgliedstaaten und der Union; Erleichterung der Ergreifung rascher und wirksamer Bewältigungsmaßnahmen, wenn eine Katastrophe eingetreten ist oder eintreten droht;
- Stärkung des Bewusstseins und der Vorbereitung der Öffentlichkeit im Bezug auf Katastrophen.

Zwischen 2014 und 2016 wurden für die Umsetzung von UCPM-Maßnahmen fast 131 Mio. EUR zugewiesen, wobei beinahe 75 % dieser Mittel für Prävention und Vorsorge bereitgestellt wurden. Zu den Präventionsmaßnahmen zählen: Verbesserung der Wissensbasis für die Katastrophenprävention; das Sicherstellen eines gemeinsamen Verständnisses für die Risiken des Katastrophenschutzes; Organisation von beratenden Missionen zur Unterstützung von Drittländern und zur Bereitstellung entsprechender Beratung über die Umsetzung von Katastrophenschutzmaßnahmen; Durchführung von gegenseitigen Begutachtungen; Sensibilisierung und Verbreitung bewährter Vorgehensweisen. Im Rahmen des Grundsatzes der Vorsorge verwaltet das UCPM das Zentrum für die Koordination von Notfallmaßnahmen (ERCC), das eine koordinierte und schnellere Reaktion auf Katastrophen sicherstellt und für Frühwarn-, Analyse- und Kommunikationssysteme zuständig ist. Darüber hinaus finanziert die Kommission Ausbildungs-, Übungs- und Austauschprogramme, um europäische Experten und nationale Katastrophenschutzmitarbeiter mit dem relevanten theoretischen Wissen auszustatten und die Zusammenarbeit vor Ort zwischen den Teilnehmerstaaten zu verbessern. Im Rahmen des Grundsatzes der Bewältigung koordiniert das UCPM die europäische Katastrophenbewältigung innerhalb sowie außerhalb der Union, indem es europäische Katastrophenschutzexperten entsendet und Unterstützung für den Transport von nationalen Katastrophenschutzteams und für deren Ausrüstung bereitstellt.

Methodik

Das Evaluierungsteam hat Unterlagen, Daten und Literatur überprüft und diesen relevante qualitative und quantitative Informationen entnommen und in die Bewertung einfließen lassen. Primärdaten wurden durch verschiedene Methoden erhoben, unter anderem durch:

- Telefon- und persönliche Interviews mit einer Vielzahl verschiedener Interessengruppen;
- Fünf Umfragen mit nationalen Kontaktstellen und nationalen Partnern, anderen relevanten Behörden, Ausbildern und nationalen Ausbildungskoordinatoren, Katastrophenschutzexperten, die am Programm zum Austausch von Experten teilnehmen, sowie mit Leitern von Präventions- und Vorsorgeprojekten;
- Drei Fallstudien, deren Ergebnisse verwendet wurden, um Informationen zu triangulieren, die über die Konsultationstools eingegangen sind, sowie um die Erkenntnisse zu testen und zu bestätigen;
- Die Analyse der offenen öffentlichen Konsultation, die zwischen Ende November 2016 und Ende Februar 2017 stattfanden.

Ergebnisse zu horizontalen Maßnahmen und Grundsätzen des UCPM

Horizontale Maßnahmen: Es wurde ein System der gegenseitigen Begutachtung eingerichtet, über das Teilnehmerstaaten und Drittländer ermitteln konnten, in welchen Bereichen Verbesserungsbedarf bestand. Zusammen mit dem Büro der Vereinten Nationen für die Verringerung des Katastrophenrisikos (UNISDR) sowie der Organisation für wirtschaftliche Zusammenarbeit und Entwicklung (OECD) wurden mithilfe des Hyogo-Rahmenaktionsplans²⁹³ zwei gegenseitige Pilotbegutachtungen durchgeführt. Sechs

²⁹³ Der internationale Rahmen der Vereinten Nationen zur Reduktion des Katastrophenrisikos.

weitere gegenseitige Begutachtungen konzentrierten sich auf speziellere Themen oder jüngste Entwicklungen im Bereich der Verringerung des Katastrophenrisikos, die in bestimmten Ländern umgesetzt worden waren.²⁹⁴ Die beteiligten Interessengruppen empfanden das Programm der gegenseitigen Begutachtung grundsätzlich als effektiv, allerdings waren nicht alle Teilnehmerstaaten zur Mitwirkung bereit. Es bleibt noch einiges zu tun, um die Transparenz zu verbessern und Prozesse und Ergebnisse nachzuverfolgen.

Das UCPM führte in Notfallsituationen Präventions- und Vorsorgemissionen durch, um Teilnehmer- und Drittstaaten bei der Umsetzung von Präventions- und Vorsorgemaßnahmen zu unterstützen, und stellte durch die Arbeit mit Expertenteams fachlichen Rat bereit. Es gibt bei diesen Missionen einige Probleme im Hinblick auf Sichtbarkeit, Zugänglichkeit für Drittländer und Nachverfolgung.

Durch den Beschluss wurde ein Programm zur Erkenntnisauswertung eingerichtet. Die hinzugezogenen Interessengruppen empfanden dieses Programm als gut umgesetzt, und es gab positive Beispiele sowohl für die formale (schriftliche) Ermittlung von Erkenntnissen als auch ein weniger förmliches Vorgehen, bei dem Erkenntnisse nach Schulungen, Übungen oder Bewältigungsmaßnahmen ermittelt wurden. Derzeit gibt es noch Herausforderungen, wenn es darum geht, nach Bewältigungsmaßnahmen, Schulungen und Plan- oder Modulübungen konsequent und systematisch Übungen zur Erkenntnisauswertung umzusetzen. In den drei Fallstudien wurde festgestellt, dass die Erkenntnisse nicht konsequent ermittelt wurden oder die Beteiligten dies nicht so wahrnehmen. Die mangelnde Nachverfolgung und Berücksichtigung von Erkenntnissen wurde sowohl für die Kommission als auch die Teilnehmerstaaten als Problem angesehen.

Katastrophenprävention: Dem UCPM ist es gelungen, einen besseren Schutz vor Katastrophen zu erreichen, indem es ihre möglichen Folgen vermeidet oder eindämmt. Basierend auf den von den Teilnehmerstaaten eingereichten Zusammenfassungen nationaler Risikobewertungen erfüllt das UCPM wahrscheinlich das Ziel bezüglich der Katastrophenrisikoprävention. Der gemachte Fortschritt ist für die Verbesserung der Planung von Vorsorge- und Bewältigungsmaßnahmen maßgeblich. Diese Bewertungen müssen verwandte Politikbereiche sowie andere nationale Interessengruppen (z. B. Ministerien, die Privatwirtschaft und Hochschulen) miteinbeziehen. Diese Abdeckung dürfte noch umfassender werden, wenn alle drei Jahre Zusammenfassungen der nationalen Risikobewertungen vorgelegt werden. Der Indikator, den der Beschluss vorsieht, berücksichtigt jedoch den Fortschritt bei dem Ziel der Katastrophenprävention nicht in vollem Umfang.

Dank Forschungs- und wissenschaftlichen Maßnahmen verbessert sich die Wissensbasis im Bereich der Prävention stetig. Die Verbesserungen sind darauf zurückzuführen, dass für Risikoprävention und -management dank des Kohäsionsfonds mehr Mittel zur Verfügung stehen. Die Fachkräfte in den Teilnehmerstaaten sind sich dessen nur wenig bewusst. Das UCPM muss sicherstellen, dass die wissenschaftlichen und Forschungsergebnisse bekannt werden, indem nationale Fachkräfte durch Workshops, Konferenzen, Forschungsinitiativen und andere relevante Maßnahmen miteinbezogen werden.

- **Katastrophenvorsorge:** Dank des UCPM sind sowohl die Teilnehmerstaaten als auch die EU besser darauf vorbereitet, Katastrophen zu bewältigen. Sowohl die Schulungsprogramme als auch die Übungen wurden auf EU-Ebene effektiv koordiniert und werden von allen Interessengruppen als positiv empfunden. Das Programm hat die Kapazitäten der EU und die Anzahl der Katastrophenschutzexperten im Vergleich zum Zeitraum 2007 bis 2013 erheblich

²⁹⁴ Bulgarien 2015 – Katastrophenmanagementsysteme; Georgien 2015 – Risikobewertung und Frühwarnung; Türkei 2015 – Politische Steuerung und Rechenschaft im Katastrophen- und Notfallmanagement; Polen 2016 – Möglichkeiten der Risikobewertung; Estland 2016 – Möglichkeiten des Katastrophenrisikomanagements; Malta 2016 – Risikobewertung.

gesteigert. Das Schulungsprogramm ist auf dem bestem Wege, sein Ziel zu erreichen, die Koordinierung, Kompatibilität und Komplementarität zwischen den Kapazitäten der Länder zu verbessern. Herausforderungen gibt es dabei, sicherzustellen, dass das Programm von einem an Ergebnissen (z. B. der Anzahl der Teilnehmer) orientierten System auf eines umgestellt wird, das besser geeignet ist, zu ermitteln, welcher Schulungsbedarf besteht und welche Kurse notwendig sind, sowie Erkenntnisse und Feedback der Teilnehmer umzusetzen. Es sollte sichergestellt werden, dass kleine Teilnehmerstaaten weiterhin Zugang zu Kursen haben. Auch die Tatsache, dass sich unter dem eingesetzten Personal nur ein geringer Anteil ausgebildeter Kräfte befindet, gibt Anlass zur Sorge.

Im Hinblick auf die vorgesehenen Anfangskapazitäten der Europäischen Notfallbewältigungskapazität (EERC) wurden gute Fortschritte gemacht. Die Anzahl der verschiedenen Module und anderen Kapazitäten haben die anfänglichen Zielvorgaben in den meisten Fällen weit übertroffen. Durch die Einrichtung der EERC, die eine Vielzahl an Einsatzteams, Experten und Ausrüstung aus den Teilnehmerstaaten zusammenzieht, konnten eine gute Gesamtqualität der Module sichergestellt und das System zuverlässiger gemacht werden. Das reaktive Ad-hoc-Koordinationssystem gibt es inzwischen nicht mehr. Stattdessen ist die Katastrophenbewältigung der EU heute berechenbarer, stärker im Voraus geplant und kohärenter organisiert. Wichtige Herausforderungen sind weiterhin die Festlegung des Kapazitätsbedarfs und die Festsetzung von angemessenen Zielvorgaben für die Kapazität sowie von Qualitätsstandards.

Das Programm zum Austausch von Experten, in dessen Rahmen ein Teilnehmerstaat einem anderen vorübergehend Katastrophenschutzexperten überlassen kann, wird als positiv empfunden, aber die Möglichkeiten der Teilnehmer, ihre Fähigkeiten und ihr Wissen weiterzugeben, ist nur beschränkt. Zwar ermutigt das Programm zum Erwerb und zur Weitergabe von Wissen, es setzt dazu jedoch auf die Bereitschaft der einzelnen Teilnehmer. Derzeit stehen nur begrenzt Möglichkeiten zur Verfügung, die Kaskadierungseffekte dieses Wissens auf nationaler Ebene zu beurteilen.

Katastrophenbewältigung: Das UCPM hat bei dem Ziel einer raschen und effizienten Bewältigung von Katastrophen, die eingetreten sind oder eintreten drohen, Fortschritte gemacht. Die Bewertung bestätigt die grundlegenden Ergebnisse aus dem Bericht des Europäischen Rechnungshofs (EuRH) im Hinblick auf Bewältigungsmaßnahmen. Das Zentrum für die Koordination von Notfallmaßnahmen (ERCC) – der Nachfolger des Beobachtungs- und Informationszentrums (MIC) – hat die Kapazität zur Koordination von Bewältigungsmaßnahmen verbessert, und durch die Einrichtung der nationalen Kontaktstellen konnten die Koordination und der Austausch von Information weiter verbessert werden.

Zum Beispiel hat das ERCC dazu beigetragen, dass der Katastrophenschutz sowohl in der EU als auch in den einzelnen Ländern besser auf Einsätze vorbereitet ist. Es konnte effektiv auf Katastrophen inner- und außerhalb der EU reagieren und hat dabei von den miteinander verbundenen UCPM-Maßnahmen profitiert. Maßnahmen, die im Rahmen des Grundsatzes der Vorsorge umgesetzt wurden, wirken sich auch positiv auf die Maßnahmen des Grundsatzes der Bewältigung aus.

Auch beim Copernicus-Programm, dem Erdbeobachtungsprogramm der EU für Beobachtungs- und Überwachungsmaßnahmen in Echtzeit mithilfe von Satelliten und erdgebundenen Messsystemen, wurden Fortschritte gemacht. Dazu gehören Frühwarnsysteme wie das europäische Hochwasserfrühwarnsystem (EFAS) zur Vorhersage von Überschwemmungen und das europäische Waldbrandinformationssystem (EFFIS), das aktuelle Informationen über Waldbrände bereitstellt. Diese Systeme wurden 2012 in vollem Umfang in Betrieb genommen und in das Notfallmanagementsystem (EMS) integriert. Die Tatsache, dass diese Instrumente weiter wachsen und eingesetzt werden, kann auf die Zusammenarbeit zwischen der GD ECHO, der Gemeinsamen

Forschungsstelle (JRC) der Europäischen Kommission sowie der GD GROW zurückgeführt werden.

Das Gemeinsame Kommunikations- und Informationssystem für Notfälle (CECIS) ist eine Online-Anwendung, welche die Katastrophenschutzbehörden der Mitgliedstaaten und das ERCC verwenden, um in Echtzeit Informationen auszutauschen und zu kommunizieren und um Unterstützung anzufordern. Die Katastrophenschutzbehörden schätzen es als hilfreiches Tool zum Informationsaustausch, allerdings muss seine Funktionalität noch weiter verbessert werden, um seine Wirkung zu verbessern. Verbesserungswürdig sind insbesondere die Präsentation von Informationen sowie die Effizienz der Zusammenstellung von Daten. Die derzeitigen Grenzen des Systems, die durch die Stärkung des UCPM noch deutlicher geworden sind, erschweren die Überwachung der im Beschluss vorgesehenen Indikatoren (darunter ist die Reaktionsgeschwindigkeit einzelner Maßnahmen).

Im Bereich des Transports sieht das UCPM vor, dass die Mitgliedstaaten zusammenarbeiten, indem sie Ressourcen in Notfällen zusammenlegen und Flüge oder Lkws gemeinsam nutzen. Es gibt jedoch nur wenige Fälle, in denen Teilnehmerstaaten Transportmittel bei der Katastrophenbewältigung tatsächlich gemeinsam verwenden. Darüber hinaus hat die Europäische Kommission eine Transportvermittlung beauftragt, die im Katastrophenfall den Transport von Sachgütern organisiert. Dies ist eine wichtige Ressource für die Bereitstellung von Transportmöglichkeiten und insbesondere während der Flüchtlingskrise in den Jahren 2015 und 2016 empfanden einige Teilnehmerstaaten diese Möglichkeit als sehr effektiv. Dennoch wird die Ressource grundsätzlich zu wenig in Anspruch genommen.

Weitere wichtige Ergebnisse zum UCPM

Mehrwert durch die EU: Die Bewertung ergab, dass das Verfahren im Rahmen aller drei Grundsätze für die Teilnehmerstaaten eindeutig einen Mehrwert durch die EU mit sich bringt. Von der Erarbeitung der nationalen Risikobewertungen profitiert die EU als Ganzes, da sie so einen besseren Überblick über Risiken und Kapazitätslücken gewinnt. Die Bereitstellung neuer Kapazitäten durch den freiwilligen Pool hat für die allgemeine Vorsorge auf EU-Ebene eine entscheidende Rolle gespielt. Darüber hinaus stehen nun sofort einsetzbare Ressourcen zur Verfügung. Im Bereich der Katastrophenbewältigung zeigt sich der Mehrwert durch die EU am deutlichsten in dem umfassenden Überblick über die auf EU-Ebene verfügbaren Kapazitäten sowie der Möglichkeit, über eine einzige Plattform einen koordinierten EU-weiten Einsatz zu beantragen.

Relevanz: Die allgemeinen und spezifischen Ziele des Beschlusses sind für die Bedürfnisse innerhalb der EU von Belang. Die Ergebnisse der Bewertung weisen darauf hin, dass die allgemeinen und spezifischen Ziele des Beschlusses derzeit den Bedürfnissen des Katastrophenschutzes und der verschiedenen Interessengruppen entsprechen. Sorgen bereitet jedoch die Frage, wie die Relevanz des UCPM bei Bewältigungsmaßnahmen im Rahmen von humanitären Krisen gesteigert werden kann.

Bewusstsein und Vorsorge in der Öffentlichkeit: Das UCPM konnte das Bewusstsein in der Öffentlichkeit und die Katastrophenvorsorge steigern. Die Tatsache, dass Vereinbarungen, Instrumente und Ressourcen, um vollständige Überwachungsinformationen zu gewinnen, nur begrenzt zur Verfügung stehen, schränkt die Möglichkeiten ein, den Fortschritt im Hinblick auf die Ziele und die Effizienz der UCPM im Katastrophenfall zu messen.

Anpassungsfähigkeit: Der Beschluss fördert die Flexibilität des Verfahrens, sodass es leichter auf neue Entwicklungen im Katastrophenrisikomanagement eingehen und sich entsprechend anpassen kann. Allerdings gibt es, wie zum Beispiel die Flüchtlingskrise in den Jahren 2015 und 2016 gezeigt hat, Herausforderungen im Zusammenhang mit verschiedenen Katastrophenarten. Das UCPM agiert zunehmend in einem internationalen Umfeld. Es hat die Zusammenarbeit mit internationalen Partnern unter anderem über gemeinsame Absichtserklärungen und/oder Vereinbarungen über die Zusammenarbeit

mit wichtigen internationalen Partnern verbessert. Die zunehmende Rolle, die das UCPM inner- und außerhalb der EU spielt, ist unbestritten, allerdings gibt es bei der operativen Koordination mit internationalen Partnern, Nachbarstaaten und anderen Drittländern noch weitere Verbesserungsmöglichkeiten. Bewältigungsmaßnahmen in komplexen Notfällen, wie bei humanitären Interventionen oder dem Umgang mit der Flüchtlingskrise, haben zu Diskussionen über die Rolle und die Aufgabenstellung des UCPM sowie die Frage geführt, ob der Katastrophenschutz anpassungsfähig genug ist, um unter solchen Umständen effektiv handeln zu können.

Zusammenarbeit: Eine ständige interinstitutionelle Zusammenarbeit über feste Kommunikationskanäle ist unerlässlich, um sicherzustellen, dass sich die Maßnahmen der jeweiligen GDs der Kommission im Bereich des Katastrophenschutzes ergänzen. Durch die Zusammenarbeit zwischen der GD ECHO und anderen Generaldirektionen und Exekutivagenturen stärkt das UCPM die Verbindungen zu anderen Politikbereichen erheblich. Dazu gehört die Zusammenarbeit mit dem JRC (insbesondere mit dem Wissenszentrum für Katastrophenrisikomanagement, DRMKC), der GD GROW bei Copernicus, der GD Regionalpolitik (insbesondere über die Einbeziehung der *Ex-ante*-Konditionalität in die Prävention und das Management des Katastrophenrisikos in Projekten der Kohäsionspolitik), der GD Umwelt (insbesondere über die Hochwasserrichtlinie und die Seveso-Richtlinie), der Generaldirektion Klimaschutz im Hinblick auf die Anpassung an den Klimawandel, der GD Gesundheit und Lebensmittelsicherheit sowie dem Europäischen Zentrum für die Prävention und die Kontrolle von Krankheiten (ECDC) bei gesundheitsbezogenen Maßnahmen (einschließlich des European Medical Corps) und der GD NEAR für Nachbarschaftspolitik und Erweiterungsverhandlungen. Im Hinblick auf die bessere Nutzung von Synergieeffekten mit einigen GDs und Agenturen der Kommission bei spezifischen *Ad-hoc*-Bedürfnissen gibt es jedoch noch weitere Herausforderungen. Bei der Komplementarität der Finanzmittel und strategischen Kohärenz mit der GD Regionalpolitik sowie der Synergieeffekte mit der GD Migration und Inneres bei Bedrohungen der Sicherheit und bei Terrorgefahr gibt es noch weitere Verbesserungsmöglichkeiten.

Nachhaltigkeit: Die Teilnehmerstaaten ergreifen Maßnahmen, um die Nachhaltigkeit der vom UCPM finanzierten Maßnahmen sicherzustellen. Maßnahmen zum Wissensaustausch und zur Sensibilisierung gehören zum üblichen Vorgehen der Teilnehmerstaaten. Die Weitergabe von Ergebnissen und Wissen aus Präventions- und Vorsorgeprojekten, das Programm zum Austausch von Experten sowie zahlreiche Übungen belegen dies. Sorgen bereitet jedoch, dass spezifische Maßnahmen, wie Projekte, Schulungen, Übungen und Austauschprogramme, aufgrund fehlender institutioneller Strukturen (im Gegensatz zu *Ad-hoc*-Initiativen und -Beziehungen) womöglich weniger nachhaltig sind und institutionelle Kapazitäten eventuell verloren gehen, wenn einzelne Mitarbeiter die Stelle wechseln oder in Rente gehen.

Wichtigste Empfehlungen

Empfehlungen für die drei Grundsätze:

Die genaue Aufgabenstellung der Katastrophenschutzinterventionen außerhalb der EU sollte besser definiert werden.

Es sollten bessere Überwachungstools und -systeme entwickelt und eingeführt werden, um die Effektivität von UCPM-Maßnahmen konsequent und genauer zu messen.

Empfehlungen für horizontale Maßnahmen

Die Programme zur gegenseitigen Begutachtung sollten stärker sichtbar und besser nachverfolgt werden.

Der Zugriff auf und die Informationen über Präventions- und Vorsorgemissionen in Drittländern sollten verbessert und nach jeder einzelnen Maßnahme sollten konsequent Schritte zum Erkenntnisgewinn ergriffen werden.

Empfehlungen zur Prävention

Die Relevanz von Präventionsprojekten (und Vorsorgeprojekten) sollte verbessert werden, indem gemeinsame Auftakt- und Abschlussbesprechungen durchgeführt und die Ergebnisse genauer nachverfolgt werden, das Bewusstsein für das Wissenszentrum und seine Aktivitäten unter den nationalen Fachkräften gestärkt und die Teilnehmerstaaten durch Workshops und zusätzliche Leitlinien zu verwandten Politikbereichen dabei unterstützt werden, umfassendere Zusammenfassungen der nationalen Risikobewertungen zu erstellen.

Empfehlungen zur Vorsorge

Die Kapazitätsziele des freiwilligen Pools sollten auf Grundlage fester Kriterien präzisiert werden.

Die Informationen in der Expertendatenbank und ihr Wert sollten verbessert werden, indem Expertenprofile festgelegt werden, die individuelle Leistung nach Schulungen, Übungen und Einsätzen bewertet und eine Suchschnittstelle für Experten eingerichtet wird sowie nationale Schulungspraktiken kartiert werden.

Empfehlungen zur Bewältigung

Die Katastrophenschutzexpertise bestimmter EU-Delegationen auf der ganzen Welt könnte durch spezielle Katastrophenschutzberater verbessert werden.

Das CECIS sollte verbessert werden, indem eine Suchfunktion hinzugefügt und die Auswahl von Kriterien zum Filtern größerer Datenmengen erleichtert wird.

Die Reaktionsgeschwindigkeit sollte nach jeder Bewältigungsmaßnahme im Detail ausgewertet werden.

Informationen über Transportbeihilfen sollten detailgenauer aufgezeichnet werden, damit Richtwerte für die Kosten, inklusive der Ober- und Untergrenzen der zu erwarteten Ausgaben, festgelegt werden können (z.b. für Flugzeuge und Flugstunden).

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