

Agreement Template:	<b>Non-Governmental Organisations</b>	Revision no.:	4
Specific Conditions (part I)	<b>Grant Management Regime I</b>	Date of revision:	April 2022

GRANT AGREEMENT

BETWEEN

THE NORWEGIAN AGENCY FOR DEVELOPMENT COOPERATION

AND

THE NORWEGIAN RED CROSS

REGARDING

UKR-23/0021, IFRC EMERGENCY APPEALS IN UKRAINE  
IMPACTED COUNTRIES 2022-2025

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PART I: SPECIFIC CONDITIONS

PART II: GENERAL CONDITIONS

PART III: PROCUREMENT PROVISIONS

ANNEX A: REVISED APPEAL

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## PART I: SPECIFIC CONDITIONS

This grant agreement (the Agreement) has been entered into between:

- (1) The Norwegian Agency for Development Cooperation (Norad), represented by the Department for the Nansen Support Programme to Ukraine and
  - (2) The Norwegian Red Cross (NorCross), an association duly established in Norway under registration number 864 139 442 (the Grant Recipient),
- jointly referred to as the Parties.

### 1 SCOPE AND BACKGROUND

- 1.1 The Norwegian Ministry of Foreign Affairs (MFA) and the Grant Recipient have entered into an agreement dated 9 June 2020 concerning Support to International Federation of Red Cross and Red Crescent Societies (IFRC) Appeals 2020-2022, QZA-20/0099 as amended through addenda. The support to Ukraine and Moldova is considered part of the Nansen Support Programme.
- 1.2 The Norwegian Government has decided to transfer the administration of the civilian, including humanitarian aspects of the Nansen Support Programme from MFA to Norad. Based on this, MFA has decided to transfer the management of the grant allocated to Ukraine and neighbouring countries through addendum nr. 5 and 6 to the agreement to Norad. Thus, MFA and the Grant Recipient have agreed to amend the agreement to reflect the decision and transfer funds allocated to Ukraine and neighbouring countries under addendum no. 5 and 6 to this agreement managed by Norad (the Agreement).
- 1.3 The transferred activities and grant shall be considered an integral part of this Agreement and will constitute a project titled IFRC Emergency Appeals for Ukraine and Impacted Countries 2022-2025, UKR-23/0021(the Project). The activities are further described in the 2022 IFRC Revised Emergency Appeal for Ukraine and impacted countries MRG65002 (the Appeal).
- 1.4 The Grant Recipient has in a letter dated 13. November 2023 requested additional financial support to the Revised Emergency Appeal for Ukraine and impacted countries crises (Appeal no MGR65002).
- 1.5 Norad has decided to award an additional grant to be used exclusively for the implementation of the Project (the Grant). Additional financial support to specific appeals may be granted through addenda under this Agreement.
- 1.6 The Parties expect the Project to be implemented during the period from 1 January 2022 to 31 December 2025 (the Support Period).
- 1.7 The Parties have agreed to enter into an Agreement, consisting of this part I; Specific Conditions, part II; General Conditions, and part III; Procurement Provisions, all of which form an integral part of this Agreement. In the event of discrepancies between the Specific Conditions and the General Conditions or Procurement Provisions, the Specific Conditions shall prevail.

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## 2 OBJECTIVES OF THE PROJECT

### 2.1 The expected results of the Project are as follows:

The Project's expected effect(s) on society (Impact) are: Prevention and alleviation of human suffering.

The expected effects for the target group of the Project (Outcome) are:

- People anticipate, survive and quickly recovered from crisis

### 2.2 The IFRC Ukraine Emergency appeals include more information about expected results.

## 3 IMPLEMENTATION OF THE PROJECT

### 3.1 The Project shall be implemented in accordance with the Agreement, including all annexes and in line with the Emergency Appeal for Ukraine and impacted countries referred to above.

### 3.2 During the implementation of the Project, the Grant Recipient shall exercise the necessary diligence, efficiency and transparency in line with sound financial management and best practise principles.

### 3.3 The Grant Recipient shall continuously identify, assess and mitigate any relevant risks associated with the implementation of the Project. The risk of potential negative effects of the Project in the following cases (Cross-Cutting Issues) shall always be included in the risk management of the Project:

- anti-corruption
- climate and environment,
- women's rights and gender equality, and
- human rights (with a particular focus on participation, accountability and non-discrimination)

### 3.4 Any significant deviations or changes from the Project supported under this Agreement must be submitted to Norad for information.

Norad may suspend disbursements of the Grant until the changes have been assessed and approved for support.

### 3.5 The Grant Recipient shall ensure that the Project is implemented in respect of international humanitarian law and international human rights law and that the implementation of the Project is guided by and complies with the international humanitarian principles of humanity, neutrality, impartiality and independence.

### 3.6 Norad shall be informed by the Grant Recipient of security considerations and risk assessments in areas of operations. Such information should include the IFRCs efforts to uphold the humanitarian principles in complex security and/or political situations and risk assessments should be communicated to Norad and the Norwegian Ministry of Foreign Affairs as soon as possible.

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- 3.7 Norad underlines the necessity that all possible means are taken by the Grant Recipient to ensure the integrity of the humanitarian principles, compliance with international humanitarian law and the safety of staff.
- 3.8 The Grant Recipient shall be familiar with UN Security Council Resolution 1325 on women, peace and security (s/res/1325 (2000)) and implement the Project in a way that promotes the intentions of the resolution in the best possible way. A statement on how the intentions of this resolution have been addressed shall be included in the progress reports and final report of the Project.

#### **4 THE GRANT**

- 4.1 The Grant under the Agreement shall amount to maximum NOK 150,000,000 (Norwegian Kroner one hundred and fifty million including administrative support, of which NOK 100,000,000 (Norwegian Kroner one hundred million) has been transferred from the agreement between the Grant Recipient and MFA referred to in article 1.1 and 1.2 above.
- 4.2 Disbursement after the current calendar year is subject to Norwegian Parliamentary appropriations. Significant reductions in the Parliament's annual appropriations may lead to a reduction of the Grant for the relevant budget year and/or of the total Grant amount. The annual Grant allocations must be confirmed by Norad for each year.
- 4.3 The funds transferred from the agreement between the Grant Recipient and MFA has been allocated as follows:
- NOK 100,000,000 to the 2022 IFRC Emergency Appeal for Ukraine and impacted countries (MFR65002)
- 4.4 The remaining part of the Grant shall be allocated as follows:
- NOK 50,000,000 to the Revised Emergency Appeal for Ukraine and impacted countries crises (Appeal no MGR65002).
- 4.5 The Grant, including accrued interest, shall be used exclusively to finance the actual costs of the implementation of the Project during the Support Period.
- 4.6 Support to NorCross' management of the Grant, referred to as administrative support, including coordination, transfers, accounting, and audit shall amount to 0,3% of each allocated grant. This does not apply to the funds transferred from MFA as the administrative support for these funds have already been deducted. The administrative support shall be included in the granted amount.
- 4.7 The Grant Recipient is responsible for obtaining any additional resources which may be required to duly implement the Project.

#### **5 DISBURSEMENT**

- 5.1 NOK 100,000,000 of the Grant has already been disbursed under the agreement between the Grant Recipient and MFA (QZA-20/0099) and shall be transferred to this Agreement.
- 5.2 The remaining part of the Grant shall be disbursed upon signing of the agreement.

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5.3 All disbursements are conditional upon the Grant Recipient's continued compliance with the requirements of the Agreement, including the timely fulfilment of reporting obligations. Norad may withhold disbursements in accordance with article 18 of the General Conditions if it finds that the requirements of the Agreement have not been met.

5.4 The Grant Recipient shall have a separate bank account exclusive for grants from Norad. All disbursements will be made to the following bank account:

<b>Name of the account:</b>	Norges Røde Kors Postboks 1 Grønland, 0133 Oslo
<b>Account no.:</b>	8200.06.07955
<b>IBAN no.:</b>	NO32 82000607955
<b>Name and address of the bank:</b>	DNB Bank ASA, Postboks 1600 Sentrum 0021 Oslo
<b>Swift/BIC code:</b>	DNBANOKKXXX
<b>Currency of the account:</b>	NOK

5.5 The Grant Recipient shall ensure that its cooperating partner IFRC immediately acknowledge receipt of any transferred funds in writing. The amount received shall be stated, as well as the date of receipt and the exchange rate applied. The documentation shall be kept on file by the Grant Recipient and made available to Norad upon request.

## 6 REPORTING AND OTHER DOCUMENTATION

6.1 The following shall be submitted by the Grant Recipient to Norad:

- a) The IFRC's project operational reports, **narrative and financial**, covering the period from January to December shall be submitted to Norad at the latest by 31 August each year. The report shall seek to meet the requirements specified in article 2.2 and article 3 of the General Conditions.
- b) A summary of achievements of the Project covering the period from January to December shall be submitted by 31 August each year. The report shall seek to meet the requirements specified in article 2.2 of the General Conditions.
- c) A financial Project report covering the period from January to December shall be submitted to Norad by 31 August each year. The financial report shall include the content specified in article 3 of the General Conditions and show the transfers from the Grant Recipient to IFRC split on each supported emergency appeal.
- d) An **audit report** covering the annual financial statements of the Project shall be submitted to Norad at the latest by 31 August each year. The audit report shall comply with the requirements set out in article 7 of the Specific Conditions and article 5 of the General Conditions. If the auditor submits a management letter (matters for governance attention) this shall be attached to the audit report. The management letter shall list any measures that have been taken as a result of previous Project audits and state whether such results have been adequate to deal with reported shortcomings.

6.2 If the Grant Recipient is unable to meet the deadlines set out above, Norad shall be informed immediately.

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## **7 AUDIT**

- 7.1 The annual financial statements of the Project shall be audited in accordance with International Standards of Auditing (ISA). The Auditor shall comply with ISA 800 (Special Considerations - Audits of Financial Statements Prepared in Accordance with Special Purpose Frameworks) / ISA 805 (Special Considerations audits of single financial statements and specific elements, accounts or items of a financial statement) and all ISAs relevant to the Project audit. Additional requirements applicable to the auditor and the audit report are included in article 5 of the General Conditions. The Grant Recipient's auditors base their work on the IFRC's standard accounting records and consolidated financial statements, annually audited by external auditors.

## **8 FORMAL MEETINGS**

- 8.1 The Parties shall hold formal meetings if/when requested by Norad. Details regarding agenda and procedures will be agreed upon by the Parties.

## **9 REVIEWS AND OTHER FOLLOW-UP MEASURES**

- 9.1 If the Grant Recipient or another interested party initiates a review or evaluation of activities wholly or partly funded by the Grant, Norad shall be informed. The Grant Recipient shall forward a copy of the report of any such review or evaluation to Norad without undue delay.

## **10 PROCUREMENT**

- 10.1 All procurement under this Project shall be completed in accordance with the Procurement provisions in Part III of this Agreement.

## **11 REPAYMENT OF INTEREST AND UNUSED FUNDS**

- 11.1 Upon the end of the Support Period or upon termination of this Agreement, any unused funds that total NOK 500 or more shall in its entirety be repaid to Norad as soon as possible and at the latest within 6 months. The repayment shall include any interest which has not been used for Project purposes, and other financial gain accrued on the Grant.

- 11.2 Repayments shall be made to the following bank account:

Name of the account:	Norad
Account no.:	7694.05.14815
IBAN no.:	NO31 7694 0514 815
Name and address of the bank:	DNB BANK ASA, N-0021 Oslo
Swift/BIC code:	DNBANOKKXXX

- 11.3 The transaction shall be clearly marked: "Unused funds". The name of the Grant Recipient shall be stated, along with Norad's agreement number(s) and agreement title(s).

## **12 SPECIAL PROVISIONS**

- 12.1 The following additional terms and conditions shall apply for this Project:





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- a) The following shall be added to General Conditions article 9.3: "In the event Norad uses the intellectual property developed by the grant Recipient or IFRC, it shall acknowledge the Grant Recipient or IFRC as applicable, as the owner of the intellectual property rights."
- b) The following shall be added to the General Conditions article 23.1: "The Grant Recipient reserves the right not to use the Norad logo, in publications and other materials where the Grant Recipient deems that such usage may compromise the safety and security of its personnel or operations in a given context or where such usage may compromise the Grant Recipient's neutrality."

12.2 General Conditions article 11.2 c) shall be amended as follows: " If the cooperating partner is an entity from the Red Cross and Red Crescent Movement, as set forth in the Statutes of the International Red Cross and Red Crescent Movement of 1986 article 1, the cooperating partner shall accept the choice of law in article 25.1 and settlement of disputes provisions in article 25.2 and 25.4 b) of the General Conditions in relation to any disputes arising between the cooperating partner and Norad

12.3 The following deviations from part III Procurement provisions shall apply for this Project:

- a) The threshold limit of NOK 100,000 set in article 16.1 of Part III Procurement provision shall not apply for procurements made from a DG-ECHO certified Human Procurement Center (HPC). All procurements from a DG- ECHO certified HPC may be made in accordance with the rules for single source procurement provided that the HPC follows its own procurement standards and guidelines in line with its approved standards and any additional requirement set by DG-ECHO.

### 13 NOTICES

- 13.1 All communication to Norad concerning the Agreement shall be directed to the Department for the Nansen Support Programme for Ukraine at the following address/e-mail address: [norad-nansen.programmet.for.ukraine@norad.no](mailto:norad-nansen.programmet.for.ukraine@norad.no).
- 13.2 All communication to the Grant Recipient concerning the Agreement shall be directed to Elisabeth Mustorp] at the following address/e-mail address: [post@redcross.no](mailto:post@redcross.no) with a copy to [elisabeth.mustorp@redcross.no](mailto:elisabeth.mustorp@redcross.no).
- 13.3 Norad's agreement number and agreement title shall be stated in all correspondence regarding this Agreement, including disbursement requests and repayment of unused funds.

### 14 SIGNATURES

- 14.1 By signing part I of the Agreement, the Parties also confirm receipt and approval of part II; General Conditions, and part III; Procurement Provisions, which all form an integral part of the Agreement.

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14.2 This Agreement in the English language has been signed by both Parties. In the event of any discrepancies between this English language version and any later translations, the English language version shall prevail.

Place: *Oslo, Norway*

Date: *29/11-2023*

*Tali Kvalvaag*

for the Norwegian Agency for Development  
Cooperation,

*J* Jorun Nossum

Director

Department for the Nansen Support Programme  
for Ukraine

*Marte Frønskdal*

for the Norwegian Red Cross,

*FOR* Jørgen Haldorsen

International Director

International Programmes and Preparedness

Attachments:

Annex A: Ukraine Revised Appeal for 2023 (budget and expected results)



# REVISED EMERGENCY APPEAL

## Europe | Ukraine and impacted countries crisis



*The Ukrainian Red Cross Society (URCS) is at the heart of communities across the country. A community member shows her gratitude to a URCS volunteer in Volyn Oblast in January 2023. Photo: Oleg Legenkyi*

Appeal №:  
**MGR65002**

IFRC Secretariat Funding requirements: **CHF 800 million**  
(Increased from CHF 550 million of the [Emergency Appeal](#))  
Federation-wide Funding requirements<sup>1</sup>: **CHF 2.7 billion**  
(Increased from CHF 1.2 billion of the [Emergency Appeal](#))

Glide №:  
**OT-2022-000157-UKR**

People affected/at risk:  
Ukraine: **21.3 million**  
Neighbouring countries: **5.9 million**

People to be assisted:  
Ukraine: **17 million**  
Neighbouring countries: **5.65 million**  
(Increased from 3.6 million people)

DREF allocation:  
**CHF 1 million**

Appeal launched:  
**28/02/2022**

Appeal ends:  
**31/12/2025**

Appeal Revision

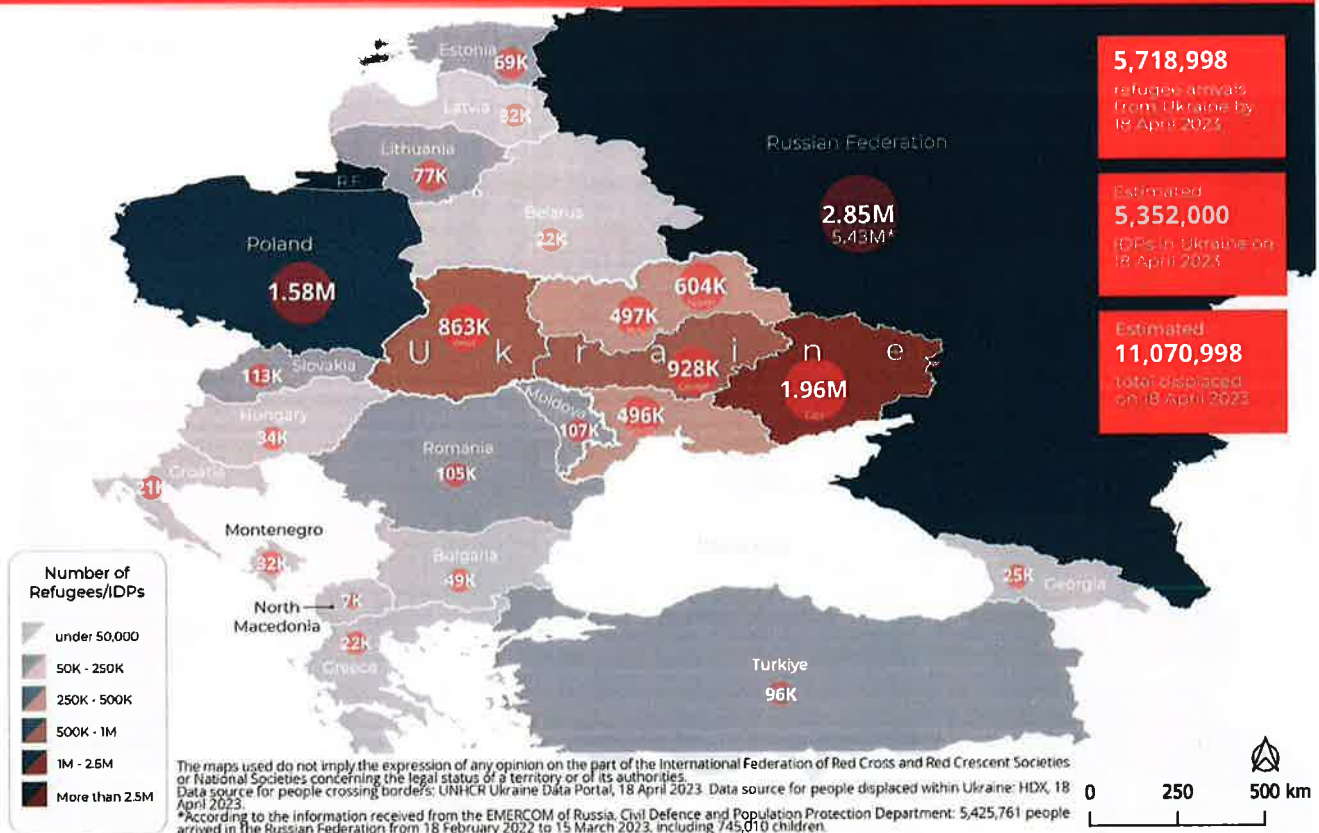
Revision #: 1

Date: **10/05/2023**

<sup>1</sup> The Federation-wide ask is the overall funding request to support assistance provided by Red Cross Red Crescent National Societies to people affected in 43 countries. It includes the IFRC Secretariat funding requirement of CHF 800 million, focused on providing international support to the Ukrainian Red Cross Society and National Societies in 17 neighbouring countries, as well as National Societies in 25 countries whose primary sources of funding are domestic.

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# Magnitude of Refugees and IDPs Ukraine and Impacted Countries Crisis



## Situation Overview

Over a year has passed since the escalation of the armed conflict in Ukraine. In that time, the conflict has grown in complexity, producing multi-faceted and wide-reaching impacts.

Humanitarian needs are particularly severe among those who remain at home in conflict prevalent areas and with internally displaced persons (IDPs). At the start of 2023, the number of **IDPs within Ukraine** was estimated at **5.4 million**.<sup>2</sup>

The spread of the hostilities in Ukraine has also resulted in widespread multinational and multi-faceted displacement. In total, over **20.4 million movements out of Ukraine** have been recorded since the escalation of the international armed conflict.<sup>3</sup> Most of the displaced people from Ukraine have entered the immediate neighbouring countries, primarily Poland, Russia, Hungary, Romania, Slovakia, and Moldova.

Following the activation of the Temporary Protection Directive (TPD) by the European Union, **5.04 million**

displaced people from Ukraine **have registered for Temporary Protection in EU countries**.<sup>4</sup> However, EU member states have used their discretion to define the scope of the TPD in terms of recognition, registration processes, and applicable rights and access to essential services.

As part of our ongoing analysis of the TPD and the overall EU response to the displacement situation, the Ukrainian Red Cross Society (URCS) and colleagues from the Red Cross EU Office have conducted a survey of EU National Societies on the implementation of the Temporary Protection status at the national level, as well as the main humanitarian challenges, trends, concerns, achievements, and future visions regarding the migration response across Europe towards displaced people coming from Ukraine. This feedback is being used to inform a dialogue with EU institutions (especially the European Commission and European Parliament) and with national authorities (via our National Societies) concerning the needs of people displaced within and from Ukraine.

<sup>2</sup> [Humanitarian Data Explorer, Ukraine](#), 20 April 2023.

<sup>3</sup> [UNHCR Ukraine Situation Data Portal](#), 11 April 2023.

<sup>4</sup> [Operational Data Portal, UNHCR](#), 18 April 2023.

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While the number of people crossing into neighbouring countries is much lower now than at the time of the escalation of the conflict (*Figure 1*), over **11.9 million movements back into the country** have been reported since 24 February 2022, placing a higher demand on reintegration, reconstruction, rehabilitation, and returnee services within Ukraine.<sup>5</sup> Most displaced people return for short-term reasons such as checking on their property, visiting relatives or helping them to evacuate, while others intend to stay permanently.

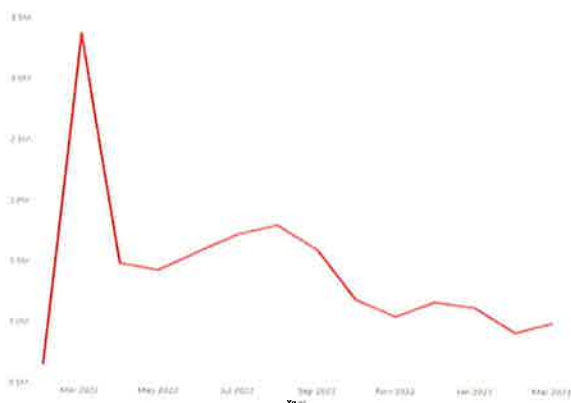


Figure 1. Number of border crossing from Ukraine, 2022 – 2023.

The escalation of the conflict in Ukraine has significantly impacted people's access to livelihoods and healthcare, worsening the severity of the humanitarian conditions in the country. The economic consequences of the continued hostilities are significantly felt throughout the country due to the lack of jobs, a drop in income levels, and high inflation. Damage to agriculture and production losses continue to mount, placing an enormous strain on the rural population.<sup>6</sup>

Public services, including energy infrastructure, have also been heavily disrupted. Since 28 February 2022, educational institutions have suffered extensive damage from the reported bombing and shelling, resulting in approximately seven million children having no access to schooling in Ukraine.<sup>7</sup>

Across the country, communities and persons in vulnerable situations face increased risks to protection, including older persons, women, and children. People in Ukraine are exposed given their lack of legal documentation to access assistance provided by the government, while persons with disabilities and older people are at further risk of protection issues, with a lack of access to specialised services and independent access to livelihoods and

financial resources. This pressure is especially acute given the large number of people in need of mental and physical rehabilitation, especially in the western part of the country. Ensuring that this population can live in dignity is central to the plan in Ukraine. In addition, women and girls face increased violence, harassment, and abuse within the household or by community members. Parents and caregivers report examples of children avoiding communication and new friendships, fearing the outdoors, and generally feeling unsafe.<sup>8</sup>

As the crisis continues, the needs and vulnerabilities of those leaving Ukraine evolve as well. Among people leaving the country now, many are older adults with limited financial means, or those having difficulties travelling. At the same time, those who have left Ukraine without social and family networks abroad are struggling to find or cover the costs of accommodation.

Alongside the massive displacement from Ukraine, Europe has faced a year of constant changes in migration and displacement trends and policies. This year has been challenging along other migration routes, and for other people on the move, including throughout the Central and Eastern Mediterranean routes, the Western Balkans route, as well as at the borders of Eastern and Baltic states. Many of these routes have seen an increase in the number of crossings and arrivals in 2022, but the result among host communities overwhelmed by the Ukraine response may be a 'formalisation of neglect' with other communities on the move, largely unseen or ignored, resulting in many people facing violence, pushback, isolation, lack of access to essential services, and detention during their journeys.

According to feedback gathered by National Societies and the IFRC in various countries during the first year of the operation, via call centres, social media monitoring, online communication channels as well as humanitarian services points, there has been a **steady increase in requests for health**, as well as **psychosocial support (PSS)**, particularly on the availability of medical (including PSS) services, while the top request remained **financial assistance** and information on the **cash and voucher assistance (CVA) programme**. People also raised questions about crossing borders, requesting information as well as legal advice on Temporary Protection status and official documents

<sup>5</sup> [UNHCR Ukraine Situation Data Portal](#), 11 April 2023. The figure does not indicate permanent returns.

<sup>6</sup> [Ukraine: Response Programme, January-December 2023](#), FAO

<sup>7</sup> [Education in Emergency](#), 19 April 2023.

<sup>8</sup> [Protection Cluster](#)

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such as passports. Large numbers of people have been asking for support in finding housing and information on the **shelter** programmes of National Societies, and support in understanding the local labour market as well as finding jobs and using local administrative systems such as banking.

Needs arising **within host communities** also require attention. The energy crisis and inflation currently affecting the European region are pushing families that are already in vulnerable situations into poverty. Communities in neighbouring countries are expressing their concerns related to their own security, access to social support, and employment.<sup>9</sup> The IFRC has collected comments from host communities requesting similar services to those which displaced people are receiving, and also noted an uptick in comments regarding a perceived increase in insecurity due to the presence of refugees.

After three years of pandemic response, health systems in impacted countries are also struggling to meet increasing demands. The challenges displaced people face in accessing health care services abroad include administrative, linguistic, and knowledge barriers. Beyond rehabilitation and emergency care for the wounded and older displaced people from Ukraine, mental health, outbreak response, vaccination, and long-term treatment conditions also require the health systems of host countries to adjust to the new reality. These efforts are included in the activities listed below, alongside the immense needs within Ukraine. For host communities, this might mean increasing complications in accessing healthcare, placing them at risk of falling into poverty.

Given the nature of the crisis, large segments of the affected population face long-term mental health needs that existing resources may not be able to support. Familial connections have also been severed, deepening psychological issues and other needs. The humanitarian crisis in Ukraine is having a significant impact on the mental health of people who are directly affected by it, as well as those who are experiencing secondary impacts or anxiety as a result of the conflict.

In this highly complex and polarised political environment surrounding the response, strategic communication and engagement with the public, donors, governments, and other concerned

stakeholders is critical – now more than ever. This response has truly tested principled humanitarian action for the Red Cross Red Crescent Movement, which will continue to require targeted approaches to help inform and educate. The IFRC and National Societies have maintained a clear and consistent understanding of the needs on the ground, targeting response mechanisms to community needs since the escalation of the conflict in February 2022. The IFRC Secretariat, in shifting its response from an emergency phase during 2022 to a **protracted crisis** scenario from 2023 onwards, recognises the need to remain agile and proactive in what continues to be a highly dynamic environment and to be able to quickly adapt our response to meet the evolving needs. The IFRC response in Ukraine and impacted countries is guided by **three humanitarian goals of the operation**:

- **Humanitarian Assistance and Integration** for those who have been impacted and/or displaced by the conflict.
- **National Society Development**, to ensure that National Societies can sustain their interventions and be ready for subsequent shocks.
- **Humanitarian Diplomacy** tied to advocating for principled and unimpeded humanitarian action, the consistent application of International Humanitarian Law (IHL), access to basic humanitarian services, the protection of people displaced internally and across borders, and the reinforcement of the auxiliary role of National Societies, guided by their commitment to the Fundamental Principles.<sup>10</sup>

In addition to the immediate suffering directly produced by the violence of the conflict, the broader dimensions of its impact on global food production and energy supplies has triggered a number of knock-on effects, compounding the impacts of the crisis, the challenges faced by those in need, and magnifying the threat of humanitarian risks within and beyond Europe, particularly in countries struggling with the exit from the COVID-19 pandemic and facing new challenges tied to parallel emergencies, such as the energy crisis and the Türkiye-Syria Earthquake.

<sup>9</sup> Survey conducted on Meta platforms, IFRC ROE, 2023.

<sup>10</sup> [Fundamental Principles of the International Red Cross and Red Crescent Movement](#)

*Salvatore*



Within this environment of overlapping crises, the humanitarian implications are growing, generating protracted and diversified needs within health, migration, safety, and livelihoods, and demanding a comprehensive response.

The IFRC is continuing to closely monitor the movement of people out of and into Ukraine to anticipate their needs, recognising that this response operation may demand parallel services tied to long-term integration within host communities as well as returnee services to ensure stronger outcomes for impacted persons over the longer-term.

Moving forward, as a key determinant of long-term health, employability, and integration outcomes, mental health and psychosocial support (MHPSS) programming will continue to act as a gateway for the IFRC and National Societies to enhance long-term positive outcomes for those affected within Ukraine and in impacted countries.

The services provided by the IFRC and its membership to those affected by the conflict go beyond displacement-based services by approaching humanitarian needs as a set of interacting and dynamic vulnerabilities that may be further magnified by the crisis. In this respect, the IFRC is uniquely positioned in its ability to provide support, with a complex and comprehensive set of services that respond to the emotional, physical, and financial health of people in need, while improving access to caring and welcoming communities.

One of the IFRC's key components to ensuring a strong understanding of the situation on the ground is by actively seeking out and engaging excluded communities and groups, better locate pockets of need, improve proactive response times, and build back better communities in phases of reconstruction.



*Red Cross staff and volunteers meet with one of the organisers of a church group which hosts up to 200 displaced people at a time near Kyiv City, where residents receive assistance from the local branch of the Ukrainian Red Cross Society. Photo: Stephen Ryan/IFRC*

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# EMERGENCY APPEAL REVISION

The operation has been increasing the scope of its intervention, working with National Societies in the region that have requested support from the IFRC to provide technical and financial assistance to people in need. In this sense, new needs and approaches have been identified with National Societies, which are reflected in this revision of the Emergency Appeal.

The revised Emergency Appeal **extends the timeframe of the operation until 31 December 2025**, with a transition to Unified Country Planning covering all operations of National Societies afterwards.

It presents a substantial **increase in people targeted**, in the **funding ask** as well as in **geographical coverage**, to support National Societies in assisting people in Ukraine and other impacted countries affected by the crisis. Support from the IFRC Secretariat will focus on the following **18 National Societies**: The Ukrainian Red Cross, Belarus Red Cross, Bulgarian Red Cross, Croatian Red Cross, Estonian Red Cross, Georgia Red Cross, Hellenic Red Cross, Hungarian Red Cross, Latvian Red Cross, Lithuanian Red Cross, Red Cross Society of the Republic of Moldova, Red Cross of Montenegro, Red Cross of the Republic of North Macedonia, Polish Red Cross, Romanian Red Cross, Russian Red Cross, Slovak Red Cross, and Turkish Red Crescent Society, while coordinating with Partner National Societies (PNS) and the International Committee of the Red Cross (ICRC).

A further 16 National Societies are conducting domestic activities as part of multilateral thematic programmes funded by the European Commission, channelled through the Emergency Appeal.

A harmonised **National Society Response Plan revision** was completed to support the formulation of a regional Operational Strategy and revised Emergency Appeal. Seventeen Revised National Society Response Plans are now [available](#), while the URCS One Plan for 2023-2025 has been finalised and will be shared with stakeholders shortly.

As part of the comprehensive revision process, [IFRC-level operational strategies](#) have been developed for the following sectors and enablers: Health and Care; Mental Health and Psychosocial Support (MHPSS);

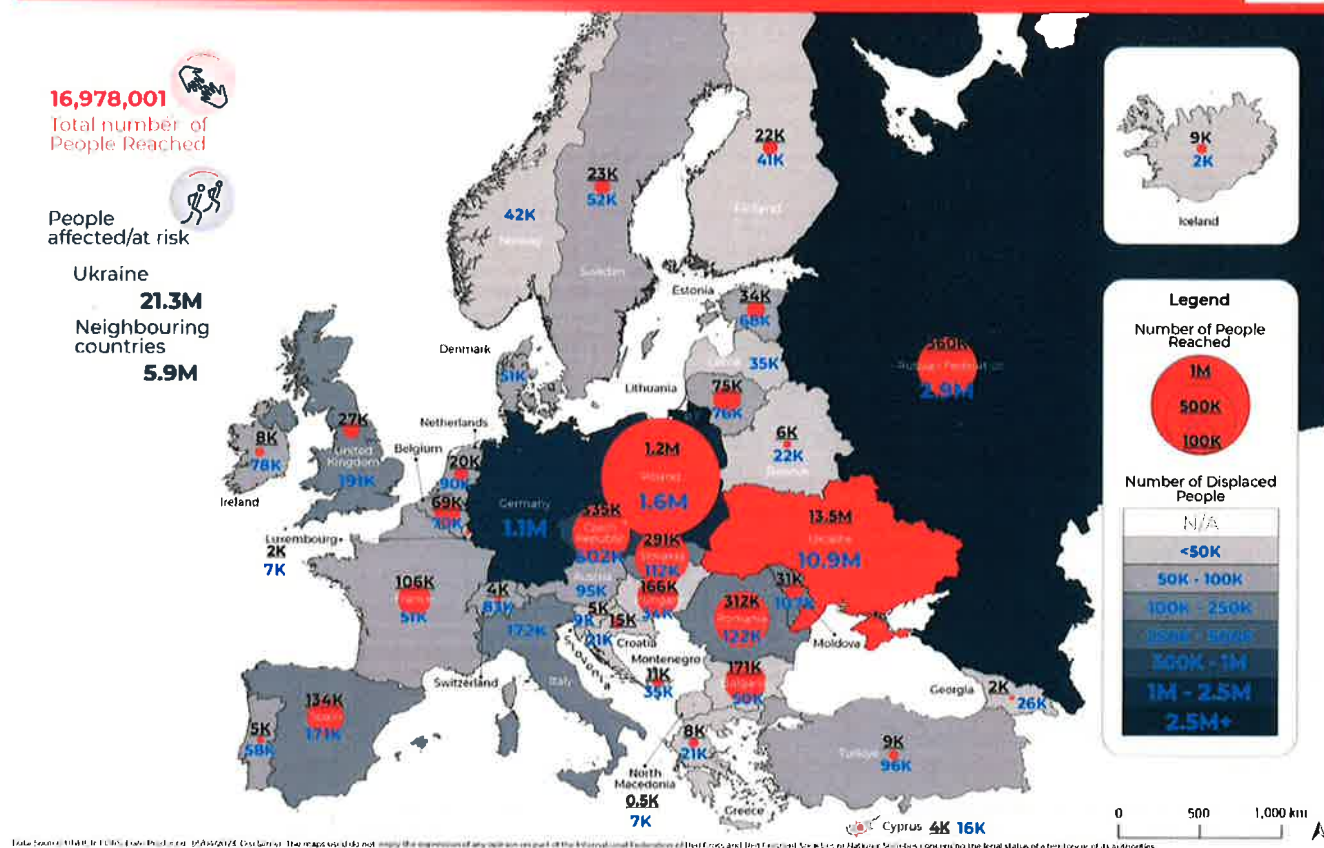
Shelter, Housing and Settlements; Cash and Voucher Assistance (CVA); Protection, Gender and Inclusion (PGI); Migration and Displacement; Community Engagement and Accountability (CEA); National Society Development (NSD); and Information Management. The purpose of these strategies is to guide sectoral planning at regional, sub-regional and country levels, and to help us communicate our sectoral approaches as part of this response to our partners and peers.

A **scenario planning** exercise facilitated by the IFRC's Regional Office for Europe and Central Asia, through a series of online and in-person workshops in March and April 2023, and with participation of all National Societies in the Emergency Appeal, has further informed the design of the country response plans and of this Revised Emergency Appeal. Due to the dynamic and protracted nature of the armed conflict and the ongoing displacement of people from Ukraine, it is expected that additional National Societies will request support from the IFRC during the timeframe of the implementation.

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# FEDERATION-WIDE APPROACH

## Federation-wide Overview Ukraine and impacted countries



Consistent with the priority given to Membership Coordination and in line with the Agenda for Renewal, the IFRC Secretariat continues to strengthen its coordination with the Membership at both strategic and operational levels. The URCS One Plan 2023-2025, the 17 National Society Response Plans, the sectoral strategies, the Emergency Appeal and the Operational Strategy (available on [IFRC GO](#)) are part of the **Federation-Wide Framework and Membership Coordination**. They are based on the needs and response priorities of Operating National Societies across the region and developed in consultation with all Federation members contributing to the response. This approach leverages the capacities of all partners to maximise

the collective humanitarian impact and ensure linkages between all response activities.

IFRC teams, present in Ukraine, neighbouring and impacted countries, are supporting the scale-up of sustainable response operations and technical capacities of National Societies responding to the ongoing crisis.

A total of 58 National Societies have been mobilized around the world, providing on-the-ground, remote, financial, and in-kind support to those affected, with the URCS at the forefront of the response effort. Among them, 43 National Societies are responding domestically to support those who have fled the conflict.

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## Federation-Wide Overview

### Ukraine and Impacted Countries Crisis



An overview of people affected in the countries that are part of the regional Emergency Appeal, and the population that have received humanitarian assistance by the Red Cross Red Crescent Movement's regional response.

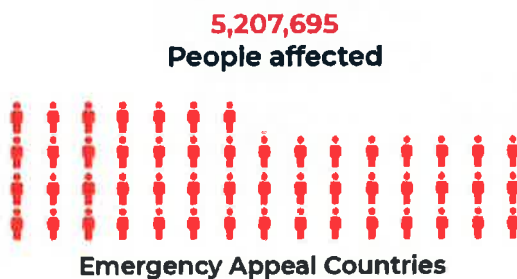
Data sources: IFRC Federation-Wide and Country Plans, UNHCR.

### Overview of People Affected in Ukraine and the Impacted Countries

👤 = 100,000    👤 People affected

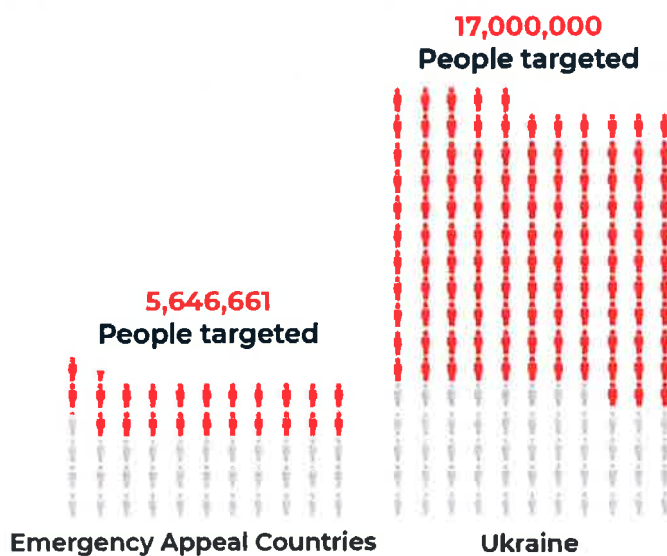
More than **26 million** people are affected **in Ukraine and countries included in the Emergency Appeal.**

**In Ukraine**, approximate **18 million** people are in need of humanitarian assistance.



### Federation-Wide Response - People Targeted vs People Reached

👤 = 100,000    👤 People yet to be reached    👤 People reached



**69%** of the targeted population **in Ukraine** have received humanitarian assistance.

**40%** of the targeted population **in emergency-affected countries**, excluding Ukraine, have been assisted.

**793,300**  
People reached

**25 National Societies** as part of their domestic response

*Salwa*



## TARGETING

The number of people affected by the current crisis is estimated to be over 27 million in and outside Ukraine. To date, almost 17 million people are estimated to have been assisted by National Societies in the impacted countries. This **revised Emergency Appeal aims to increase the reach of the Red Cross and Red Crescent National Societies to scale-up assistance to 22.6 million people** in the immediate-term and in their medium to long-term integration and transition to recovery.

Together with the URCS and informed by extensive assessments, the IFRC has identified four **priority target groups in Ukraine**:

- People in vulnerable situations, particularly, but not exclusively, those who have remained in conflict-affected areas. This can include older people and persons with disabilities who either do not have the means or are not willing to leave their homes. This is the group in the most vulnerable situation in our response, and the hardest to reach. The IFRC works together with the URCS and ICRC to reach them with the most effective tools at our disposal, such as remote cash assistance.
- A second highly vulnerable group with very limited access to resources are Internally Displaced Persons (IDPs). This is the largest target group in Ukraine and includes, among others, older people and female-headed households who are still on the move and need support throughout their journey. Households hosting IDPs are also being supported with cash assistance.
- Persons in need of physical and/or mental rehabilitation as a consequence of the conflict, including those that need to adapt to living with a disability.
- Finally, the IFRC wants to be ready to support the URCS with the reintegration of eventual returnees, and is carrying out assessments together to identify the best ways to complement Ukraine's government reintegration programmes.

Outside of Ukraine, the National Societies will be supporting displaced people in transit as well as those who are settling in at destination countries, with a particular focus on vulnerable individuals by

Red Cross and Red Crescent standards, including unaccompanied minors, women with children, single-headed families, older adults, and persons with disabilities. The operation will also support host communities and other people on the move as needed, promoting social cohesion in line with our principled humanitarian approach.

## PLANNED OPERATIONS

The IFRC is shifting its focus from an emergency phase in 2022 to a **protracted crisis scenario from 2023 onwards**, while recognising the need to remain agile and proactive in what continues to be a highly dynamic environment, and to be able to quickly adapt the response to meet changing needs. The three main pillars in the next phase of the regional response are:

### A. Humanitarian Assistance and Integration:

Within Ukraine, the IFRC will support the URCS in their work with vulnerable IDPs, hosting families, people living with disabilities, and returnees. Noting the complexities in Ukraine, both relief and recovery programming will coexist in the country in 2023, and possibly further. For more details on the work being carried out in Ukraine, please refer to the dedicated section below.

Outside Ukraine, the IFRC will advocate for the integration of displaced people into national social security systems, such as access to health services, accommodation support, education, and meaningful participation. The IFRC will guide displaced people to reach these services through the provision of information and safe referrals mechanisms, as well as system navigation support and interpretation, among others.

In parallel, the IFRC will complement national/local authorities' services through our own humanitarian assistance, while adapting these services from an emergency phase to a protracted crisis context. The IFRC will continue to monitor the application of protection measures and development of national integration policies and will support National Societies as they identify the areas in which they are best placed to complement their governments' support.

With the aim of guiding and supporting the work of National Societies in their social integration initiatives, the IFRC is facilitating the collaborative development of an 'Integration Framework' covering four interlinked areas:

- Socioeconomic integration

- Socio-cultural integration
- Well-being and protection
- Sense of belonging and meaningful participation

Integration is also a two-way process. Both within and outside Ukraine, the IFRC wants to include host communities in its programming, guided by Community Engagement and Accountability insights, and in close coordination with local/national authorities, to prevent stigma and promote social cohesion. Public communication and education efforts will also be priorities, helping reinforce and support social cohesion perspectives. Enabling National Societies to reach host communities as well as third-country nationals through their programming can ensure a holistic response that leaves no one behind and is in line with our principled humanitarian approach.

### **B. National Society Development (NSD):**

NSD is a key strategic priority for the IFRC, as it underpins the Membership's ability to respond to current and future crises. As the crisis response in Ukraine and impacted countries enters its second year, we are stepping up our efforts on skills and capacity transfer to the responding National Societies, recognising that for many of them, this Emergency Appeal presents a rare opportunity to solidify their core systems, preparedness for response, and priority services. The IFRC is working together with the leadership of each National Society to identify the areas in which they want to grow, and supporting this growth with the ambition to leave every National Society in the operation stronger than they were at the start.

Recognising the diversity of National Societies is central to the NSD approach: each National Society is set in a different institutional environment and, as such, one size does not fit all. Each NSD plan is crafted to meet the development needs of the respective individual National Society, which can include, among others:

- Continuous organisational development, strengthening of core functions, and the mobilisation of relevant technical expertise for long-term support based on the development priorities of National Societies, with a focus on digitalisation and innovations.
- Enhancing branch and volunteer development to ensure the sustainability

and effectiveness of National Societies to deliver humanitarian assistance.

The IFRC also plays a key role in the coordination and Federation-wide integration of NSD support, encouraging and facilitating peer-to-peer and bilateral connections, particularly in:

- National Society preparedness, including Preparedness for Effective Response (PER) and other preparedness and readiness-related activities.
- Capacity building in all relevant sectoral and thematic files, including, but not limited to key focus areas such as Migration and Displacement, Shelter, Health (including MHPSS), Community Engagement and Accountability (CEA), and Protection, Gender and Inclusion (PGI).

The support to people displaced by the conflict within and outside Ukraine cannot end in December 2025. With this in mind, the IFRC will help National Societies have the necessary systems in place to absorb these services into their Unified Country Plans once the Emergency Appeal phase is over. One key area of support to achieve this will be around domestic resource mobilisation and financial sustainability.

### **C. Humanitarian Diplomacy (HD):**

Influencing humanitarian action by persuading decision-makers and opinion leaders to act in the interest of the affected people, in full respect of the fundamental humanitarian principles, is a critical strategy to ensure protection and assistance. Leveraging the HD expertise of its global network, including from affected countries and from policy capitals, the IFRC will continue to build its HD support network around this operation. There will be continued engagement with external coordination mechanisms at the country, regional, and global levels (including the Inter-agency Steering Committee, Humanitarian Country Teams, NGO Forum & Working Group, EU civil protection bodies, UN Security Council and UN General Assembly).

As part of the National Society Development agenda, the IFRC will support the strengthening of National Society capacities and competencies in HD and communications to enhance their positioning with national and local authorities, and to strengthen their connections and collaboration with disaster management and social service bodies in their countries. This will not only facilitate their work during this current crisis but leave National Societies

*Adrian*



better positioned to carry out their humanitarian mandate in the future.

The IFRC will pursue tangible changes in national policy and law, including an emphasis on integration at the local and national levels. To help anchor this work, the IFRC is currently mapping the sectoral laws relevant to the operation. This will help to identify the strengths and weaknesses in the auxiliary roles of National Societies in their countries and determine the appropriate advocacy approaches to reinforce this role.

A nuanced understanding and forecasting of both geopolitical dynamics and operational realities will guide the IFRC's humanitarian diplomacy and communications approach. Using community data and insights to inform HD/communication strategies and activities will help position the IFRC Network, develop persuasive evidence and amplify community perspectives and local solutions. While advocating for access to essential services and rights, there are four distinctions the IFRC needs to consider:

- **Ukraine:** The IFRC will support the advancement of the Humanitarian Advocacy and Diplomacy Strategy and Action Plan (developed by the URCS and Movement partners) in Ukraine, while reflecting and responding to operational realities on the ground and contributing to recovery needs.
- **EU countries:** Working closely with our Red Cross EU Office, the IFRC will continue to advocate for the consistent and non-discriminatory application of the Temporary Protection measures by EU countries, while supporting access to essential services, the work around social inclusion and cohesion, resettlement, and planning for returns.
- **Outside the EU:** The IFRC will promote protection, while reinforcing the role and

### **Inside Ukraine: The One URCS Plan 2023-25 and Localisation**

The URCS, with the support of the IFRC, has designed an ambitious action plan covering the next three years of the Movement's humanitarian response. The plan covers the following three main areas: Humanitarian action with a focus on the effect of the armed conflict, resilience and recovery of communities; sustained development and expansion of the service portfolio of the URCS; and strengthening the position of the URCS as an

principles of the Red Cross and Red Crescent Movement, and will also continue to monitor, forecast, and plan for secondary impacts including growing humanitarian needs and increased migration flows.

- **Globally:** The IFRC Network will continue to be a strong voice for all people affected by the armed conflict and pursue its efforts to mobilise a relevant humanitarian response.

The IFRC will work on the key pillars identified above while remaining agile and proactive in what continues to be a highly dynamic environment, by carrying out regular contingency planning and supporting preparedness efforts, in order to quickly adapt its response to meet changing needs. These changes could include further conflict-related population movements and border crossings, but also third-country population movements or other emergencies. Under these scenarios, a two-track approach should allow the IFRC to carry out emergency response while continuing to work on the key response pillars.



auxiliary to its public authorities. The aim is to reach 12 million people through humanitarian aid and million people through recovery services.

The IFRC Secretariat, in accordance with the Agenda for Renewal and its commitment to localisation, is to fully align with the URCS' plan and to support the realisation of its objectives. The IFRC will do so by:

- Providing financial support: The IFRC will help the URCS to mobilise resources that supports its ambitions and plans to respond

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to the current crisis while building sustainable organisational systems for future responses.

- Providing technical and strategic support: The IFRC will promote local knowledge development and know-how whenever possible and provide the best people who can positively impact the partnership with the URCS, in addition to promoting and facilitating the exchange of expertise within and outside the Movement.
- Providing coordination support: The IFRC will continue to carry out membership and

- external coordination on national, regional and inter-regional levels, and will help the URCS match their identified needs for support with the right partners. The IFRC also provides an enabling environment for Partner National Societies to work in support of the URCS as required, including the provision of services through integration agreements.

As part of the *One URCS Plan 2023-25*, the IFRC will be supporting the strategic and programmatic development of the following sectors and enablers:



## SHELTER

- Shelter Support for IDPs:
  - Financial support for IDPs
  - Financial support to host families
  - Collective centre repairs and utility bill payments
  - Provision of modular houses for IDPs
- Community Infrastructure Support:
  - Provision of heating equipment
  - Community infrastructure and network repairs



## COMMUNITY ENGAGEMENT AND ACCOUNTABILITY



## MIGRATION AND DISPLACEMENT

## NATIONAL SOCIETY DEVELOPMENT (JOINTLY WITH PNS)

- Branch Development & Support
- Logistics Development
- HR Development
- Resource Mobilisation
- Security Management System
- PMER



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## Sectoral approaches

The strategy of the Ukraine and impacted countries IFRC response will focus on the following areas:

### Health & Care, including Water, Sanitation and Hygiene (WASH)

#### Health and Care:



The IFRC continues to support the implementation of community-based and emergency health integrative programming to meet the needs of conflict-affected and displaced communities, both in Ukraine and in neighbouring countries. At the same time, the IFRC is strengthening the National Societies' capacities in health and care and supporting the advancement of their auxiliary role in health in their respective countries. As tens of thousands of people are in need of physical or mental rehabilitation (see below), helping these populations adapt to life with a disability will be a key focus in Ukraine.

#### Mental Health and Psychosocial Support:



In close collaboration with Movement MHPSS experts in the region, including the Danish Red Cross, and with support from the IFRC Psychosocial Reference Centre, the IFRC is supporting National Societies across the region to develop their MHPSS capacities and transition from the immediate provision of psychological first aid to alleviate emotional distress during the emergency response to longer-term community-based MHPSS activities which are needed to support populations to heal and recover from the immense trauma they have suffered over the last year and continue to experience. Host communities will also be included in this programming, as some have reached the limit of their coping mechanisms due to protracted displacement and an economic crisis that has exacerbated pre-existing vulnerabilities. The IFRC will also continue to build capacity in caring for staff and volunteers, so that the mental health of caretakers and frontline responders is protected and burn-out is avoided.

### Integrated assistance

#### Shelter, Housing and Settlements:



Medium to long-term shelter assistance as part of this response offers a wide range of solutions that differ from country to country and can include the improvement and decongestion of collective centres, reconstruction and repair of damaged infrastructure, tailored support for hosting families and rental assistance. Skills and knowledge around integrated and coordinated shelter assistance methods that had not been widely implemented in the region before, such as rental assistance programmes, will remain in-country for future localised actions.

#### Cash and Voucher Assistance (CVA):



After being the main response modality in the first year of this operation, CVA will continue to play a key role in the next phase. In line with National Society strengthening and preparedness objectives, the IFRC is transitioning digital CVA systems to the National Societies, so that they can continue to meet the needs of crisis-affected populations in a dignified, appropriate and effective manner,

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both during this crisis and in future responses. The IFRC will also continue to advise and support sectoral strategies in their use of CVA as a response modality, and to support vulnerable households as they transition out of multi-purpose cash assistance into government sponsored social protection mechanisms and/or income-generating activities.

#### Livelihoods:



Building on the existing experiences and expertise of several Partner National Societies (e.g., Spanish Red Cross, British Red Cross, and others) and with support from the IFRC Livelihoods Resource Centre, the Emergency Appeal will support National Societies in line with their strategic priorities and capacities, to implement sustainable livelihoods assistance programmes to promote the socioeconomic integration and economic security of affected populations. Livelihoods and life skills programmes will foster linkages with relevant local economic stakeholders and can include initiatives such as language classes, information sessions on the local labour market, translation support for CVs, and other relevant counselling.

#### **Protection and Prevention**

##### Protection, Gender and Inclusion (PGI) and Safeguarding:



To fulfil the Red Cross Red Crescent Movement's PGI and Safeguarding commitments, the IFRC will continue strengthening the PGI network of National Societies in the region to enable quality programming for minority groups in the most vulnerable situations during the crisis; and to ensure that women, men, boys, girls, the older population, and persons with disabilities have the right to safety and protection, and remain free from violence, including sexual exploitation and abuse, and discrimination.

##### Migration and Displacement:



The IFRC is guiding National Societies as they plan their long-term support for displaced people, working across all sectors in the response to ensure a holistic approach, in line with the Movement's approach to Migration and Displacement and facilitating cross-border coordination and collaboration to capitalise on the membership's vast integration experience. The continuous analysis of trends, needs, and the policy landscape will also be key to informing the operation in the years ahead. At the same time, the IFRC will continue to support National Societies in their preparedness capacity to effectively respond to population movements, as well as strengthen evidence-based advocacy.

##### Community Engagement and Accountability:



The IFRC is monitoring the changing needs of the affected populations through strengthened feedback mechanisms and perception analysis exercises that include both displaced persons and host communities, and ensuring that these insights inform the design of the response. The IFRC will also continue to provide contextually and culturally appropriate information to affected communities so they can make informed decisions and know how and where to get the help they need. At the same time, the IFRC is strengthening the CEA capacities of National Societies and encouraging the institutionalisation and mainstreaming of the approach across all their programming.

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## Enabling approaches

The sectors outlined above will be supported and enhanced by the following enabling approaches:

### Coordination and Partnerships



The Emergency Appeal will facilitate enhanced cooperation among IFRC membership for greater technical and operational complementarity through established coordination mechanisms, including through thematic technical working/advisory groups at different levels and will foster existing and new partnerships among the National Societies in relevant technical areas, including migration, health, livelihoods, integrated assistance, CEA, PGI, and National Society readiness and development, among others. The operation will continue to promote cross-border collaboration and will ensure learning among IFRC members, stemming from the extensive experiences of respective National Societies.

### Humanitarian Diplomacy (HD):

As described above, HD is a key area of the next phase of the IFRC's response. For more details on the HD pillar, please refer to page 10 under the Planned Operations section.



### IFRC Secretariat Services

The Secretariat will provide support to National Societies for the implementation of this Appeal, based on the needs and operational priorities in the respective countries, and considering the development plans/vision of National Societies.



### National Society Strengthening

As described above, NSD is a key area of the next phase of the IFRC's response. For more details on the NSD pillar, please refer to page 10 under the Planned Operations section.

In line with its global commitments, the IFRC has been proactively strengthening its assurance model across the operation. This includes enhancing its second line function with crucial risk management expertise and putting in place dedicated internal audit, investigation and safeguarding specialists.

Informed by a robust global risk management policy, the IFRC has designed and embedded a bespoke risk management plan for the operation to identify, assess, manage and monitor the risk landscape. The IFRC proactive approach to risk management has enabled the implementation of an optimal set of controls allowing for sufficient assurance over the operations while capturing new opportunities with an optimal amount of risk

maximising the effectiveness and efficiency of the operations (e.g., utilising digital technology in our cash programming). The IFRC has invested time and resources into enhancing risk management capacity across the operation, including Partner National Societies, and is committed to continue doing so.

The dedicated team of internal audit, investigations and safeguarding specialists allow the IFRC to obtain independent assurance over the operations and continuously enhance the existing systems and processes. With a dedicated investigations capacity, the capabilities of both the IFRC and National Societies are maximised to prevent, detect and respond to suspicions and allegations of fraud and safeguarding.

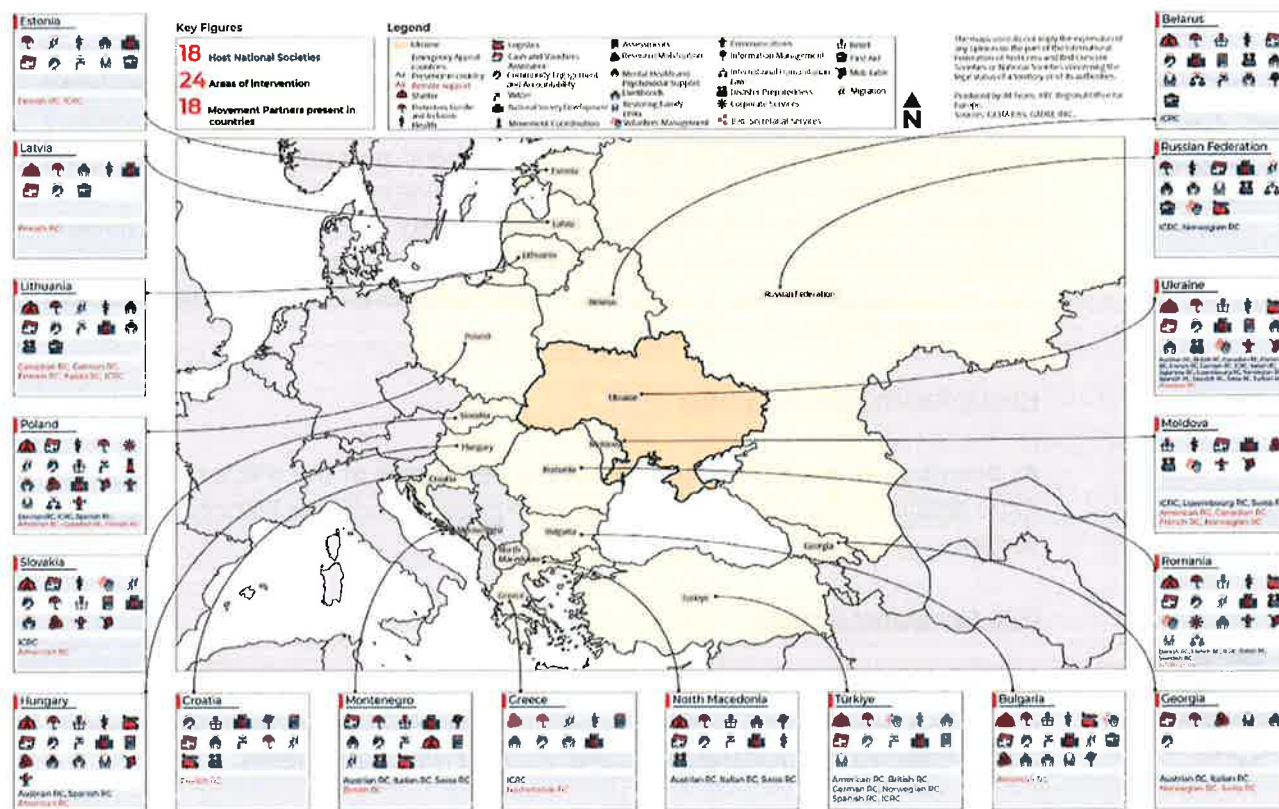
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## RED CROSS RED CRESCENT FOOTPRINT

## Activities, Presence and Remote Support

Last update:  
27 April 2023

The map depicts sectoral priorities and activities being implemented by Host National Societies and Movement partners responding to the Ukraine conflict and impacted countries.



### IFRC Membership Coordination (the IFRC Network)

The scale and extent of this crisis is unprecedented and has mobilised a significant response from across the IFRC Network. Many National Societies have responded internationally to support sister National Societies, such as the URCS, either through the IFRC Emergency Appeal or through bilateral support, while many others are working in their own countries to support displaced people from Ukraine. The modality of this support varies from a presence in-country to remote support as outlined in the map of activities, presence, and remote support.

The IFRC Secretariat has mobilised Membership Coordination support through the Regional Office for Europe to build appropriate channels for membership engagement and coordination at the regional and country levels in Ukraine, neighbouring countries, and countries beyond those bordering Ukraine. This includes online meetings in addition to partnership meetings in Budapest, Ukraine, and

Geneva (March 2022, June 2022, September 2022 and April 2023).

Working together with the [Red Cross EU Office](#), the IFRC maintains coordination relations between Movement actors in the EU, EU member states, decision-makers, and key stakeholders, sharing operational highlights and extensive experience and expertise of the membership. Sixteen National Societies outside this Emergency Appeal are working together with the IFRC under large thematic programmes funded by the European Commission's DG SANTE (Mental health and psychosocial support for displaced people coming from Ukraine) and DG HOME (Safe Homes Programme).

Key coordination themes with partners include, among others: Supporting long-term, strategic positioning of the National Society domestically, and ensuring both a needs analysis and clear communication of needs to better guide investments.



## **Red Cross Red Crescent Movement Coordination (all Movement components)**

Building on the [Strengthening Movement Coordination and Cooperation \(SMCC\) initiative](#), and in alignment with the Movement Coordination for Collective Impact Agreement ([Seville Agreement 2.0](#)), the response has been conducted in full coordination with the entire International Red Cross Red Crescent Movement, bringing together the expertise and capacities of all actors.

Based on decisions made during mini-summit meetings held across most countries covered by this Appeal (Ukraine, Poland, Moldova, Russia, and Hungary), the centrality of host National Societies has been reaffirmed as the principal convener in their own countries, with support from the IFRC and ICRC as co-conveners, based on agreed roles and responsibilities. The primary responsibility of the convening role is to bring around the table all Movement components that wish to contribute to the collective response as per their available resources and know-how. Strategic coordination between the two international components remains a priority at all levels of operational implementation. This is supported by Movement coordination between the IFRC and ICRC at the regional level, through the two Regional Offices and at a technical support level in Geneva. An Administrative Services Agreement has been signed between the IFRC Global Services Centre and ICRC in Budapest to facilitate the establishment of the ICRC Regional Office since mid-March 2022. This mechanism is replicable in other countries as needed.

Further to [Seville 2.0](#), Movement Coordination takes place at strategic, operational, and technical levels.

In Ukraine, the Movement has built upon the robust, existing Movement Coordination functions and relationships to support coordination, with the URCS at the centre. A Movement Coordination Officer was deployed and has set up a Movement Coordination framework of strategic, operational, and technical-level meetings and support. These include strategic level meetings between the URCS, IFRC, and ICRC and operational level coordination meetings, including the Movement Emergency Operations Centre (MEOC) involving Partner National Societies. Technical-level Coordination Working Groups (WGs) were also set up to help coordinate thematic responses (e.g., cash programming, relief, logistics, and health – to name a few.) These coordination mechanisms are critical for the successful

implementation of the One URCS Plan 2023-25, and will be instrumental in ensuring the sustainability of URCS operations in the years to come.

In countries neighbouring Ukraine, the IFRC is working closely with National Societies to develop a clear strategy to respond to the rapidly evolving situation in each context. This has included working with Host and Partner National Societies in each country to provide technical and human resources support scaling-up services for people on the move or staying in their countries. Support for areas such as cash assistance scale-up or volunteer management and deployment of digital solutions are key areas of focus, among many others. The ICRC is also engaged in the following five countries: Belarus, Moldova, Poland, Romania, and Russia. Movement Coordination frameworks have been set up to bring together Movement actors and streamline approaches, with coordination and technical support from both regional and Geneva levels.

Given the sensitivities of this context, official communications from the IFRC, ICRC, and affected National Societies are being developed in close coordination and cooperation. All Movement partners carefully consider messages to ensure the safety of volunteers and staff directly involved in the response operations, and access and acceptance in the affected areas, as well as to gain the trust of local communities and all parties involved.

In addition to the country-level coordination, the IFRC and ICRC have agreed on a regular coordinated approach to Movement reporting through the "Movement Picture" that is updated every quarter. Coordinated reporting ensures that the larger RCRC Network is well-informed of the Movement's impact in Ukraine and globally.

### **External coordination**

The IFRC has been engaged in inter-agency coordination (UNHCR, other relevant UN agencies and international non-governmental agencies) since the escalation of the conflict. It is also engaged at the global leadership level under the Inter-Agency Standing Committee (IASC) structures. A liaison function with the EU, including the EU Civil Protection Mechanism, has also been set up. National Societies provide humanitarian services in close cooperation with external stakeholders in their respective countries, including the relevant national

agencies, national and international humanitarian aid organisations, and local and central departments of relevant ministries. This Emergency Appeal enables the IFRC to support National

Societies to further enhance their auxiliary role and ensure strong partnerships with key external organisations.



*Volunteers of the Polish Red Cross and IFRC staff working in a Cash Assistance distribution centre. Friendly spaces for kids and exit surveys are being implemented as part of the project. Photo: Carla Guananga/IFRC*

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# FUNDING REQUIREMENTS

## Federation-wide Funding Requirements

The International Federation of Red Cross and Red Crescent Societies (IFRC) remains steadfast in its commitment to supporting the millions affected by the crisis in Ukraine and impacted countries. The IFRC is seeking, on behalf of its network and the IFRC Secretariat, **CHF 2.7 billion to provide crucial and long-term humanitarian aid** to meet a wide range of needs, standing side-by-side with impacted communities in 43 countries. Of this total, this Emergency Appeal specifically seeks **CHF 800 million for multilateral assistance** provided through the IFRC Secretariat to National Societies and for IFRC Secretariat services and functions.

**CHF 2.7  
Billion**

Federation-wide  
Requirements

**CHF 800  
Million**

Emergency Appeal  
Requirements

### Federation-wide Funding Requirements



The Federation-wide fundraising ask is an estimation based on the data reported by National Societies through the Ukraine Federation-wide financial overview form and the IFRC Appeal.

## IFRC Appeal Funding Requirements

**The IFRC is grateful for the generous contributions that partners have made to date**, which have enabled responding National Societies to make a significant impact in the lives of millions of people affected by the conflict. Despite these contributions, **a significant funding gap of CHF 361 million or 45% remains**. To continue supporting National Societies around the world to play their key role in supporting people impacted by the crisis, the IFRC calls for partners to renew their commitment to accompanying the IFRC Network in its response by further contributing to the IFRC Appeal.

The funding provided through this revised Emergency Appeal covers both allocations to member National Societies and financial support for the work of the IFRC Secretariat. It includes allocations to the 18 National Societies that requested international assistance and incorporates funding for 16 National Societies that are conducting activities in their respective countries, supported by domestic funds as well as multilateral thematic programmes funded by the European Commission and channelled through the IFRC Secretariat Appeal.



## Contact information

For further information specifically related to this operation, please contact:

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### Reference



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- [Ukraine and impacted countries crisis](#)

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Standard:	NGOs	Revision no.:	4
General Conditions	Grant Management Regime I and II	Date:	April 2022

## PART II: GENERAL CONDITIONS APPLICABLE TO GRANTS FROM THE NORWEGIAN AGENCY FOR DEVELOPMENT COOPERATION

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## **1 WORK PLAN AND BUDGET**

- 1.1 Any updated work plan to be submitted in accordance with the Specific Conditions shall be directly related to the results framework.
- 1.2 Any updated budget to be submitted in accordance with the Specific Conditions shall be based on the approved budget in Annex A and include estimated income to the Project from all sources as well as planned expenditures for the upcoming reporting period. The estimated financial need of the Project in the upcoming reporting period shall be clearly stated.

## **2 PROGRESS REPORT**

- 2.1 Any progress reports to be submitted in accordance with the Specific Conditions shall describe the results achieved by the Project during the reporting period. The report shall be set up in a way that allows direct comparison with the latest approved Application, work plan and budget, and shall be signed by an authorised representative of the Grant Recipient.

- 2.2 The progress reports shall, as a minimum, include:

- a) an account of the results achieved so far by the Project, using the format, indicators and targets of the approved results framework. The overview must:
  - show delivered main outputs compared to planned Outputs;
  - show the Project's progress towards achieving the Outcome;
  - if possible, describe the likelihood of the Impact being achieved.
- b) an account and assessment of deviations from the latest approved Application and/or work plan;
- c) a brief update on the risk management of the Project, including:
  - any new risk factors;
  - how materialized risks have been handled in the reporting period;
  - the effectiveness of mitigating measures;
  - how risks will be handled going forward.

The update shall include both risks affecting Project achievements and the risks for negative consequences from the Project on its surroundings. Potential negative effects on the cross-cutting issues as referred to in the Specific Conditions article 3 shall always be accounted for.

- d) a brief account of work undertaken to prevent instances of financial irregularities and sexual exploitation, sexual abuse and sexual harassment (SEAH).

## **3 FINANCIAL REPORT**

- 3.1 Any financial report to be submitted in accordance with the Specific Conditions shall comprise financial statements with a comparison to the latest approved budget for the reporting period, as well as an identification of any deviations from the budget as per clause 3.3 below. The financial report shall be certified by the financial controller (or equivalent) as well as an authorised representative of the Grant Recipient.

- 3.2 The financial statements shall be set up in a way that allows for direct comparison with the latest approved budget, using the same currency and budget line items. They shall, as a minimum, include:

- a) income from all sources, including bank interest. Norad's contribution shall be specified;
- b) expenses charged/capitalised in the relevant reporting period;
- c) expenses charged/capitalised from start-up of the Project to the end of the reporting period;
- d) unused funds as per the reporting date. Norad's share shall be specified;

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- e) overhead/indirect costs to be covered by the Grant in accordance with article 4 of the Specific Conditions;
  - f) balance sheet, when required in accordance with the accounting principles applied;
  - g) explanatory notes including a description of the accounting principles used and any other explanatory material necessary for transparent financial reporting of the Project.
- 3.3 Deviations from the approved budget shall be highlighted with information about both nominal amounts and percentage of each deviation. The Grant Recipient shall include a written explanation of any deviations amounting to more than 10% of a budget line and exceeds NOK 15 000 (fifteen thousand).

#### **4 FINAL REPORT**

- 4.1 The final report to be submitted in accordance with the Specific Conditions shall describe the results achieved by the Project during the Support Period. The report shall be set up in a way that allows for a direct comparison with the Application and shall be signed by an authorised representative of the Grant Recipient.
- 4.2 The final report shall, as a minimum, include:
- a) the items listed for the progress reports described in article 2 of the General Conditions, covering the entire Support Period;
  - b) an assessment of the Project's effect on society (Impact);
  - c) a description of the main lessons learned from the Project;
  - d) an assessment of how efficiently Project resources have been turned into outputs
  - e) an assessment of the sustainability of the achieved results by the Project.

#### **5 AUDIT**

- 5.1 If an audit of the Project's financial statements is required pursuant to the Specific Conditions article 6, the audit shall be carried out by an independent chartered/certified or state-authorised public accountant (auditor).
- 5.2 Norad reserves the right to approve the auditor and may require that the auditor shall be replaced if Norad finds that the auditor has not performed satisfactorily or if there is any doubt as to the auditor's independence or professional standards.
- 5.3 The auditor shall form an opinion on whether the Project's financial statements fairly reflect the financial position of the Project and whether they are prepared, in all material respects, in accordance with the applicable financial reporting framework and the requirements of article 3 of the General Conditions.
- 5.4 The auditor shall report in accordance with the applicable audit standards, as agreed in the Specific Conditions.
- 5.5 The audit report shall include:
- a) the Project name and agreement number;
  - b) the Project period subject of the audit;
  - c) reference to the financial reporting framework applied;
  - d) the auditing standards applied;
  - e) a statement that the auditor has obtained reasonable assurance about whether the financial statements as a whole are free from material misstatement;
  - f) the auditor's opinion.

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- 5.6 If any findings have been reported in the Project's management letter, the Grant Recipient shall prepare a response including an action plan to be submitted to Norad together with the management letter.
- 5.7 The costs of the audit of the Project's financial statements shall be included in the Project's budget.
- 5.8 The audit requirements stated in this Agreement are applicable for the total Grant, including any part of the Grant that has been transferred to a cooperating partner.
- 5.9 The auditor of the Project's consolidated financial statement is responsible for the direction, supervision and performance of the audit of any part of the Grant that has been transferred to a cooperating partner. The auditor shall assure itself that those performing the audit for cooperating partners have the appropriate qualifications, that the audit is in compliance with professional standards, and that the audit report is appropriate under the circumstances. ISA 600 establishes standards and provide guidelines when using the work of other auditors.
- 5.10 The auditor of the Project's consolidated financial statement shall express an opinion on whether the statement is prepared, in all material respects, in accordance with the applicable financial reporting framework and the requirements of article 3. To this end, the auditor shall obtain sufficient appropriate audit evidence regarding the financial statements of the cooperating partner and the consolidation process.

## **6 CONTROL MEASURES**

- 6.1 Representatives of Norad and the Norwegian Auditor General may at all times carry out independent reviews, audits, field visits or evaluations or other control measures related to the Project. The objective of such control measures may be i.a to verify that the Grant has been used in accordance with the Agreement or to evaluate the achievement of results.
- 6.2 The Grant Recipient shall facilitate such control measures by providing all information and documentation necessary to carry out the relevant initiative, as well as ensuring unrestricted access to any premises, records, goods and documents requested.
- 6.3 The representatives of Norad and the Norwegian Auditor General shall also have access to the Grant Recipient's auditor and the auditor's assessments of all information pertaining to the Grant Recipient and the Project. The Grant Recipient shall release the auditor from any confidentiality obligations in order to facilitate such access.
- 6.4 The rights and obligations of this article 6 shall remain in force for 5 years following expiry or termination of the Agreement, whichever occurs later.

## **7 FINANCIAL MANAGEMENT**

- 7.1 The Grant Recipient shall keep accurate accounts of the Project's income and expenditure using an appropriate accounting- and double-entry book-keeping system<sup>1</sup>.

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<sup>1</sup> A double-entry bookkeeping a system is system of bookkeeping where every entry to an account requires a corresponding and opposite entry to a different account.

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- 7.2 The accounts shall be kept up to date at least on a monthly basis. Bank reconciliations<sup>2</sup> and cash reconciliations<sup>3</sup> shall be completed at least every month, and shall be documented by the Grant Recipient.
- 7.3 Accounts and expenditures relating to the Project must be easily identifiable and verifiable, either by using separate accounts for the Project or by ensuring that Project expenditure can be easily identified and traced within the general accounting- and bookkeeping systems. Insufficient documentation may render the expenditure ineligible. The accounts must provide details of bank interest accrued on the Grant.
- 7.4 The Grant Recipient shall keep the Project's accounting records for at least 5 years from the time of Norad's approval of the final report for the Project. This shall include i.a. vouchers, receipts, contracts and bank statements.

## **8 EXCHANGE RATE FLUCTUATIONS**

- 8.1 If the Grant is converted into another currency, the exchange shall be made through a national or commercial bank unless otherwise approved by Norad. Exchange rates must be stated to four decimal places.
- 8.2 If exchange rate fluctuations decrease the value of the Grant to such an extent that this will have consequences for the implementation of the Project, the Grant Recipient shall inform Norad as soon as possible.
- 8.3 If exchange rate fluctuations increase the value of the Grant, the surplus shall be treated as disbursed Grant funds and used for Project purposes. This means that net surplus from conversion into foreign currency shall be subtracted from future disbursements or repaid as unused funds at the end of the Support Period, unless otherwise agreed between the Parties.

## **9 EQUIPMENT, CONSUMABLES AND INTELLECTUAL PROPERTY RIGHTS**

- 9.1 The right of ownership to equipment, consumables and intellectual property rights procured or developed by use of the Grant shall vest in the Grant Recipient or its cooperating partner, unless otherwise stated in the Application. All matters associated with such equipment, consumables and intellectual property rights are the exclusive responsibility of the Grant Recipient. However, significant use of such equipment, consumables and intellectual property rights for purposes outside the Project shall be subject to the Norad's prior approval.
- 9.2 Intellectual property rights financed in whole or in part from the Grant shall, in the spirit of securing such rights as a common global good, be managed in a way that maximizes their public accessibility and allows the broadest possible use. Material produced as a result of this Grant shall, as far as possible and appropriate, be placed in the public domain for non-commercial use.

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2 Bank reconciliation is a process of verifying whether the sum found in the bank statements at the end of the period correspond with transactions recorded in the accounting system. This is usually done in conjunction with closure of the accounting records.

3 Cash reconciliation is a process of verifying whether the cash at hand at the end of the period corresponds with the amount of cash in the beginning of the period and the registrations of withdrawals and deposits in the period. This is usually done in conjunction with closure of the accounting records.

- 9.3 Norad shall have a non-exclusive and royalty-free license to use all intellectual property rights procured or developed by the use of the Grant. Norad may assign this right to any individual or organisation at its own discretion.
- 9.4 Transfer of ownership of such equipment, consumables or intellectual property rights during the Support Period shall be made at market terms. Ownership may not be transferred to an employee of the Grant Recipient or its cooperating partner, or to anyone related or connected to an employee, if such relation could lead to a conflict of interest as described in article 17 of the General Conditions.
- 9.5 Before a transfer is decided, the Grant Recipient shall assess whether it may have an impact on the Project and, where appropriate, consult with Norad. Any income from a transfer shall accrue to the Project, and shall be reported in the financial statement of the Project.
- 9.6 The Grant Recipient shall prepare a record of transfer of ownership for any equipment, consumables and intellectual property rights. The record shall comprise information about the object of transfer, the original purchase price paid by the Grant Recipient, price offers received, the final sales price and the name of the purchaser. The record shall be submitted to Norad along with the first progress report due after the sale.
- 9.7 If the activities of the Project do not continue after the end of the Support Period or after termination of the Agreement, the Grant Recipient shall inform Norad about the remaining equipment and goods that have been purchased by use of the Grant. The Norad may require that such assets be sold. Such sale shall be completed in accordance with the procedures described above. Income from the sale shall be repaid to Norad.

## **10 REAL PROPERTY**

- 10.1 The Grant may not be used to purchase or construct real property (land or buildings) unless explicitly approved by Norad. Where Norad has approved a purchase or construction of real property such approval must be formalised in the Specific Conditions or in a separate agreement document.
- 10.2 The Grant Recipient and Norad shall in such agreement decide on the details concerning the ownership and the status of the real property after the end of the Support Period and/or the end of the Project.
- 10.3 Norad may in such an agreement require i.a. that the real property shall be sold after the end of the Support Period and that the proceeds from the sale shall be repaid to Norad. Norad may also reserve the right to establish security interests in any real property purchased by use of the Grant.

## **11 TRANSFER OF THE GRANT TO A COOPERATING PARTNER**

- 11.1 Transfer of all or part of the Grant including assets to a cooperating partner must be documented through a written sub-grant agreement. The sub-grant agreement shall specify that the cooperating partner is required to comply with the provisions of this Agreement which is relevant to the sub-grant agreement and to cooperate with the Grant Recipient to ensure that the Grant Recipient is able to fulfil its overall obligations under the Agreement.
- 11.2 The sub-grant agreement shall include provisions for results and financial reporting, audit, procurement and measures to prevent financial irregularities and sexual exploitation, abuse and harassment. Furthermore, the sub-grant agreement shall explicitly state that:



- a) both the Grant Recipient, Norad and the Norwegian Auditor General shall have access to undertake such control measures related to the cooperating partner's use of the Grant as described in article 6 of the General Conditions,
  - b) the Grant Recipient shall be entitled to claim repayment from the cooperating partner in the same instances and to the same extent that Norad is entitled to claim repayment from the Grant Recipient, and that Norad has the right to claim repayment directly from the cooperating partner to the same extent as the Grant Recipient,
  - c) the cooperating partner shall accept the choice of law and settlement of disputes provisions in article 25 of the General Conditions for any dispute arising between the cooperating partner and Norad.
- 11.3 The Grant Recipient shall assure itself that the cooperating partner has the necessary competence and internal procedures to meet the requirements of the Agreement that are relevant for the sub-grant agreement and shall follow-up the cooperating partner's compliance with such requirements throughout the Support Period.
- 11.4 The Grant Recipient must obtain and assess management letters issued to all cooperating partners. Any significant findings and a response including an action plan to be submitted to Norad.
- 11.5 The Grant may not be transferred to a cooperating partner who has previously been charged or sentenced for any criminal activity unless explicitly approved by Norad.
- 11.6 The Grant Recipient shall remain fully responsible towards Norad for any part of the Grant including assets that has been transferred to a cooperating partner.

## **12 CHANGES OR CIRCUMSTANCES AFFECTING THE PROJECT OR THE GRANT RECIPIENT**

- 12.1 The Grant Recipient shall immediately inform Norad of circumstances likely to hamper, delay or otherwise significantly affect the successful implementation of the Project. The same applies to significant changes to, or circumstances materially affecting, the Grant Recipient's organisation. Norad may suspend disbursement of the Grant until the implications for the Project has been assessed.

## **13 EXTENSION OF THE SUPPORT PERIOD**

- 13.1 The Grant Recipient may request an extension of the Support Period if this is necessary to complete all planned activities. The request must state the reasons for the delay and supporting documentation must be enclosed. Norad shall approve or decline the request in writing.

## **14 TRANSPARENCY**

- 14.1 Norad may make this Agreement and other Project documentation, such as but not limited to, the Application and agreed reports available to the public to promote transparency of the use of public funds.
- 14.2 The Grant Recipient shall make the Project documentation, including the Application and all agreed reports, available to anyone upon request. Requests for disclosure may only be denied if such disclosure is prohibited by confidentiality obligations and/or if it may be detrimental to the Grant Recipient's legitimate interests.

## **15 FINANCIAL IRREGULARITIES**

15.1 The Grant Recipient is required to practise zero tolerance against corruption and other financial irregularities within and related to the Project. The zero-tolerance policy applies to all staff members, consultants and other non-staff personnel and to cooperating partners and where relevant beneficiaries of the Grant.

15.2 "Financial irregularities" refers to all kinds of:

- a) corruption, including bribery, nepotism and illegal gratuities;
- b) misappropriation of cash, inventory and all other kinds of assets;
- c) financial and non-financial fraudulent statements;
- d) all other use of Project funds which is not in accordance with the Agreement.

15.3 In order to fulfil the zero-tolerance requirement, the Grant Recipient shall:

- a) organise its operations and internal control systems in a way that financial irregularities are prevented and detected;
- b) do its utmost to prevent and stop financial irregularities within and related to the Project;
- c) require that all staff involved in, and any consultants, suppliers and contractors financed under the Project refrain from financial irregularities.

15.4 The Grant Recipient shall inform Norad immediately of any indication of financial irregularities in or related to the Project. The Grant Recipient shall provide Norad with an account of all the known facts and an assessment of how the matter should be followed up, including whether criminal prosecution or other sanctions are considered appropriate.

15.5 The matter will be handled by Norad in accordance with Norad's guidelines for handling suspicion of financial irregularities. The Grant Recipient shall cooperate fully with Norad's investigation and follow-up. If requested by Norad, the Grant Recipient shall, provided there is sufficient basis for taking legal steps, report the suspicions to the police, commence civil proceedings for recovery of damages or apply other appropriate sanctions against persons or entities suspected of financial irregularities. However, in cases where the Grant Recipient is concerned that due process of law may be unavailable, the matter shall instead be included in the account and assessment referred to in clause 15.4 for discussion of a mutually acceptable course of action.

## **16 SEXUAL EXPLOITATION, SEXUAL ABUSE AND SEXUAL HARASSMENT**

16.1 Norad has zero tolerance for inaction against sexual exploitation, abuse and harassment (SEAH). The Grant Recipient shall have a victim/survivor-centred approach to SEAH issues and take all reasonable steps to prevent, detect and respond to SEAH within and related to the Project. This obligation applies to all staff members, consultants and other non-staff personnel, cooperating partners and any third parties involved in activities funded by the Grant.

16.2 The following definitions apply:

- a) Sexual exploitation: Any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.
- b) Sexual abuse: The actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.
- c) Sexual harassment: Any form of unwanted sexual attention that has the purpose or effect of being offensive, frightening, hostile, degrading, humiliating or troublesome.

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**16.3 The Grant Recipient shall:**

- a) Adhere to the IASC-Minimum Operation Standards on “Protection from sexual exploitation and abuse by own personnel” and/or the SEA elements of the Core Humanitarian Standard on Quality and Accountability,
- b) have ethical guidelines that include policies on prevention and response to SEAH,
- c) organise its operations and internal control systems in a way that SEAH is prevented, detected and responded to,
- d) take swift action on suspicions or complaints of SEAH to stop harm occurring, investigate and report to relevant authorities (for criminal matters), after considering the rights, needs and wishes of the survivor/victim.

16.4 The Grant Recipient shall inform Norad immediately of any indications of SEAH credible enough to warrant an investigation within or related to the Project as well as indications of SEAH not directly linked to the Project but of significant impact on the partnership with Norad.

16.5 The Grant Recipient shall provide Norad with a report of the relevant facts and an assessment of how the matter will be followed up, including whether the organisation will improve internal systems to prevent, detect and respond to SEAH, and whether criminal prosecution or other sanctions are considered appropriate, considering the rights, needs and wishes of the survivor/victim. The reporting will be made without compromising the safety, security, privacy, and due process rights of any concerned person. The report will be handled by Norad in accordance with Norad’s guidelines for handling notifications of sexual abuse, sexual exploitation, and sexual harassment by grant recipients.

16.6 Upon request from Norad, the Grant Recipient shall grant the Norad access to all relevant information and documentation related to the Grant Recipient’s adherence with this article.

**17 CONFLICT OF INTEREST**

17.1 The Grant Recipient shall take all necessary precautions to avoid any conflicts of interest in all matters related to the Project.

17.2 Conflict of interest refers to any situation where the impartial and objective exercise is, or may be, compromised for reasons involving family, personal life, political or national affinity, economic interest or any other connection or shared interest with another person. The obligation to avoid conflict of interest applies to anyone acting on behalf of the Grant Recipient.

17.3 If a conflict of interest occurs, the Grant Recipient shall, without delay, take all necessary measures to resolve the conflict, e.g. by replacing the person in question or by obtaining independent verification of the terms of the proposed decision or transaction.

17.4 If the conflict of interest cannot be resolved and/or if it relates to a decision or transaction of special significance to the Project, the decision or transaction may not be concluded without the prior, written approval of Norad.

**18 BREACH OF THE AGREEMENT**

18.1 If the Grant Recipient fails to fulfil its obligations under this Agreement and/or if there is suspicion of financial irregularities, Norad may suspend disbursement of all or part of the Grant.

18.2 In the event of material breach of the Agreement, Norad may terminate the Agreement with immediate effect, and/or claim repayment of all or parts of the Grant. A repayment claim may

also include interest and any other financial gain obtained by the Grant Recipient as a result of the financial irregularity.

18.3 Material breach of the Agreement shall include, without limitation, the following situations:

- a) all or part of the Grant has not been used in accordance with the Agreement and/or approved work plans and budget,
- b) the Grant Recipient has made false or incomplete statements to obtain the Grant,
- c) the use of the Grant has not been satisfactorily accounted for,
- d) the Grant Recipient has, after having been granted an extended deadline, failed to provide the agreed reports, or has knowingly provided reports that do not reflect reality,
- e) the Grant Recipient has failed to take preventive measures against sexual exploitation, sexual abuse, or sexual harassment, to detect or respond to indications thereof, or to take corrective action when sexual exploitation, sexual abuse or sexual harassment has occurred, in accordance with article 16 of the General Conditions,
- f) financial irregularities, grave professional misconduct, or illegal activity of any form have taken place within the Grant Recipient or its cooperating partners,
- g) the Grant Recipient has failed to inform Norad of indication of financial irregularities within the Project in accordance with article 15 of the General Conditions,
- h) the Grant Recipient has changed legal personality without prior notification to Norad,
- i) the Grant Recipient is bankrupt, being wound up or is having its affairs administered by the courts, or is subject to any analogous or corresponding procedure provided for under national legislation.

18.4 The Grant Recipient shall inform Norad immediately of any circumstances that may indicate or lead to a breach of Agreement, and shall provide Norad with any information or documentation it may reasonably require in order to determine if a breach of the Agreement has occurred.

18.5 Norad may also suspend disbursements or terminate the Agreement with immediate effect if a material breach of another agreement between Norad and the Grant Recipient has been established.

## **19 TERMINATION OF THE AGREEMENT**

19.1 Each of the Parties may terminate the Agreement upon a written notice.

19.2 The Support Period shall end three months after the date of the notice of termination. During these three months, the Grant Recipient may only use the Grant to cover commitments that have been established before the date of the notice of termination.

19.3 If the Project cannot continue without the Grant, the Grant Recipient shall use these three months to discontinue or scale down the Project promptly and in an orderly and financially sound manner.

19.4 The Grant Recipient shall submit a final report to Norad within three months of the end of the Support Period. The final report shall meet the requirements set out in article 4 of the General Conditions and shall also include a financial report and audit report covering the period from the previous financial report until the end of the Support Period.

19.5 The Agreement will be considered terminated when the final report has been approved by Norad and any remaining funds have been repaid.

## **20 WAIVER AND IMMUNITIES**

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- 20.1 Nothing in the Agreement or any document related to the Agreement or Norad's acceptance of other countries' jurisdiction in disputes arising from this Agreement shall imply that Norad, the Government of Norway or any of their employees are deemed to have, expressly or implicitly waived any privileges or immunities they may have. This article 20 will not prevent arbitration or court proceedings in the legal venue of the Grant Recipient pursuant to article 25 of the General Conditions.

## **21 LIABILITY**

- 21.1 Norad shall not under any circumstances or for any reason be held liable for damage, injury or loss of income sustained by the Grant Recipient or its agencies, staff or property as a direct or indirect consequence of the Project or services provided thereunder. Norad will not accept any claim for compensation or increases in payment in connection with such damage, injury or loss of income.
- 21.2 The Grant Recipient shall assume sole liability towards third parties, including liability for damage, injury or loss of income of any kind sustained by them as a direct or indirect consequence of the Project. The Grant Recipient shall indemnify Norad against any claim or action from the Grant Recipient's staff or third parties in relation to the Project.

## **22 ASSIGNMENT**

- 22.1 The Agreement and/or the Grant may not be assigned to a third party without the prior written consent of Norad. This shall not, however, prevent transfer of parts of the Grant to a cooperating partner in accordance with article 11 of the General Conditions.

## **23 RECOGNITION AND PUBLICATION**

- 23.1 The Grant Recipient shall acknowledge Norad's support to the Project in all publications and other materials issued in relation to the Project. Norad's logotype will be provided by Norad upon request. All use of Norad's logotype must be approved by Norad.

## **24 ENTRY INTO FORCE, DURATION AND AMENDMENT**

- 24.1 The Agreement shall enter into force at the date of the last signature and shall remain in force until all obligations arising from it have been fulfilled, or until it is terminated in accordance with the provisions of the General Conditions. Whether the obligations of the Agreement shall be considered fulfilled, will be determined through consultations between the Parties and confirmed by Norad in a completion letter.
- 24.2 The Agreement may be amended. Any such amendment must be agreed upon in writing between the Parties and shall become an integral part of the Agreement.
- 24.3 Termination or expiry of the Agreement shall not release the Parties from any liability arising from any act or omission that has taken place prior to such termination or expiry.

## **25 CHOICE OF LAW AND SETTLEMENT OF DISPUTES**

- 25.1 The Agreement shall be governed and construed in accordance with Norwegian law.

- 25.2 If any dispute arises relating to the implementation or interpretation of the Agreement, the Parties shall seek to reach an amicable solution.
- 25.3 Any dispute arising out of or in connection with the Agreement that cannot be solved amicably, shall exclusively be settled before the Norwegian courts of law with Oslo District Court as legal venue.
- 25.4 Norad may, at its own sole discretion and as an alternative to the legal venue mentioned above, choose to settle the dispute by
- a) the courts in the legal venue of the Grant Recipient, or
  - b) arbitration in accordance with the Arbitration Rules of the Arbitration Institute of the Stockholm Chamber of Commerce. The arbitral tribunal shall be composed of three arbitrators. If the disputed amount is below an amount corresponding to NOK 10 000 000 the arbitral tribunal shall, however, be composed of a sole arbitrator. The seat of arbitration shall be Stockholm, Sweden, and the language to be used in the arbitral proceedings shall be English. The Parties agree that neither the arbitral proceedings nor the award shall be subject to any confidentiality.
- 25.5 The Parties agree that no other courts of law, than as set out in this article 25, shall have jurisdiction over disputes arising out of or in connection with this Agreement.

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# **PART III: PROCUREMENT PROVISIONS** **APPLICABLE TO GRANTS FROM** **THE NORWEGIAN MINISTRY OF FOREIGN AFFAIRS** **AND NORAD**

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## PART III: PROCUREMENT PROVISIONS

This Part III of the Agreement sets out the minimum rules and principles which shall be applied by the Grant Recipient and their sub-grantees for all procurements under the Project/Activity funded by grants received from MFA or Norad.

### PRINCIPLES

#### 1 SOUND FINANCIAL MANAGEMENT

- 1.1 All procurement must be justified, reasonable and compliant with sound financial management.
- 1.2 Sound financial management means that the Grant must be used in accordance with the principles of economy, efficiency, and effectiveness:
  - a) The principle of economy refers to resources required being made available in due time, in appropriate quantity and quality and at the best price.
  - b) The principle of efficiency refers to the relationship between the resources spent and results achieved.
  - c) The principle of effectiveness refers to the degree of which the procurement process meets the intended outcome.

#### 2 EQUAL TREATMENT AND NON-DISCRIMINATION

- 2.1 Fair competition is the foundation for sound procurement. Tenderers shall be treated equally and without discrimination throughout the procurement process.
- 2.2 Open and transparent processes are essential for promoting competition and minimising the risk of corruption. Where the design or execution of a procurement process is made with the intention of unduly favouring or disadvantaging certain tenderers the competition will be considered artificially narrowed and in breach with the principle of equal treatment and non-discrimination.

#### 3 ETHICS IN PROCUREMENT

- 3.1 Grant recipients, as well as tenderers, suppliers, contractors, and consultants under contracts financed in whole or in part by the Grant shall observe the highest standards of ethics during the procurement and execution of contracts.
- 3.2 This shall always include:
  - a) Respecting minimum ILO standards such as the respect of working conditions and avoidance of child labour.
  - b) Respecting basic social rights and environmental aspects.
  - c) Having zero-tolerance for corruption and financial irregularities.
  - d) Having zero-tolerance for inaction to sexual exploitation, sexual abuse, and sexual harassment (SEAH).

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#### **4 SUSTAINABLE PROCUREMENT**

- 4.1 Grant recipients shall endeavour to consider environmentally-sound products and/or services when defining criteria and requirements for procurement.
- 4.2 Grant recipients shall, when procuring services, endeavour to limit the amount of travel needed to perform the services and when relevant and appropriate instead use virtual meetings and/or phone conferences.

#### **GENERAL RULES**

#### **5 NOTORIETY**

- 5.1 Grant recipients shall keep sufficient and appropriate records and documentation about the procurement procedure, the selection criteria set, evaluations made and award decisions.

#### **6 CONFLICT OF INTEREST**

- 6.1 Grant recipients shall avoid any situation of conflict of interest. Conflict of interest refers to any situation where the impartial and objective exercise is, or may be, compromised for reasons involving family, personal life, political or national affinity, economic interest or any other connection or shared interest with another person.
- 6.2 Contracts may not be awarded to tenderers that are subject to a conflict of interest without an explicit written approval from MFA/Norad.
- 6.3 The obligation to avoid conflict of interest applies to anyone acting on behalf of the grant recipient.

#### **7 VALUATION OF CONTRACTS AND THRESHOLDS**

- 7.1 All monetary amounts referred to in this Part III are amounts excluding value-added tax (VAT).
- 7.2 To determining the applicable procurement method, grant recipients shall ensure that the estimation of the contract value is made correctly and includes all costs related to the specific contract.
- 7.3 Any form of options and extensions of the contract shall be included when estimating the contract value.
- 7.4 No contract may be split-up with the intention of avoiding the application of a formal procurement method.

#### **8 TENDER DOCUMENTS**

- 8.1 The tender documents shall furnish all information necessary for a prospective tenderer to prepare a responsive tender for the goods, works or services to be provided.

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- 8.2 The tender documents shall be drafted to encourage the widest possible competition. They shall clearly define the scope of works, goods, or services to be supplied, the rights and obligations of the tenderer and the grant recipient and set out fair and non-discriminatory criteria for selecting the winning tender.

## 9 EVALUATION OF TENDERS

- 9.1 The evaluation of tenders shall be made in a neutral and transparent manner and in accordance with the criteria pre-determined in the call for tenders.
- 9.2 Where the value of the contract exceeds NOK 1,000,000 an evaluation committee must be set up to evaluate the received tenders. This committee must have an odd number of members with the technical and administrative capacities to give an informed opinion of the tenders.

## 10 GROUNDS FOR DISQUALIFICATION OF TENDERERS

- 10.1 A tenderer should be excluded from the evaluation and the award of a contract, if:
- a) They are bankrupt or is being wound up, whose affairs are being administered by court, has entered an arrangement with creditors, has suspended business activities or is subject of an injunction against running business by court.
  - b) They are the subject of proceedings for a declaration of bankruptcy, for an order for compulsory winding up or administration by court, or for an arrangement with creditors or of any other similar proceedings.
  - c) They have been found guilty of grave professional misconduct by any means which the grant recipient can justify.
  - d) They are not registered in a national official register or registered for declaration and payment of tax in accordance with national legislation.
  - e) They have not fulfilled obligations relating to payments of taxes or social security contributions.
  - f) They or persons having powers of representation, decision-making or control over them have been convicted for fraud, corruption, involvement in a criminal organisation or money laundering.
  - g) They or persons having powers of representation, decision-making or control over them have been convicted of an offence concerning their professional conduct.

## 11 VERIFICATION OF QUALIFICATIONS

- 11.1 Grant recipient shall, unless deemed unnecessary, ensure that a tenderer meets formal requirements as stipulated under this Part III and national law.
- 11.2 A tenderer should normally be required to include in its tender evidence that:
- a) It is registered by a national registrar of companies.
  - b) It is registered for declaration and payment of tax in accordance with national legislation.

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- c) It is free from debts regarding taxes and social security contributions.

## 12 PROCUREMENT PROTOCOL

12.1 For contracts with a value exceeding NOK 100,000, the grant recipient shall compile a written protocol with documentation of all assessments and decisions made during all steps of the procurement process from the planning stage until the signing of the contract.

12.2 The protocol shall as a minimum include:

- a) A description of the service, goods or works to be procured,
- b) its relevance to the project/programme,
- c) the value of the contract,
- a) the selected tender procedure,
- b) the name of all received tenderers,
- c) the selection criteria,
- d) the assessment of the tenders and tenderers,
- e) an assessment of conflict of interest, and
- f) the name of the selected tenderer.

Where simplified tendering is used the protocol shall in addition include:

- g) A justification for the selection of tenderers.

12.3 Upon request by MFA/Norad, the grant recipient shall submit the procurement protocol to MFA/Norad and grant MFA/Norad access to all relevant information and documentation related to the procurement procedure and practices applied.

12.4 Failure to provide the procurement protocol shall render expenditure ineligible for MFA/Norad funding.

## 13 CONTROL AND COMPLIANCE

13.1 MFA/Norad may carry out ex post controls of the grant recipients' compliance with the rules set forth in this Part III.

13.2 Non-compliance with the minimum procurement rules and principles in this Part III shall render expenditure ineligible for MFA/Norad funding.

13.3 Non-compliance with the minimum procurement rules and principles in this Part III may be viewed as a material breach in accordance with General Conditions article 18.

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## PROCUREMENT METHODS

### 14 OPEN TENDERING

- 14.1 Open tendering is mandatory for procurement where the contract value exceeds NOK 1,000,000 (Norwegian kroner one million).
- 14.2 Open tendering are procedures under which all firms/individuals are given adequate notification of contract requirements and all eligible tenderers are given an equal opportunity to submit a tender.
- 14.3 Open tender requires that the tendering opportunities are published to notify eligible tenderers about the contract opportunity.
- 14.4 Under open tendering the grant recipients are required to publish the invitations to tender in:
- At least one media outlet of national circulation in the project/programme country, and
  - on their website or in an appropriate international media outlet.
- 14.5 The grant recipient must give sufficient public notification of tendering opportunities to allow potential tenderers to determine their interest and to prepare their tenders. Open tendering may be conducted with or without prequalification proceedings.
- 14.6 Grant recipients are encouraged to apply open tendering in all procurement to increase transparency and promote competition.

### 15 SIMPLIFIED TENDERING

- 15.1 Simplified tendering may be used when the value of the contract is less than NOK 1,000,000 (Norwegian kroner one million).
- 15.2 Simplified tendering is a procedure where a minimum of three - 3 - prospective tenderers are invited to tender by direct invitation in writing.
- 15.3 A simplified tender process shall always include the following features:
- A written invitation to tender which includes the tender and contract information, cf. article 8.
  - A procurement protocol cf. article 12.

### 16 SINGLE SOURCE PROCUREMENT

- 16.1 Single source procurement may be used when the contract value is less than NOK 100,000 (Norwegian kroner one hundred thousand).
- 16.2 The contract may be awarded using any procedure established by the grant recipient while respecting the principles of sound financial management, conflict of interest, ethics in procurement, sustainable procurement, and notoriety.

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- 16.3 Single source procurement may also be used where the extension of an existing contract awarded after an open or simplified tender would clearly be economic and efficient. The extended contract's maximum value shall not exceed 50 % of the original contract.
- 16.4 MFA/Norad may in exceptional cases upon written and justified request from the grant recipient, also allow single source procurement in the following cases:
- A product or services can only be provided by a single firm because of exclusive capabilities, exceptional worth for the Project or proprietary rights.
  - Standardisation with existing equipment is determined to be important and justified, and compatible goods cannot be provided by other suppliers.
  - It is a case of extreme urgency not foreseeable or attributable to the grant recipients.

## 17 NEGOTIATED PROCEDURE

- 17.1 Under a negotiated procedure the grant recipient may approach one or more suppliers to negotiate a contract directly.
- 17.2 A negotiated procedure may only be used where no tenders or no acceptable tenders are received after an open tender procedure. A negotiated procedure may then be applied without further publication of a procurement notice provided that the original contract terms are not substantially altered.
- 17.3 An unacceptable tender is a tender that significantly deviate from the procurement requirements, is not delivered within the set deadline, is delivered by a supplier who does not meet the qualification requirements, or where there is evidence of illegal bid collusion or corruption.

## 18 EXISTING FRAMEWORK AGREEMENTS

- 18.1 The grant recipients may utilize existing framework agreements or other types of pre-qualified suppliers for procurement of goods, works or services needed for an activity funded by the Grant if the initial contractual process corresponds to the requirements for an open tender procedure as set out in these Procurement Provisions.
- 18.2 A procurement protocol documenting the initial open tender procedure and a copy of the initial contract shall be submitted to MFA/Norad upon request.

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