



This action is funded by the European Union

**ANNEX I**

of the Commission Implementing Decision on the 2016 Annual Action Programme for the Instrument contributing to Stability and Peace conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for Support to in-country civil society actors in conflict prevention, peace-building and crisis preparedness**

**INFORMATION FOR POTENTIAL GRANT APPLICANTS**

**WORK PROGRAMME FOR GRANTS**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning calls for proposals: 5.3.1.

<p><b>1. Title/basic act/ CRIS number</b></p>	<p>Support to in-country civil society actors in conflict prevention, crisis preparedness and peace-building, financed under the Instrument contributing to Stability and Peace (IcSP). CRIS number: ICSP/2016/39-363</p>
<p><b>2. Zone benefiting from the action/location</b></p>	<p>Indicative list of countries: Burundi, Kenya/Horn of Africa (regional call), Central America (regional call –Nicaragua), Venezuela, Tunisia. Geographical areas will be specified by the EU Delegations that will manage funds under this Action.</p>
<p><b>3. Programming document</b></p>	<p>Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace<sup>1</sup>.</p>
<p><b>4. Sector of concentration/ thematic area</b></p>	<p>Priorities (b), (d) and (e) under Art. 4.1 of IcSP Regulation: b) facilitating and building capacity in confidence-building, mediation, dialogue and reconciliation, with particular regard to emerging inter-community tensions; d) improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation; e) assistance to curb use of natural resources to finance conflicts and to support compliance by stakeholders with initiatives, such as the Kimberley Process Certification Scheme, especially as regards implementation of efficient domestic controls on the production</p>

<sup>1</sup> Decision C(2014) 5607 ([http://ec.europa.eu/dgs/fpi/key-documents/index\\_en.htm](http://ec.europa.eu/dgs/fpi/key-documents/index_en.htm))

	of, and trade in, natural resources.			
<b>5. Amounts concerned</b>	Total estimated cost: EUR 16,297,875 Total amount of EU budget contribution EUR 13,170,000 This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 3,259,575.			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality Direct Management – Grants – Calls for proposal managed by EU Delegations. .Direct Management-Procurement of services (support measures)			
<b>7. DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	X
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagship</b>	N/A			

**SUMMARY** The proposed action aims to continue supporting in-country civil society actors globally in their endeavours to prevent conflicts, respond to crises and build peace. Through Calls for Proposals managed by EU Delegations, it is envisaged to support actions implemented by in-country civil society actors to strengthen their institutional, operational and networking capacity in 6 priority areas relating to both long-term and short-term conflict prevention and peacebuilding activity : Youth affected by conflict/young people as agents for peace; Women Peace and Security; Culture and peace-building; Reducing electoral violence; Promoting conflict-sensitive business practice; Transitional justice and peace-building.

## 1 CONTEXT

### Sector/Country/Regional context/Thematic area

#### *1.1.1 Public Policy Assessment and EU Policy Framework*

Taking into consideration that root causes driving violent conflicts are often very context-specific and should be addressed in a long-term perspective, it is crucial to support in-country civil society actors active in building peace and preventing violent conflicts. This would help vulnerable communities be better prepared for managing and defusing tensions and potential triggers for conflicts, including stability and security issues that may arise after a natural or man-made disaster. In this respect, since 2010, constant support has been provided to actions aiming at strengthening capacities of in-country civil society actors through the crisis preparedness component of the Instrument for Stability (IfS) replaced as of 2014 by the Instrument contributing to Stability and Peace (Article 4).

By targeting specifically in-country civil society actors, this Action is aligned with the general recommendation provided for in IcSP 2014-2020 Strategy Paper under Article 4 measures, whereby due attention should be given to contribute to building in-country capacities (particularly of civil society actors). It is also aligned with the 2012 European Commission's Communication 'The roots of democracy and sustainable development: Europe's engagement with civil society in external relations'<sup>2</sup> which identified priority areas for engagement with local civil society organizations (CSO) in partner countries, including the promotion of a conducive environment for the participation of CSOs in domestic policies and in international processes and the support to CSO capacity to perform their roles more effectively.

Under this Action, it is proposed to continue engaging with in-country actors via locally managed calls for proposals for civil society-led actions on thematic and/or transversal issues, as already done under the 2010, 2011, 2012, 2013, 2014 and 2015 Annual Action Programmes. Under these six rounds of locally managed calls for proposals, 32 EU Delegations<sup>3</sup> across five continents have or will have launched actions targeting peace-building related issues in the fields of: mediation, dialogue, transitional justice and reconciliation; media and conflict; accountability and civilian oversight; Women, Peace and Security; children, youth and conflict, peace and security; fragility and human security; Corporate Social Responsibility (CSR); Natural Resources and Conflicts. The Annual Action Programme for 2016 identifies six priority areas as indicated in section 4.2.

#### *1.1.2 Stakeholder analysis*

The main stakeholders are on the one hand: international and national civil society organizations as direct beneficiaries which will receive EU funding; and on the other hand: national and local civil society actors, national and local authorities, conflict-affected communities, community structures including a range of actors such as media, traditional

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<sup>2</sup> COM(2012) 492 final:

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:EN:PDF>

<sup>3</sup> AAP 2010: Bolivia, Nicaragua (regional), Pakistan, Yemen, Zimbabwe, Timor-Leste; AAP 2011: Burundi, Central African Republic, Chad, Guinea-Bissau, Liberia, Jordan, Lebanon, Solomon Islands; AAP 2012: Brazil, Democratic Republic of the Congo, El Salvador, Haiti, India, Kyrgyzstan and Nicaragua; AAP 2013: Zimbabwe, Senegal (regional), Somalia, Peru, Nepal, Tajikistan, Bosnia Herzegovina, El Salvador. AAP 2014: Afghanistan, Chad, Madagascar, Pakistan, Yemen. AAP 2015: Bangladesh, Colombia, Democratic Republic of Congo, Kyrgyzstan. Responsibility to communicate on funding opportunities under these local calls (most or all of which remain to be launched) has been sub-delegated to the selected Delegations, which will take the relevant steps to announce them in due course.

leaders, local governments, trade, youth and women’s associations, private sector organizations, cultural operators (both formal and informal) as well as community individuals and in particular conflict-affected women and youth.

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Lack of a reasonable pool of local civil society actors working on peace-building and conflict prevention issues and capable of effectively implementing projects.	L	Partnership between international and local civil society actors in-country should be actively encouraged.
High levels of instability and lack of security lead to an excessive concentration of projects in safer areas, leaving large parts of a country behind.	L	EU Delegations may decide, based on a proper risk and cost effectiveness analysis, to indicate "lesser" safe areas as targeted locations of the actions to be funded.
Deterioration of crisis contexts within selected countries/regions making it impossible or extremely dangerous for implementing partners and final beneficiaries to conduct or take part in the planned activities.	L	EU Delegations will maintain regular contacts with and ensure that implementing partners put in place adequate security measures adapted to the level of identified risk.
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>• Enabling political climate leaves enough space and opportunity at country level for civil society actors to engage on conflict prevention and peace issues;</li> <li>• Sufficient interest and capacity within selected EU Delegations to effectively manage Call for Proposals and monitor projects;</li> <li>• Sufficient response from civil society actors in relation to peace-building and conflict prevention actions involving youth; women peace and security, harnessing the role of culture to prevent conflict and promote peace, reducing the risks of electoral violence, promoting conflict sensitive business practice and transitional justice.</li> </ul>		

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### Lessons learnt

Drawing upon the experience of the previous six rounds of IfS actions supporting in-country civil society actors to prevent and respond to crisis, and based upon recommendations of both 2009 stocktaking and scoping of the peace-building partnership<sup>4</sup>, as well as the 2014 evaluation of the IfS crisis preparedness component<sup>5</sup>, the key lessons learnt for this Action are the following:

- Over the past 5 years tangible results at grassroots level have been achieved through structural support to civil society actors (both international and national). In this regard the former have proven themselves effective in articulating responses to identified local peace-building and conflict prevention needs;
- Sub-delegating the management of Calls for Proposals and grant contracts to EU Delegations is the most effective management mode for this kind of action, allowing greater local/regional focus, increased cooperation with in-country civil society actors and closer monitoring and follow-up of projects;
- Investment in and engagement with civil society on youth has demonstrated its intrinsic value in underpinning broader conflict prevention and peace-building efforts in conflict- and post-conflict-affected countries;
- Investment in women's leadership and participation is a critical factor in enhancing the effectiveness of conflict prevention and peace-building initiatives.

#### Complementarity, synergy and donor coordination

Subsidiarity and complementarity with other geographic or thematic interventions at country level will be ensured by the respective EU Delegations in charge of identifying and selecting projects to be funded under this action.<sup>6</sup> The EU Delegations will also ensure complementarity and cross-fertilisation with other relevant activities under implementation at country level and in particular those funded by the EU (for example, under DCI<sup>7</sup> 'Civil Society Organisations and Local Authorities' and Global Public Goods and Challenges programme and DCI Pan-African Programme, EIDHR<sup>8</sup> and IcSP Articles 3 and 5 as well as where relevant, the activities of the Anna Lindh Foundation<sup>9</sup>). Full coordination with EU Country Road Maps for engagement with civil society, in selected countries, will be undertaken by the EU Delegations selected to implement the action.

In line with the Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008)<sup>10</sup> as well as the New Deal<sup>11</sup>, EU Delegations will ensure complementarity and added value of selected projects with on-going and planned initiatives supported by EU Member States and other relevant donors. In line with the Busan Declaration and where a

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<sup>4</sup> [http://ec.europa.eu/dgs/fpi/documents/stocktaking\\_of\\_pbp\\_2009\\_en.pdf](http://ec.europa.eu/dgs/fpi/documents/stocktaking_of_pbp_2009_en.pdf)

<sup>5</sup> [http://ec.europa.eu/dgs/fpi/documents/pbp\\_evaluation\\_2014\\_report\\_en.pdf](http://ec.europa.eu/dgs/fpi/documents/pbp_evaluation_2014_report_en.pdf)

<sup>6</sup> In accordance with Article 2(5) of the IcSP Regulation, activities falling within the scope of Council Regulation (EC) No 1257/96 and Decision No 1313/2013/EU of the European Parliament and of the Council which are eligible for funding under those acts shall not be funded under this Regulation.

<sup>7</sup> Development Cooperation Instrument, Regulation (EU) No 233/2014

<sup>8</sup> European Instrument for Democracy and Human Rights, Regulation (EU) No 235/2014

<sup>9</sup> <http://www.annalindhfoundation.org/>

<sup>10</sup> <http://www.oecd.org/dac/effectiveness/34428351.pdf>

<sup>11</sup> <http://www.pbsdialogue.org/en/new-deal/about-new-deal/>

Compact exists, EU Delegations will also ensure alignment with the agreed priorities identified in the Compact.

### **Cross-cutting issues**

In line with Article 2 (4) of the IcSP Regulation, the following cross-cutting issues will be considered in the selection of interventions: the promotion of democracy, good governance and human rights and humanitarian law, including women rights and the rights of indigenous peoples; non-discrimination; cultural and religious diversity; intercultural dialogue; gender equality and women empowerment; conflict sensitivity and climate change. The quantitative conflict risk assessment<sup>12</sup> at the basis of the EU Conflict Early Warning System (see section 5.3.1) also includes consideration of most of these same cross-cutting issues.

## **4 DESCRIPTION OF THE ACTION**

### **Objectives/results**

The overall objective of this Action is to support (sub-)national and regional initiatives in countries<sup>13</sup> affected by/or emerging from conflict or whose peace and stability is at risk and build sustainable, in-country capacities for effective conflict management and peace-building<sup>14</sup>.

The selected initiatives should contribute to create, restore or consolidate appropriate ways, tools and mechanisms at local, national and regional level to prevent conflicts and contribute to durable peace.

The Action aims to achieve the following results:

- a) Strengthened institutional and operational capacity of civil society actors with regard to the six priority areas mentioned below;
- b) Improved in-country civil society actors networking and advocacy skills, including increased civil society involvement in the six thematic areas relating to both long-term and short-term conflict prevention and peace-building;
- c) Established or enhanced dialogue between civil society actors and local, national, regional or international institutions on subjects related to the six priority areas.

### **Main activities**

#### ***1. Youth<sup>15</sup> affected by Conflicts/Young people as agents for peace***

Children and youth represent the majority of the population in most countries affected by armed conflicts and are thus disproportionately affected by war. Also, because of their unique vulnerability to both voluntary and involuntary recruitment, young people are often significantly represented in the ranks of armed groups, including extremist groups and para-state/paramilitary armies. However, youth are not only victims and perpetrators of violence and conflict, but more importantly, they are drivers of positive change and are positioned to play a key role in managing conflicts and navigating differences. The Amman Youth

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<sup>12</sup> <http://conflictrisk.jrc.ec.europa.eu/>

<sup>13</sup> This also includes Kosovo under UNSCR 1244/99

<sup>14</sup> The spectrum of conflict referred to includes (the risk of) genocide and crimes perpetrated on a massive scale.

<sup>15</sup> The United Nations (UN) use the 15-24 age-based parameters to define the concept of "Youth". Under this Programme the concept of "Youth" should be intended as a transitional stage in life between childhood and adulthood, with no specific age range accompanying its definition.

Declaration of 22 August 2015<sup>16</sup>, developed over one year from within grassroots civil society networks, highlighted the need for youth input and engagement in preventing violence and violent extremism, in promoting the rights of girls and preventing gender-based violence as well as investment in young peoples' socio-economic development. Young people's contribution to countering violent extremism and supporting global peacebuilding efforts was further acknowledged in the first ever United Nations Security Council Resolution on Youth, Peace and Security adopted on 09 December 2015, UNSCR 2250.

To create meaningful pathways for youth participation and leadership in decision making around peace and security issues, it is proposed, as already done in 2015, to support a twofold set of actions:

- a. Actions aimed at preventing youth from joining violent movements and armed groups including extremist groups, focusing on the multi-dimensional factors underpinning youth enrolment, and actions aimed at rehabilitating and reintegrating youth formerly associated with para-state/paramilitary and non-state armed groups;
- b. Actions aimed at enabling youth engagement and contribution in peacebuilding and post-conflict processes as key actors and active players in creating or re-establishing peaceful communities and supporting democratic transition; such actions should be informed by and aligned with the "Guiding principles on young people's participation in peacebuilding"<sup>17</sup>.

Such actions shall place specific attention on reaching out to young women and seeking their engagement while creating 'safe spaces' to raise their specific issues and concerns.

The following activities, *inter alia*, could be envisaged:

- community-based actions aimed at empowering and building resilience of young people in urban and rural areas against participation in armed groups including violent radical groups, offering youth an alternative sense of purpose and belonging (*inclusive identity*), building youth confidence and self-esteem;
- formal and informal peace education actions providing young people with alternative models to violence, life-skills education and skills in mediation, negotiation, conflict resolution, consensus building, as well as promoting peace culture, intercultural and inter-faith dialogue, respect for diversity and tolerance, including cultural diversity;
- actions aimed at offering young people alternative livelihood opportunities and promoting youth economic engagement such as: vocational training linked to economic opportunities, cash for work, income generating activities etc. Such initiatives should be linked with peace-building, reconciliation and dialogue activities and life skills education;
- actions related to the rehabilitation, trauma healing of youth affected by conflict, including mental health and psychosocial support for former youth combatants;

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<sup>16</sup> The Declaration was the outcome of the Global Forum on Youth, Peace and Security that brought together government officials, policy experts, youth-led organizations and youth peace-builders from over 100 countries to shape a new international agenda for youth inclusion in sustainable peace-building and security.

<http://www.un.org/youthenvoy/2015/08/amman-youth-declaration-adopted-global-forum-youth-peace-security/>

<sup>17</sup> 2014 Guiding principles developed by the Subgroup on Youth Participation in Peacebuilding of the United Nations Inter-agency Network on Youth Development. [https://www.sfcg.org/wp-content/uploads/2014/04/Guiding-Principles\\_EN.pdf](https://www.sfcg.org/wp-content/uploads/2014/04/Guiding-Principles_EN.pdf)



- inter-generational actions aimed at strengthening/rebuilding youth to community connections putting youth at the centre of community-based conflict transformation activities and facilitating young people's civic engagement and volunteerism for peace;
- actions aimed at supporting youth participation in decision making processes related to peacebuilding, including trust- building activities between youth and decision makers/governments/police/security forces, as well as mainstreaming youth perspectives in peace processes.

## **2. Women Peace and Security:**

The EU Comprehensive Approach to the Implementation of the United Nations Security Council Resolutions (UNSCR) 1325 and 1820 on women, peace and security (2008)<sup>18</sup> recognizes the close links that exist between peace, security, development and gender equality. Sustainable peace can only be achieved with the engagement and consideration of the different rights and needs of both men and women. Considering that armed conflict affects women and girls differently from men and boys, and recognizing that women are not just victims of violence but also perpetrators of violence themselves and crucial players in conflict resolution, the UN Security Council unanimously adopted a new Women, Peace and Security Resolution, UNSCR 2242, on 13 October 2015 - the occasion of the 15th anniversary and the High-level Review of UNSCR 1325. On 26 October 2015, the Foreign Affairs Council adopted Conclusions on gender equality, endorsing the new EU Gender Action Plan (GAP) for the period 2016-2020. The plan focuses on four key transformative areas, including thematic area 1, strengthening girls' and women's voice and participation and thematic area 3, ensuring the physical and psychological integrity of girls and women, including in preventing and combatting violence against women and girls (VAWG)<sup>19</sup>.

To advance the implementation of the Women Peace and Security agenda, notably UNSCRs 1325, 1820 and 2242<sup>20</sup> and priority areas 1 and 3 of the EU Gender Action Plan, it is proposed to support a two-fold set of actions:

- a. Actions aimed to ensure that women and girls are better protected from human rights abuses during and after conflict and to build their resilience against participation in violent radicalism;
- b. Actions aimed to empower and enable women, with a unique voice and role, to participate in conflict resolution, peace-building and recovery efforts as well as in the prevention of the spread of violent extremism and radicalization.

Specific attention should be placed where possible, on reaching out to women and women's organizations in both urban and rural areas.

The following activities, *inter alia*, could be envisaged:

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<sup>18</sup> Council of the European Union document 15671/1/08 REV 1

<sup>19</sup> Priority areas 1 and 3 of the EU Gender Action Plan 2016-2020 (Joint Staff Working Document 'Gender Equality and Women's Empowerment: Transforming the lives of Girls and Women through EU External Relations 2016-2020. SWD (2015)182 of 19.09.2015).

<sup>20</sup> UNSCR 1325 (2000) and the seven subsequent Resolutions on women and peace and security form the main building blocks of the Women Peace and Security agenda. UNSCR 1820 (2008) recognizes conflict-related sexual violence as a tactic of warfare and a matter of international peace and security while the recent UNSCR 2242 adopted in October 2015, explicitly mentions violent extremism and terrorism as one of the thematic areas of increasing interest and attention...



- supporting the establishment at local level of protection mechanisms to better respond to gender-based violence in situations of crisis and conflict;
- creating and building resilience of women and girls against recruitment for and participation in extremist violence and/or support for the same;
- addressing women's economic vulnerability and exclusion from decision-making processes – at the household, community, provincial, national and regional levels;
- building the capacities of women's grassroots organisations and "ordinary women" specifically mothers, as key players for local conflict transformation - also by engaging with men and mobilising their active support wherever possible - through mediation and dialogue, exchanges, grievance resolution at the community level and activities that build the knowledge of women to foster a culture of peace;
- supporting educational actions and initiatives that utilize a mother's unique position in families to identify early signs of violent radicalism;
- strengthening women and women's organizations' participation, empowerment and leadership in countering violent extremism in susceptible communities and contexts.

### ***3. Culture and peace-building***

Culture can play a key role in conflict prevention and resolution as well as in the social transformation processes required to lay the foundations for sustainable peace. Harnessing the role of culture and the arts (e.g. music, theatre performances, art and photographic exhibitions and their online application) is particularly important in empowering local communities, including women and young people to take a more prominent role in the analysis and transformation of conflicts, in supporting mediation and in facilitating post-disaster and post-conflict reconstruction. As well as being a form of conciliation and accommodation of differing views, cultural action can also advocate greater religious and ethnic tolerance, combat propaganda and the manipulation of the past and present and act to counter negative constructions and perceptions of the identity of the 'other' by focusing on the commonality of all peoples in terms of their human dignity and creative potential. Culture sets parameters around experience, preparing the foundations for engagement in peace-building and constructive change.

To embed the role of culture in conflict prevention and peace-building and in the transformation processes required in the wake of violence and experience of conflict, it is proposed to support a two-fold set of actions:

- a) Empowering individuals and communities to play a more active role in peace building through analysis and transformation of conflicts, supporting mediation and reconciliation processes and in facilitating the rebuilding of society post-disaster and post-conflict;
- b) Creating resilience amongst individuals and communities to messages and movements inimical to inclusive peace-building and social transformation as well as to accommodation of the 'other': 'culture of peace' versus 'culture of violence'.

Specific attention should be placed on reaching out to women and young people as well as promoting cultural activity as a 'space of safety' for exploring and encouraging positive interaction between individuals, peoples and communities as part of peace-building.

The following activities, *inter alia*, can be envisaged:

- actions aimed at preventing conflict and promoting peace by bringing together communities, increasing mutual understanding, confidence and well-being, promoting conciliation and intercultural dialogue;

- actions to promote individual and community participation in mediation and reconciliation processes as well as engagement in post-disaster and post-conflict reconstruction;
- actions aimed at creating channels for the reintegration of ex-combatants into mainstream society as well promoting the process of 'healing' of individuals and communities exposed to inter-ethnic conflict and gender-based violence or of individuals and groups after their exposure to radicalization pressures or participation in violent radical movements;
- actions promoting public advocacy for and discussions of fundamental assumptions about the 'self' and 'society' in particular with regard to identity and place as a fundamental step in promoting better understanding and promoting peace;
- actions to develop individual and community resilience to propaganda, hate-speech and the manipulation of past history and present events by forces and movements inimical to the construction of peace, mutual respect and tolerance;
- actions to counter negative constructions and perceptions of the identity of the 'other' which may focus on promoting the commonality and equality of all peoples in terms of their human dignity and creative potential as well as on advocacy for greater religious and ethnic tolerance or greater social, gender and economic equity.

#### ***4. Reducing electoral violence***

Of themselves elections are not typically the root cause of violence but their conduct can reveal underlying conflicts, exacerbate tensions, lead to violence and ultimately undermine the legitimacy of a democratic process. Several recent elections in Africa, Asia and the Americas gave rise to widespread violence with immediate risks of serious political and social destabilisation.

Election-related violence is most likely to emerge in post-conflict situations when a country transitions to democracy or where elections form a critical component of a peace agreement, or where democracy and democratic culture remains weak and fragile. In such contexts it is proposed to support civil society actors in their endeavours to:

- a) Ensure transparency surrounding the electoral process;
- b) Facilitate dialogue and provide platforms for discussion as well as identify areas of potential risks of violence.

The following activities, *inter alia*, could be envisaged:

- Mediation and dialogue facilitation at community level where platforms for discussion between opposing election parties or points of view may be convened including through community radios or locally-convened round-tables, "peace" committees or other inclusive processes particularly in high-risk conflict regions or areas;
- Violence monitoring directed at detecting first signs or risk factors of potential violence to develop remedial early actions to prevent and/or mitigate their (potential) impact;
- Civic education campaigns to encourage peaceful participation in elections and to prevent violence, including campaigns advocating peaceful conduct and/or discussions of elections. Activities may also include support for "direct communication" activities such as public debates, civic engagement including harnessing the role of culture and

arts to promote non-violence messages. Specific attention may need to be given to the role of youth in electoral violence (both as perpetrators of and opponents to violence);

- Promoting the role of independent media (including social media) in preventing and mitigating risks of political and electoral violence including: provision of training for journalists and editors on conflict-sensitive reporting and coverage of political debates and elections related issues; development and promotion of media codes of conduct encouraging media outlets to avoid exacerbating conflicts and to play a constructive role in reporting on elections and electoral processes.

#### ***5. Promoting conflict sensitive business practice***

Businesses operating in fragile and conflict-affected settings are unlikely to be ‘conflict-neutral’: they can exacerbate tensions that fuel conflict or can help a country turn its back on conflict and move towards lasting peace. The success or failure of such potential positive contribution to peace depends highly on the way businesses operate. Therefore, it is of utmost importance to promote initiatives calling on businesses operating in situations of crisis and fragility to move from "business as usual" to "business for peace" and to adopt conflict-sensitive approaches. Multilateral and non-governmental organizations such as UN Global Compact – Principles for Responsible Investment Guidance on Responsible Business in Conflict-affected and High-Risk Areas (2010) or "Conflict-sensitive Business Practice: Guidance for Extractive Industries" (International Alert, 2005) have developed different guidelines to achieve this outcome. In addition, the UN Guidelines on Business and Human Rights (2011) may also provide a reference framework for civil society action in this area with particular reference to the extractive industries.

In this context, it is proposed to support civil society actors in their endeavours to:

- a) Embed conflict sensitive approaches within business practice;
- b) Create meaningful dialogue with communities in fragile and conflict-affected countries.

The following activities, *inter alia*, could be envisaged:

- strengthening civil society actors' capacity to engage constructively with both authorities (national and local) and businesses in particular but not exclusively with regard to the management of natural resources, including in the extractive industry;
- building cases for conflict-sensitivity and providing concrete support to accompany businesses in the implementation of existing guidance on conflict-sensitive business;
- facilitating dialogue (in the form of fora, networks, etc.) between businesses, authorities and local communities to ensure inclusiveness and multi-stakeholder engagement, including *inter alia* harnessing the role of the media in facilitating access to information/transparency and communication between different stakeholder groups;
- strengthening capacities of civil society actors to assist private companies and local authorities in preventing and managing conflicts related to economic activities including natural resources management (e.g. conflict analysis, monitoring and grievance mechanisms).

## ***6. Transitional Justice and Peace-building***

In November 2015, the Foreign Affairs Council adopted Council conclusions and a Policy Framework on the EU's Support to Transitional Justice<sup>21</sup> affirming that transitional justice is a priority for the EU when engaging in contexts where past violations and abuses have occurred. The new policy framework considers transitional justice an integral part of state building and peacebuilding and will help the EU to play a more active and consistent role in addressing abuses of human rights and serious violations of international humanitarian law.

Support to transitional justice through civil society actors should aim to encompass measures promoting truth, justice and the fight against impunity alongside providing recognition and redress to victims, fostering trust and contributing to reconciliation between affected parties and/or communities. Additional areas of focus may include strengthening national ownership of transitional justice processes including making them more inclusive, gender sensitive and victim-centred while respecting states' obligations under international law.

In order to promote a work on transitional justice in line with the EU policy framework and to empower civil society actors to contribute effectively to national and local transitional justice processes, it is proposed to support a two-fold set of actions:

- a) Enhancing civil society's role in the design and implementation of national and local processes;
- b) Responding to context-specific needs of individuals and communities within such processes including gender concerns and the rights of marginalised and vulnerable groups.

The following activities, *inter alia*, could be envisaged

- enhancing the role of civil society actors in the design of inclusive transitional justice strategies from the outset as well as in the implementation of the resulting processes including in criminal trials, truth commissions and public decision-making on reparations policies and institutional reform;
- strengthening the role of civil society in the monitoring of transitional justice strategies and processes including related advocacy activities;
- supporting the documentation of violations/abuses and the collection of other relevant data including victims and missing persons lists, witness testimony;
- facilitating communication and outreach activities to individual victims and communities, in particular vulnerable groups including women, youth and ethnic or religious minorities;
- Supporting transitional justice projects at grass roots level including informal truth seeking initiatives, preservation of memory, education, community and cultural outreach activities and context-specific dissemination efforts;
- Developing victim-centred approaches ensuring the early involvement and participation of victims in transitional justice processes as well as providing them legal assistance and psychosocial support, suited to their particular needs.

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<sup>21</sup> <http://data.consilium.europa.eu/doc/document/ST-13576-2015-INIT/en/pdf>

In addition to the six priority areas listed above, further (or alternative) priority areas may be selected on a case-by-case basis with a view to optimising the contribution of civil society in a specific country and following discussion with the selected EU Delegations.

## 5 IMPLEMENTATION

### Financing agreement

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

### Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### Implementation modalities

#### 5.3.1 *Grants: call for proposals – Sub-Delegated Call for Proposals for "Support to in-country Civil Society actors in conflict prevention, crisis preparedness and peace-building" (direct management)*

(a) Objectives of the grants, fields of intervention, priorities of the year and expected results

The specific objectives and expected results of the grants are specified under section 4.1 while the priorities of the year and type of actions to be supported at national or regional level are those indicated under section 4.2.

All funded actions, under any priority, shall be **gender sensitive** recognizing that the experiences, grievances, vulnerabilities and needs of girls, boys, young women, young men, women and men as a result of conflict and violence as well as their roles and aspirations in conflict are often "gendered" namely affecting them differently according to sex and age.

Actions aiming at developing mechanisms to enhance coordination and operational cooperation between separate entities and organisations will be particularly encouraged.

(b) Eligibility conditions

**Eligibility criteria for applicants:** civil society actors as defined in Article 1.3 of the IcSP Regulation No 230/2014 are considered eligible under this Action.

**Targeted countries:** Interventions will target: countries affected by/emerging from a conflict; countries affected by high level of violence, or whose peace and stability is threatened; fragile states with weak capacity to perform core governance functions; countries in democratic transition, or where the lack of civic engagement and opportunities for participation in public life is seen as a factor threatening peace.

The Service for Foreign Policy Instruments (FPI) has provisionally identified four countries<sup>22</sup> (see below table) where calls for proposals will be launched in order to ensure optimal capitalisation on the results of previous actions funded under IcSP to support civil society-based conflict prevention and peace-building activities.

This list is informed by the autumn 2015 results of the EU Conflict Early Warning System<sup>23</sup> as well as Delegations' interest and capacity to manage calls for proposals.

The EU Conflict Early Warning System enables staff across the EU to identify long-term risks for violent conflict and deterioration in a country or region and to stimulate early preventive actions.

Final choice of countries where Calls for Proposals will be launched will also take account of the following considerations:

- implementation capacity within the EU Delegation;
- complementarity with other EU financing instruments;
- equitable geographic distribution of funds;
- alignment with EU Country Road Maps for engagement with civil society and
- degree of coordination envisaged with EU Member States present on the ground as well as with other international donors.

Calls for Proposals launched may have a national or regional scope.

**Indicative list of countries:**

<b>Countries</b>	<b>Indicative financial allocations (in EUR)</b>
<b>Burundi</b>	<b>2,000,000</b>
<b>Kenya/Horn of Africa</b>	<b>4,000,000</b>
<b>Regional Central America (Nicaragua)</b>	<b>2,170,000</b>
<b>Venezuela</b>	<b>1,800,000</b>
<b>Tunisia</b>	<b>3,200,000</b>

Subject to information to be published in the calls for proposals managed by each respective EU Delegation, the indicative amount of the EU contribution per grant is EUR 300,000 – EUR 1,000,000 and the grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries). The indicative duration of the grant (its implementation period) is 36 months.

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

<sup>22</sup>. In exceptional circumstances, countries other than those cited immediately above, may be identified using the EU Conflict Early Warning System.

<sup>23</sup> [http://www.eeas.europa.eu/cfsp/conflict\\_prevention/docs/201409\\_factsheet\\_conflict\\_earth\\_warning\\_en.pdf](http://www.eeas.europa.eu/cfsp/conflict_prevention/docs/201409_factsheet_conflict_earth_warning_en.pdf)

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for grants under this call is 80% of the eligible costs of the action.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call

Local calls for proposals are expected to be published as from the last quarter of 2016.

**5.3.2. Procurement (direct management)**

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Support Measures (CfP related awareness raising, information, publication costs etc.)	Services	10	As of last quarter 2016

"Support measures" refer to all activities meant to assist the selected EU Delegations in the launch and management of their respective sub-delegated Call for Proposals, such as: the publication of the Calls, information sessions for potential applicants, use of external evaluators, training sessions for civil society actors, etc. Each EU Delegation may dedicate up to 1% of their respective financial allocation for "support measures".

**Indicative budget**

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
5.3.1. - Call for proposals for "Support to in-country Civil Society actors in conflict prevention, crisis preparedness and peace-building" (direct management)	13,038,300	EUR 3,259,575
5.3.2. Procurement (direct management)	131,700	N.A
<b>Totals</b>	<b>13,170,000</b>	<b>3,259,575</b>

**Organisational set-up and responsibilities**

From EU side, the European Commission Service for Foreign Policy Instruments (FPI – Unit 2) will oversee the Action as a whole and provide ad-hoc support to the selected EU Delegations, while the management of the sub-delegated calls for proposals as well as the projects resulting from each call for proposals will fall under the responsibility of the



respective EU Delegations, as contracting authority. Each EU Delegation will define the specific projects' arrangements including potential role in the governance of the projects, participation in steering committee etc. EU Delegations will monitor and report against the specific objectives and expected results indicated in section 4.1 above, using as reference the details of the Logical framework provided in Appendix.

### **Performance monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of projects resulting from a call for proposals will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

### **Evaluation**

Having regard to the nature of the action, a final or an ex-post evaluation will be carried out for this action or its components via independent consultants contracted by the Commission.

It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that further rounds of Sub-delegated Calls in support of in-country civil society actors endeavours in conflict prevention and peace-building may be funded under the up-coming IcSP Annual Action Programmes.

The Commission shall inform the implementing partners at least 1 month in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

The financing of the evaluation shall be covered by another measure constituting a financing decision.

### **Audit**

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

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

### **Communication and visibility**

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported within the budget indicated in section 5.4 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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

## APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY) <sup>24</sup>

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	<b>Results chain</b>	<b>Indicators</b>	<b>Baselines (incl. reference year)</b>	<b>Targets (incl. reference year)</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Overall objective: Impact</b>	Communities in selected countries are better prepared for managing and defusing tensions and potential triggers for conflicts in particular with regards to the 6 identified priority areas.	% of violent incidents reported by state authorities in a given year	Each selected EU Delegation will establish the baseline according to its country/context of reference.	Each selected EU Delegation will fix country relevant targets.	a) Citizen-based perception surveys  b) Annual reports of relevant state agencies	Sufficient response from civil society actors in relation to peace-building and conflict prevention actions involving youth; women peace and security, harnessing the role of culture to prevent conflict and promote peace, reducing the risks of electoral violence and promoting conflict sensitive business practice

<sup>24</sup> Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'.

	<b>Results chain</b>	<b>Indicators</b>	<b>Baselines</b> (incl. reference year)	<b>Targets</b> (incl. reference year)	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Specific objective(s): Outcome(s)</b>	<p>S.O.1 Strengthened institutional and operational capacity of civil society actors with regard to the six priority areas;</p> <p>S.O.2 Improved in-country civil society actors networking and advocacy skills, including increased civil society involvement, in the six thematic areas relating to both long-term and short-term conflict prevention and peace-building;</p> <p>S.O.3 Established or enhanced dialogue between civil society actors and local, national, regional or international institutions on subjects related to the six priority areas.</p>	<p>The indicative indicators below shall be adapted according to the country context and priority area(s) chosen by each EU Delegation.</p> <p>SO1.1 % of targeted population expressing confidence in and satisfaction towards civil society's effectiveness in tackling conflict risks, managing conflicts and building peace.</p> <p>SO2.1 Number of appropriate measures identified and implemented by civil society to prevent conflicts and their outcomes.</p> <p>SO2.2 Number and type of policy advocacy actions undertaken by in-country civil society actors and their outcomes.</p> <p>SO3.1. Number (%) of civil society actors consulted by local/national authorities and involved in peace processes (e.g. conflict resolution initiatives, recovery plans).</p>	Each selected EU Delegation will specify the starting point or current value of the indicators.	Each selected EU Delegation will determine the intended value of the indicator.	Each selected EU Delegation will identify the relevant sources of information and data collection methods	Political climate may not leave enough space and opportunity at country level for civil society actors to engage on conflict prevention and peace issues;
<b>Outputs</b>	The direct/tangible <b>outputs</b> will differ depending on the priority areas selected by each EU Delegations					

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This action is funded by the European Union

**ANNEX II**

of the Commission Implementing Decision on the 2016 Annual Action Programme for the Instrument contributing to Stability and Peace (IcSP) conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for Support to the Civil Society Dialogue Network on conflict prevention and peace-building (CSDN III)**

**INFORMATION FOR POTENTIAL GRANT APPLICANTS**

**WORK PROGRAMME FOR GRANTS**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning grants awarded directly without a call for proposals: 5.3.1

<b>1. Title/basic act/ CRIS number</b>	Support to the Civil Society Dialogue Network on conflict prevention and peace-building (CSDN III), financed under the Instrument contributing to Stability and Peace.  CRIS number: ICSP/2016/39-363
<b>2. Zone benefiting from the action/location</b>	Global.  The action has a global scope and will encompass interventions in Brussels where the project team will be based, in the European Union as well as in third countries, in particular countries affected by/emerging from a conflict. Specific locations where the action shall be carried out will be decided based on EU strategic priorities and civil society interests.
<b>3. Programming document</b>	Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace <sup>25</sup> .
<b>4. Sector of concentration/ thematic area</b>	Priority (b) under Art. 4.1 of IcSP Regulation: facilitating and building capacity in confidence-building, mediation, dialogue and reconciliation, with particular regard to emerging inter-community tensions.

<sup>25</sup> Decision C(2014) 5607 ([http://ec.europa.eu/dgs/fpi/key-documents/index\\_en.htm](http://ec.europa.eu/dgs/fpi/key-documents/index_en.htm))

<b>5. Amounts concerned</b>	<p>Total estimated cost: EUR 2,280,000.</p> <p>Total amount of EU budget contribution EUR 2,080,000.</p> <p>This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 200,000.</p>			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	<p>Project Modality</p> <p>Direct Management - Grants – Direct award</p> <p>Direct Management - Procurement of services</p>			
<b>7. DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	X
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flags</b>	N/A			

**SUMMARY** In line with Article 4.2 (b) of the IcSP Regulation and consistent with the EU approach of a more strategic engagement with civil society in further developing the peace and security agenda, it is proposed to continue supporting and further strengthening an EU-level dialogue platform on conflict prevention and peace-building between EU decision-makers and civil society actors. The Action will build upon the positive results and lessons learned of a five year cooperation with the European Peace-Building Liaison Office in building and strengthening the so-called "Civil Society Dialogue Network" as a robust EU-level dialogue mechanism between EU decision-makers and civil society actors on conflict prevention and peace-building issues. As such, this Action is expected to contribute to enhancing EU and civil society capacity to anticipate, prevent and respond to threats to stability and human development posed by violent conflict and crisis and to better support conflict- affected countries in building peace.

## 1 CONTEXT

### 1.1 Sector/Country/Regional context/Thematic area

#### 1.1.1 *Public Policy Assessment and EU Policy Framework*

Over recent years, the EU has moved towards an enhanced and more strategic engagement with civil society organizations (CSOs), stepping up its efforts to include CSOs as development actors in their own right in dialogue on policy and programming of EU development aid. The 2012 European Commission's Communication 'The roots of democracy and sustainable development: Europe's engagement with civil society in external relations'<sup>26</sup> endorsed by the Council of the European Union, recommended inter alia to i) Enhance efforts to promote a conducive environment for CSOs in partner countries; ii) Promote meaningful and structured participation in programming and policy processes to build stronger governance and accountability at all levels; iii) Increase local CSOs' capacity to perform their roles as independent development actors more effectively.

In line with these recommendations and recognising that CSOs play an essential role in developing the peace and security agenda, particularly in conflict prevention, peace-building and state-building, it is proposed under this Action to continue support to the further development of the EU-level dialogue platform on conflict prevention and peace-building issues which started in 2010 between EU institutions and civil society actors. Funded under the 2010 Annual Action Programme for the Instrument for Stability (IfS) – crisis preparedness component, such dialogue was materialized through the Civil Society Dialogue Network (CSDN) project implemented by the European Peacebuilding Liaison Office (EPLO).

Taking into account that the second phase of the CSDN project - funded under the 2013 Annual Action Programme for the IfS<sup>27</sup> - will end in December 2016 and that the continuation of an effective dialogue inclusive of all interested civil society actors active in peace-building related fields remains a priority under Article 4.2 (b) of the IcSP - as stated in the 2014-2020 IcSP Thematic Strategy Paper – this Action foresees to support a third phase of the CSDN project.

#### 1.1.2 *Stakeholder analysis*

The main target groups of this action are those civil society organizations in Europe and in countries at risk of or affected by conflict or in post-conflict situation that are active in the field of peace-building and conflict prevention, as well as EU policy makers, including within EU institutions and EU Member States. The final beneficiaries are the populations of countries at risk of or affected by conflict or in post-conflict situation.

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<sup>26</sup> COM(2012) 492 final:  
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:EN:PDF>

<sup>27</sup> COM (2013) 1655 final



## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Deterioration of the security situation and/or unforeseen evolution or sudden change of political situation/interest related to the dialogue topics make it impossible/irrelevant to conduct the dialogue in/on a specific country.	L	Flexibility will be embedded in the design of the action and alternative options such as holding meetings in neighbouring countries will be considered, where necessary.
Lack of continuation of dialogue between civil society and EU policy-makers outside the dialogue meetings that are part of the action.	L	Ensuring that dialogue meetings are fruitful and constructive (notably via a targeted selection of topics and participants) will continue to strengthen the process of building trust between EU policy-makers and civil society that has been started since 2010 within CSDN I and further consolidated under CSDN II.
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>• Sufficient and shared interest of the main CSDN stakeholders (including civil society actors, EU Institutions and Member States) in exchanging on conflict prevention and peace-building issues;</li> <li>• Sufficient consensus is achieved between CS, EU and MS in agreeing on a schedule of themes and issue for dialogue covering peace &amp; security, development and trade policy during the whole duration of the Action;</li> <li>• Enabling political climate leaves enough space and opportunity to engage with civil society actors in conflict/crisis countries and/or to conduct possible in-country activities.</li> </ul>		

## 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

### 3.1 Lessons learnt

After five years of implementation, the Civil Society Dialogue Network (CSDN) is now well established as a relevant and effective platform for dialogue between EU and civil society on peace-building issues as proven by the continuous and increasing demand for CSDN events from both EU and CS side - a total of 72 dialogue meetings<sup>28</sup> on a wide range of peace-building related topics have been held since the launch of the forum – and the very high attendance level and/or over-subscription of events.

<sup>28</sup> These included geographic-focused dialogues on emerging and on-going crisis situations (e.g. on Sudan and South Sudan, Ivory Coast, South Caucasus, Mali, Libya, DRC, Myanmar, Iraq), as well as thematic/policy dialogues (e.g. gender in peace-building, transitional justice, national dialogue processes, review of EUTM Somalia, EUPOL Afghanistan, Youth in conflicts).

Drawing upon the experience of the previous two phases of the Civil Society Dialogue Network project and based upon findings and recommendations of both CSDN I 2012 Results Oriented Monitoring (ROM)<sup>29</sup> and Mid-term evaluation<sup>30</sup>, the key lessons learnt for this Action are the following:

- the project fills a communication gap between civil society in EU-member states, other (European) countries and in countries facing (mainly political) crisis on one side and decision makers within EU-institutions and Member States on the other. It facilitates access to relevant civil society conflict prevention and peacebuilding expertise to EU policy makers and is highly relevant to the needs of both sides;
- the CSDN enhances visibility and access of civil society organisations – including EPLO in-country partner organisations and civil society activists – vis-a-vis international multilateral organisations, and also national authorities in particular where the dialogue between authorities and civil society organisations is more difficult;
- the European Peacebuilding Liaison Office (EPLO) has proven over the past years to be very well equipped to effectively manage the CSDN, turning it into an effective, inclusive and lively dialogue platform at EU level, reaching out to CSOs and experts beyond its own network of organizations and contributing to developing policy work on peace-building and conflict prevention issues;
- the general outlines of the project characterised by different organisational set-ups according to the topics discussed including small-scale experts meetings and larger round-table discussions, a mix of policy and geographic meetings, meetings organized in Brussels, in EU Member States and in conflict-affected countries, are appropriate to fulfil target groups expectations and should be kept unchanged;
- the following functioning principles have proved effective and shall be maintained: running CSDN dialogue meetings under the Chatham House Rule allows for active participation and frank discussions; a targeted selection of participants including field experts and representatives of grass root organisations, as well as the provision of background documents (such as discussion papers) and prior preparation of participants and speakers allow to enrich the debates and bring in pertinent analysis and recommendations;
- the high level of interest expressed by EU Member States (including national authorities and civil society) in hosting and participating in the Dialogue calls for a stronger emphasis on the so-called "Member-State-Meetings" which provide a unique opportunity to bring decision-makers from national authorities, EU-institutions, national-level CSOs and from crisis-affected countries around the same table;
- where appropriate and where political and security conditions so permit, dialogue meetings shall also be conducted in countries at risk of conflict and/or in conflict-affected countries as a way to increase engagement with local CSOs as partners in dialogue and so that EU strategies are informed by local voices.

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<sup>29</sup> The ROM evaluation was conducted on a series of IfS projects by an independent external team of evaluators under a separate pilot IfS ROM contract. The monitoring visit for the CSDN took place from 21/5/2012 to 30/05/2012 and the report was submitted in June 2012

<sup>30</sup> *Interim Evaluation of the Civil Society Dialogue Network (CSDN) project*, November 2012

### **3.2 Complementarity, synergy and donor coordination**

Wherever possible, complementarity will be sought with existing and future similar networks or fora with a different focus of discussion but with a possible linkage to conflict prevention and peace-building (e.g. in the field of development, human rights, natural resources or others) and in particular with Brussels-based CSOs networks such as the European NGO confederation for relief and development (CONCORD), the Human rights and Democracy Network (HRDN), Voluntary Organisations in Cooperation in Emergencies (VOICE) as well as the Partnership Africa Canada (PAC) in its work on conflict minerals. This includes, for instance, avoiding duplication with ongoing and/or future events on the same or similar topic; exploiting synergies by organising back-to-back events or cooperation with other initiatives whenever relevant. Possible dialogue meetings in conflict-affected countries shall be aligned with EU Country Road Maps for engagement with civil society and organized in full coordination with EU Delegations.

### **3.3 Cross-cutting issues**

As per Article 2.4 of IcSP Regulation the Action shall contribute to articulating ideas and policy approaches linked to the promotion of democracy and good governance, human rights and humanitarian law, including children's rights and rights of indigenous groups, non-discrimination, gender equality and empowerment of women, conflict prevention and climate change as well as the role that culture can play in conflict prevention and resolution initiatives.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The overall objective of the Action is to contribute to enhancing EU and civil society capacity to anticipate, prevent and respond to threats to stability and human development posed by violent conflict and crisis and to better support conflict- affected countries in building peace.

This will be done by:

- 1) Continuing to foster and strengthen a robust EU-level dialogue mechanism between EU decision-makers and civil society actors on conflict prevention and peace-building issues;
- 2) Continuing to build in the capacities of civil society actors active in the field of peace-building and conflict prevention to engage into policy dialogue with EU institutions and inform EU policy-making;

The main expected results of this action are:

- Enhanced CSDN as an effective and inclusive dialogue platform able to connect European decision-makers with European-based and third country civil society actors interested/active in peace-building related fields;
- Strengthened EPLO capacity – in particular its networking, coordination and policy functions - to manage the CSDN and nurture dialogue between EU and civil society actors;
- Increased capacity of civil society actors involved in the CSDN to inform the strategic direction of EU conflict prevention and peace-building policies and initiatives;

- Increased understanding by EU policy actors and decision-makers, by civil society actors and by the European public of conflict prevention and peace-building issues and the role of the EU in the world in this regard.

## **4.2 Main activities**

In light of the above mentioned objectives and expected results, the following indicative activities could be envisaged:

- Organization of dialogue meetings (e.g. small scale experts' meetings, consultation meetings, workshops) on specific conflict contexts/conflict risk situations, on thematic issues relating to conflict prevention and peace-building, on specific policies/programming aspects of peace-building and conflict prevention;
- Preparation of background materials for meetings and formulation of civil society policy input such as issues/discussion papers, literature reviews, flash recommendations, studies etc.;
- Research, policy analysis and continuous learning type activities for EPLO to keep abreast of latest developments in the peace-building sector and EU related policies – including active networking with key EU policy-makers;
- Mapping and reaching out to CSOs (also including academics, business associations, trade unions etc.) and individuals working in the peace-building sector - including in conflict-affected areas- with a view to possibly include them in CSDN activities;
- Networking activities aimed at nurturing a continuous dialogue between main stakeholders involved in peace-building, including EU institutions, EU Member States and European based CSOs but also relevant third countries governments, international/regional/sub-regional organizations, CSOs from conflict-affected countries and where appropriate private sector actors, to promote co-ordination and information sharing and feed into CSDN activities;
- Organization of training/capacity-building workshops for civil society actors aimed at increasing CSOs understanding of peace-building and conflict prevention issues, including EU peace-building agenda, as well as their advocacy and networking skills;
- Communication and outreach activities focusing on civil society actors outside of the peace-building community (e.g. working on development, human rights and humanitarian fields) as well as the broader European public.

## **4.3 Intervention logic**

By strengthening the capacities of civil society actors to engage into policy dialogue with EU institutions and inform EU policy-making on peace-building and conflict prevention related issues, while continuing to foster an effective and inclusive dialogue between EU decision-makers and civil society relevant to both EU and CSO interests, it is expected that the EU and civil society actors will be better equipped to anticipate, prevent and respond to threats to stability and human development posed by violent conflict and crisis and to support conflict-affected countries in building peace.

## 5 IMPLEMENTATION

### 5.1 Financing agreement

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

### 5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### 5.3 Implementation modalities

#### 5.3.1. Grant: direct award "Support to the Civil Society Dialogue Network on conflict prevention and peace-building" (CSDN III) (direct management)

(a) Objectives of the grant, fields of intervention, priorities of the year and expected.

The specific objectives and expected results of this grant are specified under section 4.1 while an indicative list of activities is provided under section 4.2.

Actions aimed at reaching out and enhancing the dialogue with local civil society actors – in particular from conflict-affected countries – and where relevant with other stakeholders such as third countries authorities, international and regional organizations and private sector shall be encouraged.

Activities carried out under this grant shall be **conflict** and **gender sensitive**.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the European Peacebuilding Liaison Office (EPLO) in accordance with Art. 190(1)(c) and 190(1)(f) RAP.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because of EPLO's unique position and outreach capacity, as well as its high degree of specialization and its proven technical competence in managing the CSDN project since 2010:

- Singularity and outreach: EPLO is the sole existing civil society network working on peace-building issues at European level. With 37 member organisations – including individual NGOs, networks of NGOs, and think tanks - from 13 different European countries, EPLO has a global reach: its members are active in all situations of conflict and working on all the thematic issues of importance to the EU. EPLO works in close cooperation with other civil society networks and organizations notably those working on development, human rights and humanitarian issues, and has consistently demonstrated an inclusive approach to dialogue, facilitating the participation of the best civil society experts, be they linked to EPLO or not. EPLO has proven to be well

placed to bring together civil society, EU and international actors, and thereby to maintain and further develop a dialogue at European level, inclusive of all interested civil society actors in peace-building and related fields.

- Technical specialization and expertise: EPLO is highly specialised as its work is focused on bringing peace-building expertise into EU policy-making. EPLO has more than a decade's technical expertise and experience in the management of dialogue between its member organizations and other civil society actors in order to develop common positions on EU policy and EPLO's work. EPLO also has a strong track record of managing dialogue processes bringing together civil society and EU representatives ever since its establishment in 2001. Moreover, a majority of EPLO members work in partnership with local civil society and bring their representatives and expertise into EPLO's work. It already has five years of experience in managing the CSDN at EU-level;
- Technical competence: EPLO's technical competence in managing the CSDN has been confirmed by the 2012 evaluations referred to above and confirmed during phase II of the CSDN that started in 2014. EPLO's technical competence is demonstrated also by its prominent profile both within and outside Brussels and the frequency with which it is consulted by those interested in EU's peace-building work.

(c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 90%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

Last trimester 2016.

**5.3.2. Procurement (direct management)**

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Evaluation	Service	1	3 <sup>rd</sup> trimester 2016

#### 5.4 Indicative budget

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
5.3.1–Direct grant "CSDN III" (direct management)	2,000,000	EUR 200,000
5.3.2–Procurement (direct management)	80,000	N.A.
Totals	2,080,000	200,000

#### 5.5 Organisational set-up and responsibilities

The effectiveness of the CSDN depends mainly on how relevant (and timely) to EU policy-makers and civil society actors the suggested topics of discussions/dialogue meetings are. Ensuring a high level of ownership from all partners and the active involvement of EU policy-makers, while guaranteeing a proper balance between the interests of EU institutions and of CSOs, is key for CSDN to be perceived and used as a relevant dialogue platform. Close cooperation and mutual agreement of EPLO, the European Commission represented by the Foreign Policy Instruments service (FPI 2), and the European External Action Service represented by SEC.POL.2 are at the core of CSDN functioning. This is materialized by a tripartite decision-making mechanism vested in the Project Oversight Group (POG) which brings together EPLO's Executive Director, two members of EPLO's Steering Committee, and up to three relevant officials from the EU institutions. The POG will meet four to six times per year to i) review and decide on the Activity Plan/prioritize dialogue topics; ii) review progress towards meeting the objectives of the action; and iii) consider issues arising from its implementation.

#### 5.6 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).



## **5.7 Evaluation**

Having regard to the importance of the action, a mid-term evaluation will be carried out for this action or its components via independent consultants contracted by the Commission.

It will be carried out for learning purposes, in particular with respect to assessing CSDN effectiveness CSDN in informing EU policy-making related to peace-building and conflict prevention issues as well as providing recommendations for possible continuation and further development of the platform dialogue beyond the present Action.

The Commission shall inform the implementing partner at least 1 month in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

## **5.8 Audit**

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

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

## **5.9 Communication and visibility**

- Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.
- This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.4 above.
- In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.
- The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

## APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	The EU and its partners are better prepared to prevent conflict, build peace and address pre- and post-crisis needs.		<i>Ideally, to be drawn from the partner's strategy</i>	<i>Ideally, to be drawn from the partner's strategy</i>		Policy recommendations are translated into action
Specific objective(s): Outcome(s)	<ul style="list-style-type: none"> <li>S.O.1 Dialogue between EU decision-makers and civil society actors on conflict prevention and peace-building issues is fostered and strengthened;</li> <li>S.O.2 Civil society actors active in the field of peace-building and conflict prevention engage more effectively into policy dialogue with EU institutions and inform EU policy-making;</li> </ul>	<p>S.O.1. Number and type of civil society recommendations made during CSDN meetings that are taken forward by EU policy makers on a yearly basis</p> <p>S.O.2 Number and type of policy advocacy actions undertaken by civil society actors and their outcomes</p>	<i>The starting point or current value of the indicator.</i>	<i>The intended value of the indicator.</i>	<p>Targeted follow-up questionnaires to CSDN participants combined with a regular analysis of EU policy documents</p> <p>Project evaluation</p>	Sufficient and shared interest of the main CSDN stakeholders (including civil society actors, EU Institutions and Member States) in exchanging on conflict prevention and peace-building issues
Output	R.1 Enhanced CSDN as an	R.1.1 Frequency and range of	<i>Idem as above</i>	<i>Idem as above for</i>	CSDN activity plans	Sufficient

	<p>effective and inclusive dialogue platform able to connect European decision-makers with European-based and third countries civil society actors interested/active in peace-building related fields;</p> <p>R.2 Strengthened EPLO capacity – in particular its networking, coordination and policy functions - to manage the CSDN and nurture dialogue between EU and civil society actors;</p> <p>R.3 Increased capacity of civil society actors involved in the CSDN to inform the strategic direction of EU conflict prevention and peace-building policies and initiatives;</p> <p>R.4 Increased understanding by EU policy actors and decision-makers, by civil society actors and by the European public of conflict prevention and peace-building issues and the role of the EU in the world in this regard</p>	<p>issues discussed during CSDN meetings;</p> <p>R.1.2 CSDN meetings are fully subscribed and participants expressed satisfaction towards quality of discussions and relevance of information exchange</p> <p>R.2. Increased participation to CSDN meetings of CSOs and individual experts not directly connected to EPLO network as well as EU representatives not working strictly on conflict related issues</p> <p>R.3. Number of CSOs that report they are better prepared to engage with EU policy makers following CSDN trainings and dialogue meetings</p> <p>R.4. Number of CSDN participants that report they have a better knowledge of conflict prevention and peace-building issues</p>	<p><i>for the corresponding indicator.</i></p>	<p><i>the corresponding indicator.</i></p>	<p>and Project Oversight Group's minutes;</p> <p>Satisfactory surveys circulated to CSDN participants</p> <p>CSDN meetings' registration lists</p> <p>Targeted follow-up questionnaires to CSDN participants</p>	<p>consensus is achieved between CS, EU and MS in agreeing on a schedule of themes and issue for dialogue covering peace &amp; security, development and trade policy</p>
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This action is funded by the European Union

**ANNEX III**

of the Commission Implementing Decision on the Annual Action Programme 2016 for the Instrument contributing to Stability and Peace – Conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for Europe’s New Training Initiative for Civilian Crisis Management (ENTRi) III**

**INFORMATION FOR POTENTIAL GRANT APPLICANTS**

**WORK PROGRAMME FOR GRANTS**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following sections concerning grants awarded directly without a call for proposals: 5.3.1.

<b>1. Title/basic act/ CRIS number</b>	ENTRi III, financed under Instrument contributing to Stability and Peace. CRIS number: ICSP/2016/39-363
<b>2. Zone benefiting from the action/location</b>	Global
<b>3. Programming document</b>	Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace.
<b>4. Sector of concentration/ thematic area</b>	Priority (c) under Art.4.1 of IcSP Regulation: strengthening capacities for participation and deployment in civilian stabilisation missions.
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,222,223. Total amount of EU budget contribution EUR 2,000,000. This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 222,223.
<b>6. Aid modality and</b>	Project Modality

<b>implementation modality</b>	Direct Management – Grants – Direct award			
<b>7. DAC code</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	x
	Aid to environment	x	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	x	<input type="checkbox"/>
	Trade Development	x	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	x	<input type="checkbox"/>	<input type="checkbox"/>
	<b>– RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	– Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	– Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	– Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>
	– Climate change adaptation	x	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	N/A			

## SUMMARY

Successful civilian crisis management and stabilisation missions rely on the availability of well-prepared individuals which in turn depends on highly qualified training activities designed for such purpose.

While within the EU the Member States have the lead role in training personnel for participation in civilian crisis management missions, the European Commission has to date provided significant complementary support for training efforts. Since 2001, EU support has financed training activities for civilian crisis management and stabilisation missions, including sharing of professional expertise among training actors, the elaboration of standard curricula and the establishment of training certification procedures.

The ENTRi action is a unique capacity-building programme initiated in early 2011 under the 2010 Annual Action Programme of the Instrument for Stability. Its main focus is on the preparation and training of civilians, from EU Member States and third countries, who are either going to, or already working in, crisis management missions worldwide. Such missions include those of the European Union (EU), United Nations (UN), Organisation for Security and Cooperation in Europe (OSCE) and the African Union (AU).

## 1 CONTEXT

### 1.1 Sector context/Thematic area

#### 1.1.1 *Public Policy Assessment and EU Policy Framework*

While within the EU the Member States have the lead role in training personnel for participation in civilian crisis management missions, the European Commission has – since 2001 - provided significant complementary support for training efforts including the sharing of professional expertise among training actors, the elaboration of standard curricula and the establishment of training certification procedures. At the outset, support was provided in the framework of the ‘EC Project on training for civilian aspects of crisis management’ and since 2011, the IfS supported ‘Europe’s New Training initiative for Civilian Crisis Management (ENTRi)’.

The ENTRi action was initiated under the 2010 Annual Action Programme under Article 4.3 of the Instrument for Stability (IfS)<sup>31</sup>. Its main focus of attention is on the preparation and training of civilians, from EU Member States and third countries, who are either going to, or already working in, crisis management missions worldwide. Such missions include those of the European Union (EU), United Nations (UN), Organisation for Security and Cooperation in Europe (OSCE), and the African Union (AU).

As to the policy context, in 2003-2004, EU Member States adopted the first EU Training Policy in European Security and Defence Policy, with an associated Training Concept. Since then major institutional and conceptual changes have transformed the ambition, scope and range of the EU's missions and operations. A new training policy should be adopted in 2016. Related developments will inform the ENTRi action as appropriate.

#### 1.1.2 *Stakeholder analysis*

The final beneficiaries of this action are the people trained with a view to being deployed in civilian crisis management and stabilisation missions. Furthermore, all partners of the ENTRi consortium and associate partners are important stakeholders: the Center for International Peace Operations (ZIF) as the lead implementing partner, together with governmental, non-governmental and university training providers that form the consortium, along with associates including most importantly the European Security and Defence College (ESDC).

#### 1.1.3 *Priority areas for support/problem analysis*

Successful civilian crisis management and stabilisation missions rely on the availability of well-prepared individuals which in turn depends on high quality training activities designed for such purpose.

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<sup>31</sup> COM (2010) 1834

## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
EU Member State seconding authorities may not be committed to adequately train their proposed candidates for deployment.	M	Flexibility of approach; Bringing training to the field and emphasis on training of trainer activities. In-country training will cater for personnel already deployed to a mission and therefore be independent from the initiative and support of seconding authorities. Training of trainers activities will help build the training capacity of missions.
Training needs are not communicated by missions and HQs of international organisations.	M	Regular participation in coordination meetings and other fora organised by EU offices and other international organisations working on capacity-building and ongoing, pro-active conversations with national focal points to bring awareness about ENTRi products.
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>• Consortium partners pro-actively contributing to the consortium, mission training units continue to cooperate with ENTRi;</li> <li>• Relevant EU stakeholders, including CMPD, CPCC and the EEAS field security department, continue their open and frank engagement with ENTRi;</li> <li>• Mission training units continue to cooperate with ENTRi.</li> </ul>		

## 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

### 3.1 Lessons learnt

The Annual 2013 CSDP lessons report<sup>32</sup> indicated that “staff members have different levels of knowledge and awareness about the EU and its standards, including on human rights, ethics and gender issues. They may be very competent in their own profession but not aware of the mentoring and advising techniques that are necessary for the training and capacity-building of mission beneficiaries. Furthermore, they often have different approaches to such training and capacity-building based on their respective national traditions. This is especially the case in areas such as Rule of Law and police training. Such diversity of national approaches is a strength of the EU but may be confusing for beneficiaries in the absence of appropriate

<sup>32</sup> [Annual 2013 CSDP lessons report – summary for publication.](#)

information and coordination.” The work being undertaken at EU level on the new CSDP training policy aims to respond to this concern. Current trends and discussions at the international level, within the United Nations on the issue of training recognition (the latest reference in the High-Level Independent Panel on Peace Operations (HIPPO) report of 16 June 2015, paragraphs 216-18) also indicate the need for harmonised training standards and certification mechanisms for training quality assurance. The drive towards harmonisation of training activities (through inter alia certification of training courses and development of common course concepts and their updates) is based upon and responds to specific indications provided by policy making organisations as well as relevant studies and reports. In particular, the EU Committee for Civilian Aspects of Crisis Management (CivCom)<sup>33</sup> has stated that training courses should be modular and the content of the modules should be standardised, as should the minimum duration of the training, to the greatest extent possible. Such courses should then be certified as EU training courses.’

ENTRi builds on five years of experience and benefits from the expertise of some of the most specialised trainers in the sector. In addition, the ENTRi Evaluation Working Group drafted a paper on the ENTRi Evaluation Framework that highlights lessons learned and issues to be addressed to professionalise the in-built evaluation process of the project. These can be summarised as follows:

In the past it proved difficult to gain a significant number of trainees on pre-deployment training courses (PDTs) run by ENTRi. In this final phase, the main provider of PDTs, under the CFSP budget, will be the ESDC which is better positioned to cater for the needs of CSDP missions in line with its mandate<sup>34</sup>. A higher rate of deployment of trained seconded staff from EU Member States can therefore be expected.

As the audience of the ENTRi Handbook "In Control" and related app is larger than the number of trainees attending training courses, increasing financial resources for the In Control Handbook (also for the mobile In Control app) proved extremely valuable as it extended the reach of customised open and distance learning. This assessment is corroborated by a high demand for printed copies of the Handbook (which also exists as downloadable e-file) as well as positive feedback received on the app, including by EU Member States during an ENTRi presentation to CivCom in July 2015.

More in-country courses will be organised under ENTRi III as this proved to be more cost effective than organising courses in Europe.

The ENTRi certification mechanism is very much in demand and highly valued. Notwithstanding this, there needs to be a focus on overhauling the content of many course curricula, which may require additional resources.

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<sup>33</sup> CivCom advice on the report from the training workshop: "Future training needs for personnel in civilian crisis management operations", Brussels 19–20 October 2006 - Doc.16849/2006, p.2.

<sup>34</sup> Council Decision 2013/189/CFSP of 22 April 2013.



### **3.2 Complementarity, synergy and donor coordination**

ENTRi has been working very closely with the EU-funded European Union Police Services Training (EUPST) consortium, inter alia on the establishment of working groups by EUPST with Terms of References that link the two Consortia, and a joint conference on interoperability, that was co-organised by EUPST and ENTRi.

Cooperation with the European Security and Defence College (ESDC) has been formalised in that ESDC has become an Associate of ENTRi in early 2015. Its intention to run regular pre-deployment courses specific to CSDP missions has been taken into consideration when planning the third phase of ENTRi. Aligning ENTRi activities with those of the ESDC remains critical for the success of the action.

The ENTRi consortium has developed and will maintain and further strengthen bilateral cooperation with International Organisations on developing and implementing specific training, and notably with the UN Department for Peacekeeping Operations (DPKO). This will be done through exchange of trainers and joint delivery of training courses, in particular in-country training courses. In-country courses have already taken place under ENTRi II in Mali, Ethiopia, Kosovo, and – in cooperation with UN DPKO – in Uganda.

The project will continue to implement activities for fostering increased compatibility of training standards and course modules in Europe and beyond. Particular emphasis will be placed on information sharing and harmonisation of training approaches, course content, and learning methodologies with EU training related actors (such as the European Security and Defence College (ESDC) and the European Police College CEPOL), International Organisations (such as the OSCE and the UN) and other EU funded projects including under the Instrument contributing to Stability and Peace or Horizon 2020 (H2020). This will allow for cooperation and interoperability between institutions that are active in similar crisis management environments.

In recent years, civilian crisis management initiatives have been the subject of extensive research and debate at the academic and policy level in particular regarding aspects related to substantive knowledge and soft skills capacity building tools. ENTRi will build on this body of work as the relevant outputs feed into its tasks.

### **3.3 Cross-cutting issues**

As per Article 2.4 of IcSP Regulation, the measure will aim to promote democracy and good governance, human rights and humanitarian law, including children's rights and rights of indigenous groups, non-discrimination, gender equality and empowerment of women, conflict prevention, as well as the role that culture can play in conflict prevention and resolution initiatives.

Courses developed and implemented in the framework of this project will focus on the specific needs of international crisis management missions. The project implementers will integrate gender mainstreaming in their activities by ensuring that (i) course contents are reflected upon from a gender-sensitive perspective and (ii) a proper gender balance is achieved in selecting course participants and trainers. Furthermore, specialisation courses will be held on subjects that have already been developed under ENTRi I and II (such as good governance, human rights, rule of law, child protection, gender, cultural awareness and

conflict analysis). In addition, training of trainers activities will serve to build the training capacity of training institutions as well as training units of missions, specifically with regard to mainstreaming gender and children's issues, and human rights.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The overall objective of this action is to improve the human security (Freedom from Fear) of people living in crisis-prone areas to which crisis management and stabilisation-type missions ("crisis management missions") of the EU, the UN, the OSCE, the AU and/or other organisations are deployed.

Specifically, the action aims at better enabling staff in EU, OSCE, UN, AU and possibly other crisis management and stabilisation-type missions ("crisis management missions") to work in an efficient, effective and sustainable manner in order to achieve their missions' mandates.

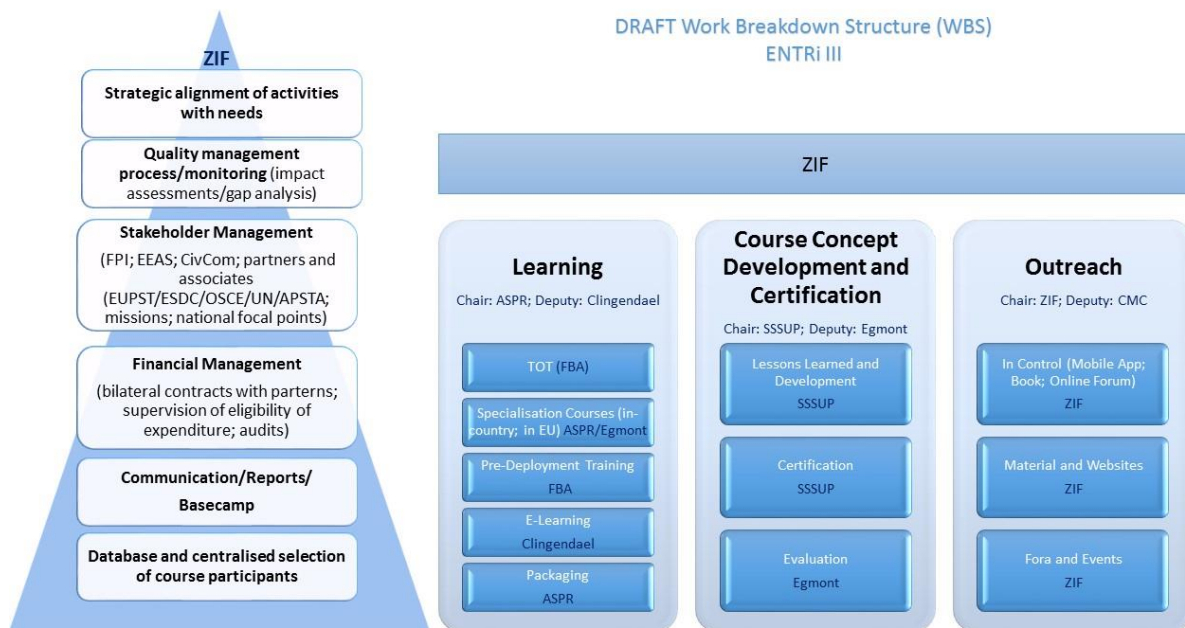
The expected results of this action are:

1. Enhanced capacity to deploy specialised and highly prepared personnel to EU and other international civilian crisis management type missions;
2. Improved harmonisation and coherence of civilian training activities in Europe and beyond.

### **4.2 Main activities**

The previous two phases of ENTRi focused on course delivery. During this third and final phase of ENTRi the focus will shift towards training content and ensuring knowledge transfer, i.e. the development of customised course material, training of trainers and the integration of lessons learned from activities across European training institutions and mission capacity-enhancement units as well as embedding knowledge gained within the latter structures. The customised course packages and training of trainers courses will become the linchpins of the overall ENTRi III knowledge management strategy. Indicatively, ENTRi will implement 24 courses over the course of three years, of which 40% will be courses for the training of trainers, 30% will be specialisation courses (also run in-country with mixed police and civilian trainer teams), 10% for 'on-demand' pre-deployment courses and 20% on technology-enhanced learning. Technology-enhanced learning may include blended learning, development of applications for mobile devices, and stand-alone e-learning modules.

As illustrated below, activities under ENTRi III will fall into three different clusters. There will be a 'learning' cluster, a 'course concept development and certification' cluster, and an 'outreach' cluster. This shall ensure that different learning activities follow a clear structure and are streamlined and monitored to ensure that lessons learned are applied to all activities at once. Close cooperation between the clusters, each led by a specific partner organisation, will provide for increased ownership by partners and an efficient use of resources and transfer of knowledge. ZIF will provide the lead of ENTRi III and serve as an umbrella for the mentioned clusters.



**Indicative activities under expected result 1 are:**

- **Training-of-Trainers (TOT) (10 courses)**  
Feedback from past training of trainers workshops under ENTRi II were perceived as very successful. Since this activity is sustainable and can benefit many more participants than a single course, ENTRi III will focus on this output. Furthermore, discussions have already taken place with EUPST to establish mixed (police and other civilian) trainer teams and the United Nations Integrated Training Service is also looking into options to work together on TOTs, especially via their Center of Excellence in Entebbe.
- **Specialisation courses (7 courses)**  
The specialisation courses developed under ENTRi I-II shall be further standardised and complemented by course materials and elements of technologically-enhanced learning. The selection of topics for the courses will build upon the existing course types, respond to identified needs and shall flexibly pick up emerging topics, in close coordination with other training providers including ESDC and CEPOL. While some specialisation courses will still be conducted in Europe, special emphasis will be put on mobile in-country comprehensive training courses. These courses will be offered in regions with a high presence of crisis management missions and will be open to national and international staff on the ground.
- **Technology-enhanced learning (4 e-Learning courses; mobile app; webinars)**  
The lessons learned from inter alia ENTRi II and the ENTRi-EUPST conference in The Hague (November 2015) show that e-learning requires technical, content and didactical expertise, making it a resource intensive product though with long-term benefits. ENTRi III will allow for the further exploration and implementation of e-learning tools as part of the overall training/learning effort. The functions of the In Control App will be further developed in terms of format and content and the electronic version of the In Control handbook will be updated accordingly. At least one further print version of the ENTRi handbook will be published during the project's lifespan, servicing the currently experienced high demand and to ensure continued relevance of content.

- Pre-Deployment Training (3 courses)  
ENTRi III will focus on the further development of content of pre-deployment courses and will reduce its implementation of actual ENTRi pre-deployment courses to those that respond to acute needs as identified by the EEAS crisis management structures.

**Indicative activities under expected result 2 are:**

- Development of training topics and development of harmonised, comprehensive course documentation (15 packages)  
Training courses developed under ENTRi I and II shall be further standardised and complemented by course materials and elements of distance learning. Each course package shall contain course materials (such as power point presentations, case studies, scenarios) and elements of distance learning (such as e-learning modules) as appropriate and be made available to partners and possibly the wider public. Each partner implementing a training course will be responsible for the initial development of elements of this package. Coherence and quality assurance of all training packages and final editing will be ensured through the chair of the learning cluster, in close cooperation with the chair of the course concept development and certification cluster.
- Cooperation with International Organisations and strategic partners on development and delivery of selected training courses  
The ENTRi consortium will aim to further strengthen bilateral cooperation with International Organisations on developing and implementing specific training, as per section 3.2 above.
- Organisation of ENTRi stakeholder conference  
Such a conference would aim at sustainability of ENTRi outputs beyond its life-cycle and will be organised as a mid- term project event. The purpose would be to discuss with relevant stakeholders a pathway for the sustainability of ENTRi outputs beyond the project life-cycle. This will constitute a milestone project event to ensure that the project outputs are embedded and taken up by its stakeholders in terms of organisations/institutions taking ownership of the training standards developed, of the training quality assurance tools devised, of the certification mechanism, and of the training evaluation toolkit devised.
- Course Concept Development and Certification  
ENTRi will:
  - (a) Carry out its training curriculum development and revision/update that respond to emerging needs identified, capture and utilise lessons learned and good practices, take stock of evaluation results;
  - (b) Implement its certification mechanism, which was pioneered under the European Group on Training (EGT) and further developed under ENTRi I and II;
  - (c) Strengthen its in-built evaluation and assessment framework (learning, reaction, transfer, impact);
  - (d) Take stock of training evaluation results and lessons learned and feed them back into future training activities.

### **4.3 Intervention logic**

The overall objective of this action is that the human security (Freedom from Fear) of people living in crisis-prone areas to which international civilian crisis management and stabilisation-type missions (“civilian crisis management missions”) of the EU, the UN, the OSCE, the AU, and/or other organisations are deployed, improves. To this end, the action aims at enabling

international and national civilian staff in EU, OSCE, UN, AU, and other international crisis management and stabilisation-type missions to work in a more efficient, effective, and sustainable manner in order to achieve their missions' mandates because successful civilian crisis management and stabilisation missions rely on the availability of well-prepared individuals which in turn depends on highly qualified training activities designed for such purpose.

The main assumptions underlying this action are that consortium partners pro-actively cooperate, that the relevant EU stakeholders, including CMPD, CPCC and the EEAS field security department, continue their open and frank engagement with the ENTRi consortium, and that mission training units continue to cooperate with ENTRi.

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

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

### **5.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### **5.3 Implementation modalities**

#### **5.3.1 Grant: direct award (direct management)**

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

The objectives and the expected results, as specified in section 4.1 above, are as follows.

The overall objective of this action is to improve the human security (Freedom from Fear) of people living in crisis-prone areas to which crisis management and stabilisation-type missions ("crisis management missions") of the EU, the UN, the OSCE, the AU and/or other organisations are deployed.

The expected results of this action are:

1. Enhanced capacity to deploy specialised and highly prepared personnel to EU and other international civilian crisis management type missions;
2. Improved harmonisation and coherence of civilian training activities in Europe and beyond.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the ENTRi consortium led by Zentrum für Internationale Friedenseinsätze (ZIF) in accordance with Art. 190(1)(c) and 190(1)(f) RAP.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because the beneficiary is in a legal or factual monopoly situation; and because the action has specific characteristics requiring a specific type of beneficiary for its technical competence, specialisation or administrative power or nature of the action:

1. ENTRi is the sole existing multi-state programme at European level specialised in the field of training activities for civilian crises management and stabilisation missions;
2. ENTRi is the only programme led by a consortium that groups together 13 EU Member States as implementing partners from across Europe and discussions are taking place with other potential partners which it is hoped will join the current ones;
3. ENTRi is the only programme providing for a specialised certification procedure for training courses in civilian crisis management, the so-called Certified EU Civilian Crisis Management Course (C3MC) label previously established by the European Group on Training (EGT);
4. ENTRi adopts an inclusive approach as the training activities are open to participants of all nationalities, be they represented among the 13 implementing partners or not;
5. ENTRi is highly specialised as it only works exclusively on crisis management and stabilisation missions training;
6. ENTRi builds on five years of experience and benefits from the expertise of some of the most specialised trainers in the sector;
7. ENTRi's technical value is demonstrated by its increasingly prominent profile both within and outside Brussels and the increasing requests for participation. ENTRi currently receives many more requests to accept participants for training than it is able to respond to. Supporting the development of ENTRi's capacity will allow, in turn, for a greater number of trained participants;
8. ENTRi is well designed to bring together participants to its courses with different backgrounds, nationality and specialisation;
9. ENTRi is managed by a unique consortium of 13 highly specialised implementing partners, with exceptional technical aspects which is led by Zentrum für Internationale Friedenseinsätze (ZIF).

(d) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(e) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 90%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(f) Indicative trimester to conclude the grant agreement

Second trimester of 2016

#### **5.4 Indicative budget**

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution (in EUR)</b>
5.3 – Direct grant (direct management)	2,000,000	222,223
Totals	2,000,000	222,223

#### **5.5 Organisational set-up and responsibilities**

The action is managed by the Service for Foreign Policy Instruments of the European Commission as the contracting authority in close cooperation with the European External Action Service, including through the guidance provided by a Steering Group.

The Center for International Peace Operations (ZIF) will lead the consortium and ensure active contributions by partners to meet the outlined targets.

#### **5.6 Performance monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this end, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

#### **5.7 Evaluation**

Having regard to the nature of the action, an external evaluation will not be carried out for this action or its components. The action already disposes of an in-built evaluation framework which serves the purpose of establishing a process for evaluating all ENTRi training activities so as to guarantee quality in training, sustainable use of resources and impact on the working environment in missions. This systematic evaluation has the aim to:

- Improve future training activities through feedback of lessons learned
- Provide a basis for accountability, including the provision of information to the donor, the public and interested third parties

Thus far, ENTRi has employed four different evaluation methodologies: course evaluations, in- and out-tests, six-month-post course evaluations, and training impact evaluation missions (TIEM). While there has not been a standardised form of feeding the various results of the evaluation steps back into the ENTRi system, consortium members have been informed by shared TIEM (Training Impact Evaluation Mission) reports or on specific occasions (e.g. partner meetings, activity reports). However, a more systematic approach needs to be developed. Until now, an examination is conducted by the ENTRi coordination team members when it comes to the course evaluations, the course directors' reports and the six-month-post course evaluation. The examination focuses primarily on data relevant for project reports and specific data requested by the donor or partners.

In addition, the Commission may, during implementation, decide to undertake such an evaluation for duly justified reasons either on its own decision or on the initiative of the partner.

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

The financing of the evaluation shall be covered by another measure constituting a financing decision.

## **5.8 Audit**

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

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

## **5.9 Communication and visibility**

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.4 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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



## APPENDIX - INDICATIVE LOGFRAME MATRIX

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

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	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	The human security (Freedom from Fear) of people living in crisis-prone areas to which international civilian crisis management and stabilisation-type missions (“civilian crisis management missions”) of the EU, the UN, the OSCE, the AU, and/or other organisations are deployed, has improved.	Level of human security (Freedom from Fear).	<i>Ideally, to be drawn from the partner's strategy</i>	<i>Ideally, to be drawn from the partner's strategy</i>	Human Development Report by UNDP (specifically with regard to the countries and regions that civilian personnel trained by this action are deployed to).	
Specific objective(s): Outcome(s)	International and national civilian staff in EU, OSCE, UN, AU, and possibly other international crisis management and stabilisation-type missions (“crisis management missions”) are enabled to work in a more efficient, effective, and sustainable manner in order to achieve their missions’ mandates.	<p>Increased efficiency</p> <ul style="list-style-type: none"> <li>• Civilian experts report that they are better able to understand their role within a mission and how best to use their position to contribute to fulfilling the mission mandate as a result of taking part in an ENTRi training course.</li> </ul> <p>Increased effectiveness</p> <ul style="list-style-type: none"> <li>• Civilian experts display a high standard of skills in</li> </ul>	<i>The starting point or current value of the indicator.</i>	<i>The intended value of the indicator.</i>	<ul style="list-style-type: none"> <li>• Project evaluation.</li> <li>• Training evaluations (including surveys of training participants before (baseline) and after training activity).</li> <li>• Annual Training Impact Evaluation Missions (TIEMs) reports (including survey of line managers of former training participants).</li> <li>• Survey among human</li> </ul>	<ul style="list-style-type: none"> <li>• Continuous deployment of civilian experts to civilian crisis management missions.</li> <li>• Cooperation of the International Organisation and their field mission management</li> <li>• Continuous demand for training of civilian experts.</li> <li>• Motivation and commitment of experts participating to the courses.</li> </ul>

		<p>mediation, monitoring, mentoring, and advising, which are crucial to assisting and supporting local partners in host countries in their reform efforts.</p> <ul style="list-style-type: none"> <li>• Line managers of trained civilian experts are satisfied with their level of knowledge of relevant topics.</li> </ul> <p>Increased sustainability</p> <ul style="list-style-type: none"> <li>• Trained experts share their knowledge with other colleagues.</li> <li>• Former course participants establish relations and coordination mechanisms with local partners.</li> <li>• Former course participants contribute to the establishment of sustainable and effective civilian structures to support locally owned reform processes.</li> </ul>			resources departments of International Organisations and their respective field missions.	
<b>Outputs</b>	<p><b>Certification</b> Processing of (at least) 15 C3MC certifications.</p> <p><b>Course concept development &amp; update</b> Revision and update of # approved course concepts and development of (up to) #</p>	<p>At least 15 new requests for course certification are processed stemming from training providers working on civilian crisis management related training.</p> <p>At least # existing ENTRI course curricula based on agreed didactical standards and methods are revised and updated.</p>	<i>Idem as above for the corresponding indicator.</i>	<i>Idem as above for the corresponding indicator.</i>	<ul style="list-style-type: none"> <li>– Project evaluation.</li> <li>– Files related to desk review of certification requests.</li> <li>– Reports by training providers on the delivering of their ENTRI certified courses.</li> </ul> <p>Course Concepts and programmes available on ENTRI website.</p>	<ul style="list-style-type: none"> <li>– Cooperation with relevant IOs in training needs identification and in the development of course concepts.</li> <li>– Continuous demand for training of civilian experts in key CCM areas.</li> </ul>

	<p>new course concepts.</p> <p><b>Lessons &amp; evaluation</b></p> <p><b>Specialisation Courses</b> Delivery of around 7 Specialisation courses to be defined and agreed upon for civilian experts available for crisis management missions, with the target of 75 % of the personnel trained being deployed to international crisis management missions within 6 months after participation in the training.</p> <p><b>Comprehensive Course Packages</b> Development of 15 harmonized, comprehensive course packages.</p>	<p>New Course curricula based on agreed didactical standards and methods are available in at least # CCM priority areas.</p> <p>New evaluation tools are developed to encompass at least 2 new project activities (Mobile App and e-Learning).</p> <p>At least 7 specialisation courses are delivered. X civilian experts are trained.</p> <p>At least 15 comprehensive course packages based on agreed didactical standards and methods are developed.</p>			<p>Course reports.</p> <p>Reports to various actors and stakeholders and follow up in changing and adapting of ongoing activities.</p> <p>Participants and line managers based interviews (phone/face to face and/or questionnaires) and TIEMs.</p> <ul style="list-style-type: none"> <li>- Partnership agreements for each training course.</li> <li>- Documentation of the selection process for trainings (database reports).</li> <li>- Trainings reports including accounting sheets, participants and trainer lists, narrative reports and course evaluation.</li> </ul> <p>Course packages are used in ENTRi courses. Piloted and validated course packages are available on ENTRi</p>	<ul style="list-style-type: none"> <li>- Continuous deployment of civilian experts to civilian crisis management missions.</li> <li>- Cooperation of the International Organisation and their field mission management.</li> <li>- Continuous demand for training of civilian experts.</li> <li>- Motivation and commitment of experts participating to the courses.</li> </ul>
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	<p><b>Technology-enhanced learning</b>  Conceptualising, developing and implementing e-learning as integral part of ENTRi training courses and products.</p>	<ol style="list-style-type: none"> <li>1. Identify, assess, monitor and evaluate existing e-learning tools of third partners for integration into ENTRi training products.</li> <li>2. Training Needs  Assessment on e-learning is conducted jointly with EUPST.</li> <li>3. Develop and implement e-learning modules on topics identified.</li> <li>4. Enhance the functions of the <i>In Control</i> app with additional functionalities in terms of form and content.</li> <li>5. ENTRi training courses comprise e-learning tools prior to and/or post-residential training.</li> </ol>			<p>homepage.</p> <ul style="list-style-type: none"> <li>– Training activity evaluation.</li> <li>– Reports by training providers on the use and application of e-learning in their training.</li> <li>– Sharing of practices and experiences with associates like EUPST, ESDC, CEPOL, UNSSC and others.</li> <li>– E-learning modules and resources available through ENTRi website and/or other related means.</li> <li>– Mainstream e-learning in evaluation and quality assessment processes.</li> </ul>	<ul style="list-style-type: none"> <li>– Available resources in centrally managing e-learning + development budget.</li> <li>– Willingness among stakeholders involved to share and exchange products and platforms.</li> <li>– Suitable technical platform available.</li> <li>– Commitment across project to include e-learning as cross-cutting throughout all training products.</li> <li>– E-learning demand by participants and third implementers.</li> </ul>
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This action is funded by the European Union

**ANNEX IV**

of the Commission Implementing Decision on the 2016 Annual Action Programme for the Instrument contributing to Stability and Peace (IcSP) conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for European Resources for Mediation Support (ERMES) II**

<b>1. Title/basic act/ CRIS number</b>	European Resources for Mediation Support (ERMES) II, financed under Instrument contributing to Stability and Peace. CRIS number: ICSP/2016/39-363			
<b>2. Zone benefiting from the action/location</b>	Global. The mandate of the proposed technical assistance is global and its geographical coverage will, to a large extent, depend on EU strategic foreign policy priorities (including where EU engagement is deemed to have a value added) and on the arising needs/requests for assistance from third parties, including direct parties to conflicts.			
<b>3. Programming document</b>	Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace <sup>35</sup>			
<b>4. Sector of concentration/ thematic area</b>	Priority (b) under Art.4.1 of IcSP Regulation: facilitating and building capacity in confidence-building, mediation, dialogue and reconciliation, with particular regard to emerging inter-community tensions.			
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,900,000. Total amount of EU budget contribution EUR 2,900,000.			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality Direct Management - Procurement of services			
<b>7. DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>6 NO</b>	<b>7 SIGNI</b>	<b>8 MAIN</b>

<sup>35</sup> Decision C(2014) 5607 ([http://ec.europa.eu/dgs/fpi/key-documents/index\\_en.htm](http://ec.europa.eu/dgs/fpi/key-documents/index_en.htm))

		<b>T TAR GET ED</b>	<b>FICAN T OBJEC TIVE</b>	<b>OBJEC TIVE</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	X
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	N/A			

## SUMMARY

This action aims at facilitating EU support to third parties engaged in inclusive peace mediation and dialogue processes at the international, regional or local levels, with a view to contribute to conflict prevention and resolution, by *inter alia* providing technical assistance and training, and organising meetings and seminars to facilitate conditions conducive to conflict resolution.

The foreseen results of this action include:

- a) more effective support to peace processes by making available expert and deployable EU mediation capacity and by facilitating third parties mediation activities;
- b) enhanced dialogue on peace and mediation processes between the EU and civil society organisations, in particular the ERMES consortium members;
- c) improved coherence of mediation principles, methods and activities and particularly the values and principles of the EU as a global peacemaker, and improved knowledge and recognition of this EU role;
- d) improved capacity to ensure the inclusiveness of peace and dialogue processes, in particular with regard to addressing gender issues in mediation.

## 1 CONTEXT

### 1.1 Sector context/Thematic area

As a global actor committed to the promotion of peace, democracy, human rights and sustainable development, the European Union is generally seen as a credible and ethical actor in situations of instability and conflict and is thus well placed to mediate, facilitate or support mediation and dialogue processes.

This action builds on the successful pilot experience of "ERMES I" (funded under AAP 2013 of the Instrument for Stability<sup>36</sup>) and strengthens the partnership with key bodies or organisations in the field of peace mediation and dialogue. In particular, this action aims at facilitating EU support to third parties engaged in inclusive peace mediation and dialogue processes at the international, regional or local levels, by *inter alia* providing technical assistance, delivering trainings and organising meetings and seminars to facilitate conditions conducive to conflict prevention/resolution.

### *1.1.1 Public Policy Assessment and EU Policy Framework*

The 2009 Concept on Strengthening EU Mediation and Dialogue Capacities<sup>37</sup> and the 2011 Council Conclusions on conflict prevention<sup>38</sup> provide the policy basis for EU engagement in the area of mediation and dialogue, and make concrete proposals on how to strengthen the Union's capacity and support EU-led or EU-supported dialogue and mediation efforts.

It makes clear that in addition to acting as a mediator itself, the EU should also be more active in 1) promoting mediation by drawing on the EU's "own experience as a peace project" 2) leveraging mediation by using the EU's political weight and financial resources in support of mediation processes 3) supporting mediation through capacity-building, training and the provision of expertise 4) funding formal, informal and grassroots mediation processes.

### *1.1.2 Stakeholder analysis*

The field of mediation is increasingly crowded with international and regional organisations, individual countries and private diplomacy actors engaged. At the same time, different mediation support capacities have been created, including institutionally such as the EU Mediation Support Team, but also by civil society and academic actors.

The *UN Guidance for Effective Mediation* states that "the increasing number and range of actors involved in mediation makes coherence, coordination and complementarity of mediation efforts both essential and challenging." Moreover, it states that the diversity of mediation actors "can be an asset, as each actor can make unique contributions at different stages of a mediation process". However, multiplicity also risks actors working at cross-purposes and competing with each other.

This is also very much reflected in the 2009 Council Concept on Strengthening EU Mediation and Dialogue Capacities, which highlights the EU's role in not only doing mediation, but also supporting third parties in various ways when requested. Third parties whom can be provided mediation support through ERMES range from grass-roots level actors to senior mediators themselves.

### *1.1.3 Priority areas for support/problem analysis*

The aim of this action is to enable the EU to provide rapid and flexible mediation support to various third parties when requested and in line with EU foreign policy priorities, including in particular the priorities identified by the new EU Conflict Early Warning System. Hence, the action will seek to not only be engaged for ongoing conflicts and mediation and dialogue processes, but also for preventive efforts where an increased risk of violence has been identified.

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<sup>36</sup> COM (2013) 1655 final

<sup>37</sup> 'Concept on Strengthening EU Mediation and Dialogue Capacities', Council of the European Union Document 15779/09 of 10 November 2009. Available here: [http://eeas.europa.eu/cfsp/conflict\\_prevention/docs/concept\\_strengthening\\_eu\\_med\\_en.pdf](http://eeas.europa.eu/cfsp/conflict_prevention/docs/concept_strengthening_eu_med_en.pdf).

<sup>38</sup> 'Council conclusions on conflict prevention', 3101st Foreign Affairs Council meeting Luxembourg, 20 June 2011. Available here: [https://www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/EN/foraff/122911.pdf](https://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/122911.pdf)

## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Non acceptance of third party mediation by conflict parties;	M	This risk can be mitigated by EU representatives, including locally in the Delegations, through close liaison with the third party actors and other involved external actors and by devising communication strategies vis-à-vis possible spoilers and innovative approaches to the provision of technical assistance.
The international law and short-term conflict management objectives may pose additional challenges and prevent the EU from becoming involved in a mediation process.	L	This can to some degree be mitigated by additional efforts to promote the use of mediation as a EU foreign policy tool.
Security concerns may not allow or interrupt the provision of support.	M	While security concerns can go beyond the EU control, the EU will mitigate the risks associated to (in)security by ensuring duty of care and liaising with relevant EU services and the NGOs members of the consortium to assess the security situations on an <i>ad hoc</i> basis before sensitive deployments/launch of activities.
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>• The level of crisis/conflict and resulting security situation does not prevent the prospect of a peace mediation initiative and the Security situation in country is conducive to facilitate/allow the deployment of experts;</li> <li>• The mediation process to be supported is in line with the principles of international human rights and humanitarian law and the EU's own normative expectations;</li> <li>• Willingness of EU mediation actors to draw on external mediation support capacities;</li> <li>• Sufficient national commitment to implement the WPS Agenda and in particular UNSCR 1325, 1888, 2151 in order to ensure the meaningful and inclusive participation of women in mediation processes.</li> </ul>		

## 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

### 3.1 Lessons learnt

Since its launch in January 2014, "ERMES I" has successfully implemented more than thirty assignments in support of peace mediation activities worldwide.

Because of active outreach, good awareness of ERMES among EU colleagues both in the field and at Headquarters was quickly achieved.

External mediation actors, such as the United Nations or the Organization for Security and Cooperation in Europe (OSCE) as well as Civil Society Organisations have shown great



interest in ERMES as a new and cost efficient model of providing short-term external mediation support expertise; the UN for instance relies very much on the very costly standby team model, which requires almost a constant deployment of its members whereas the ERMES model is more flexible and needs-based. Hence, the EU's role as a global mediation actor has been strengthened and made more visible by enabling quick and flexible support to third-party mediation efforts.

In line with its ToRs, "ERMES I" has proved its usefulness in all the foreseen activities, notably in the deployment of relevant external expertise and the facilitation of meetings. In line with its ambitions, the capacity of ERMES to provide support and assistance on short notice has proved to be fundamental to trigger more long-term EU support to third party peace processes. Examples of this include the cases of Mali and South Sudan, where short-term ERMES deployments and support preceded the set-up of DEVCO-managed longer-term peace process support mechanisms.

Finally, ERMES has acted as a vehicle through which to provide efficient guidance and support to EU-appointed mediators, including through deployment of expert advice.

### **3.2 Complementary, synergy and donor coordination**

This Action will be complementary to the on-going EU efforts to support the mediation capacities of third parties through its various external funding instruments.

In particular, complementarity will be sought with:

1) The work led by the Mediation Support Unit of the UN Department of Political Affairs (DPA) in part funded by the EU through the IcSP's AAP 2014<sup>39</sup> (project entitled "*Strengthening International Mediation Capacities*") and through which a stand-by team of mediation experts is available for deployment within a 72-hour notice anywhere in the world to assist envoys and mediators in the field.

2) The work on "Strengthening National Capacities for Peace", led by UNDP in cooperation with UN DPA and the EU (see AAP 2014 – Action Document 4) which aims at equipping key national and local actors in selected pilot countries with skills for constructive negotiation and dialogue, through ad hoc trainings for national and local stakeholders among governments, political parties and civil society.

3) The support provided through the IcSP to in-country actors in fragile and conflict-affected areas to enhance their capacities in dialogue and mediation, to improve their networking and advocacy skills as well as foster and facilitate dialogue between non-state actors and local and international institutions.

Similarly, and in line with the 2009 Concept, mediation support activities launched under ERMES II will be complementary to those led by other regional organisations (such as the OSCE, the African Union (AU) and the Association of Southeast Asian Nations (ASEAN)). In this respect, "ERMES I" was mobilised to organise a meeting of international and regional organisations on mediation and preventive diplomacy (Brussels, 2015).

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<sup>39</sup> COM (2014) 5706 final

Cooperation and complementarity with these initiatives will be sought both at political level (through the ongoing dialogue led by the EEAS Mediation Support Team) and at operational level, when appropriate by leveraging on the EU financial support.

### **3.3 Cross-cutting issues**

The Action will contribute to the implementation of UNSCR 1325, 1888 and 2151 and the improvement of gender mainstreaming in mediation and dialogue at institutional and operational levels. This will include, *inter alia*: 1) gender perspectives in mediation through the lens of operational /institutional challenges and socio-cultural barriers; 2) specific gender concerns to negotiators and sensitizing the target groups on the importance of putting gender issues on the agenda of a negotiation; 3) facilitating the inclusion of women's, youth's and children's groups representatives both at the peace talks and in the wider peace process.

Human rights issues are at the core of many mediation processes worldwide that take place in highly complex environments. The EU is committed to promoting human rights during its mediation efforts. In particular, the EU's efforts must be fully in line with and supportive of the principles of international human rights and humanitarian law, and must contribute to fighting impunity for human rights violations.

In addition, in line with the Council Conclusions on conflict prevention of 20 June 2011, the European Commission's 'Agenda for Change' Communication<sup>40</sup> (2011) and Article 2(3)(a) of the IcSP Regulation, this Action will contribute to mainstreaming conflict prevention by mobilising mediation support both in situations of emerging conflict, including to address the priorities identified by the new EU conflict early warning system, as well as where conflict has already broken out, by addressing the resolution of underlying tensions and disputes.

Similarly, in line with the above mentioned Council conclusions on Conflict Prevention, ERMES deployments and activities will benefit from joint conflict risk analyses and be implemented in a conflict-sensitive manner.

The Action shall also whenever relevant harness the role that culture and its stakeholders can play in conflict prevention and resolution initiatives.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The overall objective of this Action is to facilitate EU support to third parties engaged in inclusive peace mediation and dialogue processes at the international, regional or local levels, by *inter alia* providing technical assistance and training, and organising meetings and seminars.

#### **Foreseen results:**

- a) more effective support to peace processes by making available experts and deployable EU mediation capacity and by facilitating third parties mediation activities;
- b) enhanced dialogue on peace mediation and dialogue processes between EU and civil society organisations, in particular the ERMES consortium members;

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<sup>40</sup> COM(2011) 637 final

c) improved coherence of mediation principles, methods and activities and particularly the values and principles of the EU as a global peacemaker, and improved knowledge and recognition of this EU role;

d) Improved capacity to ensure the inclusiveness of peace and dialogue processes, in particular with regard to addressing gender issues in mediation and – where appropriate – specific elements of the Women Peace and Security agenda deriving from UNSCR 1325.

## **4.2 Main indicative activities**

Indicative activities under this Action are as follows:

- To provide access to expertise, including the deployment of peace mediation and dialogue technical experts covering a wide range of thematic and geographic issues at very short notice;
- To provide other forms of technical support through measures such as: a) harmonized and standardized training courses and coaching sessions on peace mediation and dialogue; b) facilitation and/or organisation of events contributing to peace mediation and dialogue processes and to the other foreseen results (e.g. discreet meetings, thematic workshops, seminars or conferences); c) the development of knowledge management products as well as communication materials.

## **4.3 Intervention logic**

Mediation is a way of assisting negotiations between conflict parties and transforming conflicts with the support of an acceptable third party. The general goal of mediation is to enable parties in conflicts to resolve issues of dispute or difference, before they escalate into armed conflict, after the outbreak of violence, and/or during the implementation of peace agreements.

In line with the 2009 Concept on Strengthening EU Mediation and Dialogue Capacities and the 2011 Council Conclusions on conflict prevention, and supportive of the use of mediation as a tool of first response to emerging or ongoing crisis situations, the EU is engaged in the entire spectrum of mediation, facilitation and dialogue processes and has developed a systematic approach, with strengthened mediation support capacity.

Mediation and peace/dialogue processes should also be inclusive, sustainable and gender-sensitive, ensuring that gender concerns are fully met throughout the process in order to meet the long term needs of sustainable peace, which implies the respect of the rights of women, men, girls and boys. It is assumed that deploying the right expertise at the right moment will have a significant impact in supporting mediation/peace and dialogue efforts if such expertise is able to gain the trust and confidence of the national partners.

As EU mediation engagement to a large degree involves different forms of support to other mediation actors, the ERMES tool is of utmost importance in enabling quick and flexible mediation support activities for the benefit of third parties.

# **5 IMPLEMENTATION**

## **5.1 Financing agreement**

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

## 5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 48 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

## 5.3 Implementation modalities

### 5.3.1 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
ERMES II	Services	1	Q2 2016
Evaluation	Services	1	Q3 2016

## 5.4 Indicative budget

	EU contribution (amount in EUR)	Indicative third party contribution, in currency identified
5.3.1 Procurement (direct management) "ERMES II"	2,814,200	N.A.
5.3.1 Procurement (direct management) "Evaluation"	85,800	N.A.
Total	2,900,000	

## 5.5 Organisational set-up and responsibilities

On the EU side, the action is managed by the Commission's Service for Foreign Policy Instruments (FPI) as contracting authority, in close consultation with the relevant Commission services (i.e. DG DEVCO, DG NEAR) and in particular with the EEAS "Conflict Prevention, Peace Building and Mediation Division" which ensures the political steer, as focal point within the EEAS for the co-ordination of the activities outlined in the 2009 Concept on Mediation.

On the contractor side, it is foreseen to set-up a Project Management Unit which will serve as an interface between FPI and the Consortium members, facilitating and optimising the implementation of the Action.

## **5.6 Performance monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

## **5.7 Evaluation**

Having regard to the importance and nature of the action, a mid-term evaluation will be carried out for this action or its components via independent consultants contracted by the Commission.

It will be carried out for problem solving, learning purposes, in particular with respect to a potential third phase of the action.

The Commission shall inform the implementing partner at least 2 months in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

## **5.8 Audit**

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

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

## **5.9 Communication and visibility**

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.4 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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

## APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	To facilitate EU support to third parties engaged in inclusive peace processes at the international, regional or local levels.	<ul style="list-style-type: none"> <li>- Improved design, organisation and implementation of EU-supported mediation processes;</li> <li>- degree of appreciation and knowledge of ERMES by international and national mediation stakeholders</li> <li>- willingness of diverse parties to engage with one another and to contribute to a process aimed at achieving sufficient consensus on contentious issues;</li> <li>- willingness to identify the issues that divide and to reach agreement on resolution between parties;</li> </ul>	<i>Ideally, to be drawn from the partner's strategy</i>	<i>Ideally, to be drawn from the partner's strategy</i>	<ul style="list-style-type: none"> <li>- Individual assignment and project reports</li> <li>- EU's internal documents (incl. from EUDs)</li> <li>- external monitoring or evaluation mission</li> </ul>	<ul style="list-style-type: none"> <li>- The level of crisis/conflict does not prevent the prospect of a peace mediation initiative and the security situation in country allows the provision of support;</li> <li>- The mediation process is in line with the international human rights and humanitarian law and the EU's own normative expectations.</li> </ul>

<p><b>Specific objective(s): Outcome(s)</b></p>	<p>a) more effective support to peace processes through deployable EU mediation support capacity and facilitation of third parties mediation activities; b) enhanced dialogue between EU and civil society organisations, in particular the consortium members; c) improved coherence of mediation principles, methods and activities and particularly the values and principles of the EU as a global peacemaker, and improved knowledge and recognition of this EU role; d) improved capacity to ensure the inclusiveness of peace and dialogue processes, in particular with regard to gender.</p>	<ul style="list-style-type: none"> <li>- Percentage of service requests implemented successfully and in time</li> <li>- Number and quality of exchanges and cooperation between the EU and civil society organisations</li> <li>- Number of third party supportive statements concerning EU role in supporting international peace mediation.</li> <li>- Percentage of ERMES activities that can prove having addressed gender issues in various ways (addressing substantive gender aspects of mediation or percentage of women included in activity both on ERMES and third party sides)</li> </ul>	<p><i>The starting point or current value of the indicator.</i></p>	<p><i>The intended value of the indicator.</i></p>	<ul style="list-style-type: none"> <li>- Individual assignment and project reports</li> <li>EU internal documents</li> <li>- Third party assessments</li> </ul>	<ul style="list-style-type: none"> <li>- Willingness of EU mediation actors to draw on external mediation support capacities.</li> </ul>
<p><b>Outputs</b></p>	<ul style="list-style-type: none"> <li>- Deployment of peace mediation and dialogue technical experts;</li> <li>- provision of harmonized and standardized training courses and coaching sessions</li> <li>- facilitation and organisation of events contributing to peace mediation and dialogues processes,</li> <li>- development of knowledge management products and communication material.</li> </ul>	<p>Number and quality ERMES assignments per activity</p>	<p><i>Idem as above for the corresponding indicator.</i></p>	<p><i>Idem as above for the corresponding indicator.</i></p>		





This action is funded by the European Union

**ANNEX V**

of the Commission Implementing Decision on the 2016 Annual Action Programme for the Instrument contributing to Stability and Peace (IcSP) conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for "Promoting responsible mineral supply chains in conflict-affected and high-risk areas – phase II"**

<b>1. Title/basic act/ CRIS number</b>	Promoting responsible mineral supply chains in conflict-affected and high-risk areas– phase II, financed under Instrument contributing to Stability and Peace. CRIS number: ICSP/2016/39-363			
<b>2. Zone benefiting from the action/location</b>	Global. The action has a global scope, with a particular focus on the African Great Lakes region.			
<b>3. Programming document</b>	Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace			
<b>4. Sector of concentration/ thematic area</b>	Priority (e) under Art.4.1 of IcSP Regulation: Assistance to curb use of natural resources to finance conflicts and to support compliance by stakeholders with initiatives, such as the Kimberley Process Certification Scheme, especially as regards implementation of efficient domestic controls on the production of, and trade in, natural resources			
<b>5. Amounts concerned</b>	Total estimated cost: EUR 3,800,000. Total amount of EU contribution EUR 3,050,000. This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 750,000.			
<b>6. Aid modality and implementation modality</b>	Project Modality Direct Management – Grants - Direct award Direct Management –Procurement of services			
<b>7. DAC code(s)</b>	15520 Civilian peace building, conflict prevention and resolution			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	X

	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	<input type="checkbox"/>	<input type="checkbox"/>	X
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	N/A			

## SUMMARY

This Action aims at promoting responsible sourcing and trading of minerals through the dissemination, adoption and use of the "*OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*".

It builds on the successful implementation of a previous EU contribution to the OECD Initiative for Responsible Mineral Supply Chain under the general budget of the EU<sup>41</sup> and fits in the framework of the "*Integrated EU approach to the responsible sourcing of minerals originating from conflict-affected and high-risk areas*" adopted on 5 March 2014 by the European Commission and the High Representative of the European Union for Foreign Affairs and Security Policy.

## 1 CONTEXT

### 1.1 Sector and Regional context

Since the 1990s, natural resources have often been associated with the financing of armed conflicts and the perpetration of serious abuses of human rights in conflict-affected and high-risk areas (CAHRAs). Conflict financing through mineral extraction and trade is a major impediment to peace, development and growth in mineral producing and transit countries. In the early 2000s, the rise in the international price of gold and other minerals led to increased interference by illegal armed groups particularly with mining operations. Non-state armed groups or public security forces in many regions around the globe are associated with serious abuses of human rights, and fund their activities through a multitude of activities, including through illegal control, taxation or extortion at mines sites, trading routes, and of the entities involved in the production, trade and export of minerals.

While not all illegal exploitation of natural resources contributes to conflict, any economic activity in conflict areas can be subject to illegal taxation and hence, indirectly contribute to conflict financing. Conflict-affected and high-risk areas can furthermore be overly dependent

<sup>41</sup> Under the 2013 Annual Action Programme for the Crisis Preparedness component of the Instrument for Stability, COM (2013) 1655 final

on natural resources as they often lack infrastructure, a precondition for the sustainable economic development of other sectors. Given the context of instability, their value and often fungible nature, minerals are an easy target for direct profiteering by illegal and non-state armed groups.

Non-state armed groups or public security forces in many regions are associated with serious abuses of human rights, and fund their objectives through a multitude of activities, including through illegal control, taxation and extortion of mineral production and trade.

With a view to tackling these issues, the Organisation for Economic Co-operation and Development (OECD) developed the "*Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*" (hereafter the "OECD Due Diligence Guidance") with the active participation of OECD and non-OECD governments, the private sector and civil society, as well as 12 countries of the International Conference on the Great Lakes Region (ICGLR) and the United Nations. The Guidance provides the global business community with a practical, five-step risk-based due diligence framework to help companies ensure they are not directly or indirectly contributing to conflict and/or serious abuses of human rights.

The OECD Due Diligence Guidance is **global in scope**. Companies can use the recommendations to exercise due diligence in any jurisdiction around the world. In addition, the guidance can be used for **any mineral supply chain** although additional tailored recommendations have been developed for actors in the supply chains of tin, tantalum and tungsten (3T) and gold (together referred as "3TG"). The OECD Due Diligence Guidance is consistent with and builds on the *OECD Guidelines for Multinational Enterprises*, and helps companies implement responsible business conduct standards in the minerals supply chain to avoid contributing to conflict and serious abuses of human rights associated with mineral production and trade.

Most implementation activities for the OECD Due Diligence Guidance have focused on the African Great Lakes region. However, given the international nature of the supply chain, the work led by the OECD does not focus exclusively on Central Africa. Stakeholders in other regions are increasingly interested in implementing the OECD Due Diligence Guidance into their mineral supply chains for example in China, Colombia, India and West Africa, as well in trading and processing countries.

- ***Public Policy Assessment and EU Policy Framework***

This Action builds on the successful implementation of a previous EU contribution to the OECD Initiative for Responsible Mineral Supply Chain, funded under the general budget of the EU 2013 Annual Action Programme for the Crisis Preparedness component of the Instrument for Stability<sup>42</sup>.

From a policy point of view, this Action fits in the framework of the "Integrated EU approach to the responsible sourcing of minerals originating from conflict-affected and high-risk areas" adopted on 5 March 2014 by the European Commission and the High Representative of the European Union for Foreign Affairs and Security Policy<sup>43</sup>.

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<sup>42</sup> COM (2013) 1655 final

<sup>43</sup> JOIN (2014) 8 final

The integrated EU approach addresses three main issues: reducing the opportunities for armed groups to trade in tin, tantalum, tungsten and gold (3TG) in conflict-affected areas; improving the ability of EU operators – especially in the downstream section of the supply chain – to comply with existing due diligence frameworks (including the OECD Due Diligence Guidance and Section 1502 of the US Dodd-Frank Act); and reducing distortions in global markets for the aforesaid four minerals sourced from conflict-affected and high-risk areas as is currently the case in the Great Lakes Region in Africa.

The EU approach consists of: a) a draft Regulation of the European Parliament and the Council setting up a Union system for supply chain due diligence self-certification of responsible importers of tin, tantalum and tungsten, their ores, and gold originating in conflict-affected and high-risk areas<sup>44</sup>; b) a joint Communication, which outlines a package of accompanying measures that will enhance the impact of the Regulation and an integrated EU approach.

This Action is part of the integrated EU approach, as the above mentioned package of accompanying measures includes – *inter alia* – the support to the transposition of OECD Due Diligence Guidance into national frameworks, also through development cooperation with governments in producing countries.

- ***Stakeholder analysis***

The dissemination and implementation of the OECD Due Diligence Guidance is supported by a multi-stakeholder 3T and gold forum (Forum) that was established in 2013. This is a pioneering collaborative effort between the governments of producing, processing and consuming countries, the minerals (3T and gold) industry supply chain and civil society that has resulted in shared solutions to promote peace and development through responsible mineral trade.

Over 500 stakeholders from governments (producing, processing and consuming countries at both the regional and national levels), international organisations, the private sector (including companies and industry associations connected to the tin, tantalum, tungsten and gold mineral supply chains), local and international civil society, and experts (including audit, due diligence and consultancy firms, academics and think tanks) regularly take part in the OECD implementation programme on a voluntary basis.

The rationale for this multi-stakeholder approach lies in the complexity of the issues the OECD Due Diligence Guidance seeks to address. While industry takes a leading role in implementing the Guidance, the role of government and international organisations in creating the enabling conditions of law, enforcement, security, and funding this initiative, is equally essential. Local and international civil society monitors the conditions of resource extraction and trade, as well as company activities, disseminating information on risks and building local capacity and awareness.

The OECD Secretariat is responsible for administering the implementation programme of the OECD Due Diligence Guidance, and acts as a convener, facilitator and enabler of responsible business conduct practices. The Secretariat oversees all aspects of project management, including stakeholder relationships, reporting on progress to the OECD Council and donors. The Secretariat is also viewed as the expert for detailed explanations of the applicability of the

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<sup>44</sup> Commission proposal to Parliament and the Council COM (2014) 0111

OECD Due Diligence Guidance and related OECD instruments and concepts in responsible business conduct. The Secretariat leads informal stakeholder working groups to promote implementation of the OECD Due Diligence Guidance, commissions working papers and baselines on the state of due diligence activities around the world and provides technical assistance and training to partners and organises Forum meetings.

On the EU side, the launch of the "integrated approach" (mentioned in para 1.1.1) had been preceded by a detailed stakeholder consultation, yielding 300 responses from companies, trade associations and NGOs, and informing the EU decision-making process.

- *Priority areas for support/problem analysis*

Companies involved in mining and trade in minerals have the potential to generate income, contribute to growth and prosperity, sustain livelihoods and foster local development. However, companies may be at risk of contributing to or being associated with adverse impacts, including serious human rights abuses and conflict through their mineral producing, trading or procurement practices.

The purpose of the OECD Due Diligence Guidance is to help companies **respect human rights** and **avoid contributing to conflict** through their sourcing decisions. By doing so, it will help companies **contribute to sustainable development** and **source responsibly** from conflict-affected and high-risk areas, while creating the enabling conditions for **constructive engagement** with suppliers.

**2 RISKS AND ASSUMPTIONS**

Risks	Risk level (H/M/L)	Mitigating measures
<b>Engagement from non-adherent countries begins to wane</b>	Moderate	<p>The Outreach and Engagement component includes many practical activities aimed at non-adherent countries who are important players in the minerals supply chain such as China, India and the West Coast of Africa. By working closely with in-country partners, the Action will ensure that the OECD Due Diligence Guidance is relevant to the specific cultural and economic context.</p> <p>The OECD Secretariat will continue to work at the political level as appropriate with OECD partner countries such as China and India.</p>
<b>Progress implementing on-the-ground due diligence programmes for gold remains limited</b>	High/Moderate	Gold presents specific challenges due to the nature of the commodity and its high value-to-volume ratio. On-the-ground initiatives have yet to legally export artisanal-mined gold from Africa’s Great Lakes Region in line with the OECD Due Diligence

		<p>Guidance and the political will to address smuggling and limit the incentives to smuggle remains mixed. All stakeholders agree that progress needs to be achieved in the gold supply chain, as gold remains one of the main sources of financing for armed groups, according to a recent UN report<sup>45</sup>.</p> <p>Specific activities will target the gold supply chain including close collaboration with the DRC government, the International Conference of the Great Lakes Region (ICGLR), relevant implementation stakeholders as well as international donors active in the region such as the EU, US and others.</p>
<b>Political instability in the Great Lakes Region and in West Africa</b>	High/Moderate	<p>A politically stable climate in the Great Lakes and West Africa regions is a pre-requisite to allow the implementation programme to move forward.</p> <p>To mitigate this risk, the implementation programme focuses on capacity building and technical support to the ICGLR, national governments and local stakeholders to ensure that local capacities can relay the action of the wider implementation programme in case international development projects are jeopardized.</p>
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>• <b>Continued political leadership:</b> Leadership from the highest political levels (national, as well as regional, including G7, G20, UN and EU) will help drive industry action and regulatory interventions;</li> <li>• <b>Continued consumer pressure and civil society monitoring:</b> Consumer campaigns by local and international civil society create pressures on governments and industry to take action on responsible mineral sourcing;</li> <li>• <b>New regulatory interventions:</b> Regulatory interventions will have a major impact in terms of raising awareness of and promoting industry engagement in responsible mineral supply chains. Regulation has also proved valuable in engaging non-adherent countries</li> </ul>		

<sup>45</sup> UNEP-MONUSCO-OESG. 2015. Experts' background report on illegal exploitation and trade in natural resources benefitting organized criminal groups and recommendations on MONUSCO's role in fostering stability and peace in eastern DR Congo. Final report - April 15th 2015.

and industries based therein;

- **Continued good cooperation and buy-in from mineral producing countries in the Great Lakes region:** African Great Lakes countries will show leadership and be deeply involved in the development and implementation of the OECD Due Diligence Guidance, the ICGLR Regional Initiative against the illegal exploitation of Natural Resources (RINR), and industry programmes on the ground;
- **Continued industry and stakeholder involvement in standard setting and implementation:** The OECD Forum will provide a platform for industry, civil society and other experts to become directly involved in the development and implementation of the OECD Due Diligence Guidance. Continued engagement will help ensure that responsible mineral sourcing efforts have broad industry buy-in.

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### 3.1 Lessons learnt

**Strengthen regulatory and policy coherence and interventions on responsible mineral supply chains.** National and regional regulatory interventions should be aligned with the OECD Due Diligence Guidance. This includes support for creating economic and development opportunities for artisanal and small-scale miners, recognizing the crucial expectation for companies to make progressive improvement in supply chain due diligence using reasonable and good faith efforts, and supporting auditing practices at identified 'choke points', to avoid duplication and unnecessary costs.

**The engagement of non-adherent countries requires continuous communication and follow-up efforts and active involvement of affected industries.** It is important to capitalise on demand from local industry (both foreign and national companies active internationally) for alignment to international standards. This has been the experience in China. In addition, the capacity of the OECD Secretariat to react to non-adherent country requests for feedback on issues of responsible sourcing in the minerals supply chain, and demonstrate a willingness to develop tools which meet the needs of in-country stakeholders all help to practically promote strong engagement from non-adherent countries.

**Impact on the ground needs to be further demonstrated.** The impact on artisanal mining communities in producing areas needs to receive specific attention. This is crucial to demonstrate that international regulations and initiatives developed to implement the OECD Due Diligence Guidance promote private sector engagement in conflict-affected and high-risk areas to support peace and economic development.

**Outreach activities and training must be practical in nature.** A key challenge in embedding responsible conduct remains how to operationalise normative standards in responsible business conduct. There is a need for the OECD Secretariat to continue developing a range of tools to bring the message of the OECD Due Diligence Guidance to stakeholders at government and industry levels.

**Consider developing a network of implementation partners on the ground to deliver trainings.** In the previous phase of the EU contribution, the OECD used a "Train the Trainer" approach to disseminate training on the OECD Due Diligence Guidance. While this approach was useful, it is still limited in scale with little continued accountability for trainings to take place. One option is to work closely with 1-2 implementation partners on the ground to train

them to carry out additional training during the next phase. The OECD Secretariat would manage the relationship, and provide quality control and oversight.

### **3.2 Complementarity, synergy and donor coordination**

The OECD Due Diligence Guidance is widely recognised as the benchmark for several due diligence regulations and initiatives (i.e. the US Dodd-Frank Act, the EU draft Regulation, the ICGLR's RINR<sup>46</sup>). The Secretariat also regularly liaises with relevant bodies working on the issues of illicit financial flows, illicit trade and money laundering. The OECD is best placed to facilitate the coordination of donors' activities, in particular in producing countries, where capacity is the lowest, and the risk of duplication always high. The OECD has for example organised a side meeting on donor coordination during the 9<sup>th</sup> OECD-ICGLR-UN GoE meeting in Paris, in May 2015. The OECD is also promoting coordination amongst implementing agencies in the African Great Lakes region working on the development of mine-to-markets initiatives in the gold sector. Finally, the OECD is also working with other implementing agencies, in particular with Partnership Africa Canada, and to share and align training materials on the OECD Due Diligence Guidance.

The implementation of the OECD Due Diligence Guidance and the ICGLR's RINR is part of a wider, global dynamic to push for enhanced transparency and governance in the extractive sector. As an example, the World Bank's department for "Energy & Extractives" supports several activities and projects in the field of extractive industries (such as the set-up of an African Mineral Legislation Atlas and the elaboration of an Artisanal & Small Scale Mining database) and contributes to the functioning of the Extractives Industry Transparency Initiative (EITI). In this respect, it is to be noted that this Action is complementary to the EITI, also supported by the EU, and several ICGLR Member States are now recognised as EITI 'compliant' countries.<sup>47</sup>

On the EU side, this Action is part of the integrated approach on the responsible sourcing of minerals originating in conflict-affected and high-risk areas that is complementary with several initiatives aimed at curbing the link between the illegal exploitation of natural resources and conflict. In particular:

- the EU's strategy to support developing countries' efforts to eradicate poverty as outlined in the 2011 Agenda for Change Communication.
- the EU strategy on access to raw materials, as outlined in the Raw Materials Initiative and the European Innovation Partnership on Raw Materials.
- the EU Corporate Social Responsibility (CSR) Strategy, which promotes responsible business conduct, in particular with respect to compliance with internationally agreed CSR principles and guidelines such as the OECD Guidelines for Multinational Enterprises and the 2011 UN Guiding Principles on Business and Human Rights.
- the support to the African Mining Vision endorsed by the African Union in 2009 to ensure a transparent, equitable and optimal exploitation of mineral resources as well as its implementing body, the African Minerals Development Centre and to the implementation

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<sup>46</sup> The International Conference of the Great Lakes Region's Regional Initiative against illegal exploitation of Natural Resources.

<sup>47</sup> i.e. the Democratic Republic of Congo, the Republic of Congo, Tanzania, and Zambia – the Central African Republic currently being suspended.



in the region of global responsible sourcing initiatives on conflict diamonds, transparency and forestry products (KPCS<sup>48</sup>, EITI, CITES<sup>49</sup>)

- as concerns the Great Lakes Region, the Joint Communication on a "Strategic framework for the Great Lakes Region" outlining a coherent and comprehensive EU approach at regional, national and local level to the different roots of the crisis and the support to the ICGLR's Regional Initiative on Natural Resources through funds from the Instrument for Stability.
- the "EU-UN Partnership on land, natural resources and conflict prevention", supported by the EU in 2008-2014 through the Instrument for Stability and through which joint assistance was provided to third countries to prevent and address natural resources related conflicts.
- the efforts to promote adherence to EITI in Asia and the Pacific.
- the dialogue with the Andean countries on extractive industries and responsible sourcing.

### 3.3 Cross-cutting issues

**Gender mainstreaming:** The OECD is committed to gender mainstreaming, and takes measures designed to ensure gender balance in the hiring of new staff and consultants.

At the level of the action, gender mainstreaming is mainly addressed through the artisanal and small-scale mining (ASM) Hub work. Approximately 30% of the world's artisanal miners are women who occupy a number of roles ranging from labour-intensive mining methods to the processing aspect of artisanal mining, including amalgamation with mercury in the case of gold extraction. Women are also well represented at the Multi-stakeholder Steering Group (MSG)<sup>50</sup>, holding key leadership roles. In addition women are strongly represented in the MSG (close to 40%, including those representing their stakeholder group or country. During the Forum meetings, funding is provided to civil society, with a view to ensuring that CSOs representing issues pertaining to women, girls and boys including risks to their health and of sexual violence are encouraged to attend.

## 4 DESCRIPTION OF THE ACTION

The main objective of the Action is to **promote responsible sourcing and trading of minerals through the dissemination, adoption and use of the OECD Due Diligence Guidance.**

The rationale for this approach lies in the multiple stakeholders involved in implementing responsible supply chains, the complexity of operating a business responsibly in conflict-affected and high-risk areas (CAHRAs), assuming that companies can be a force for inclusive development and growth and the need for a practical and reasonable approach/standard which companies can implement.

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<sup>48</sup> Kimberley Process Certification Scheme

<sup>49</sup> Convention on International Trade in Endangered Species of Wild Fauna and Flora.

<sup>50</sup> See section 5.5 for more details

## 4.1 Objectives

The two **overarching objectives** for this Action are:

O1 – To contribute to **peace-building and stabilization efforts** of and within mineral-rich fragile areas through the promotion of responsible sourcing and trading of minerals.

O2 – To contribute to **economic development, poverty alleviation and peaceful coexistence** between large-scale mining companies and artisanal and small-scale communities, through the promotion of (**innovative approaches to**) responsible private sector engagement in the mineral sector and the creation of market opportunities for minerals from legitimate artisanal sources).

In terms of **specific objectives**, the Action aims at:

SO1 - Improving **global capacity** to mitigate the illicit financing of armed conflict via the extraction and trade of minerals **through market-based solutions, building due diligence capacity, awareness, trust and mutual confidence** among stakeholders;

SO2 - Maximizing the **private sector's contribution** to peace, security and sustainable development in conflict and high-risk areas by **sharing experiences and lessons learnt** on due diligence implementation by companies, industry associations and artisanal and small-scale mining enterprises, as well as by promoting and disseminating the OECD Due Diligence Guidance on outreach activities;

SO3 - Improving **the capacity of host countries' authorities** in conflict-affected and high-risk areas to regulate, control and tax the production and trade of natural resources.

These specific objectives are reflected in the following **expected results**:

R1 – **Improved global understanding** of how due diligence is implemented including the promotion of the **OECD standards and use of the OECD Due Diligence Guidance as a common global reference** for responsible mineral sourcing by relevant stakeholders, including host countries' authorities in conflict-affected and high-risk areas.

R2 – **Increased number in geographic location (breadth) and types** (expanding beyond Multinational Enterprises (MNEs) to Small and Medium Enterprises (SMEs)) **of companies** implementing the OECD Due Diligence Guidance, including in non OECD countries, in particular China, India, West Africa and United Arab Emirates. This should be complemented by an increase in the number of market-based solutions and models to build secure supply chains, by the private sector, including from artisanal and small-scale gold mine sites.

R3: **Increased involvement and ownership from mineral producing countries** in the implementation of the OECD Due Diligence Guidance and associated government-led programmes for the mining sector.

## 4.2 Main activities

In light of the above mentioned objectives and results, the following indicative activities will be implemented:

1. **Outreach and Training**, which will include:

- The organisation of a multi-stakeholder Forum and other meetings every year;

- Communication and dissemination programmes on the OECD Due Diligence Guidance in countries where awareness needs to be raised and adherence encouraged (for example China, Colombia, India, Myanmar, West Africa etc.), including for example the translation of the guidance into relevant languages;
  - Capacity-building for companies (with an emphasis on SMEs) and other stakeholders on due diligence and the 5 step framework of the OECD Due Diligence Guidance;
  - Technical assistance and support to authorities, industry and local implementation partners to conduct training and other awareness activities, as well as on EU activities and programmes to promote Responsible Mineral Supply Chains in the region.
2. **Research and Analysis**, including on:
    - Gold /other minerals baseline assessments/other research;
    - Supporting regional and national investment policy reviews, particularly in mining and the artisanal and small-scale sector, in view of strengthening the regulatory and policy environment and promoting a responsible and legitimate artisanal mining sector;
    - Development of materials for industry associations on how to embed OECD Due Diligence Guidance into industry activities beyond 3TG;
    - Measuring impact of responsible sourcing initiatives on the ground in collaboration with 3<sup>rd</sup> parties.
  3. **Peer Learning and Knowledge Sharing exercises**, focusing for example on artisanal and small-scale mining (ASM), SMEs implementation of the OECD Due Diligence Guidance, facilitation of uptake of the EU responsible importer certificate, auditor training roundtable.
  4. **Market Oriented Activities**, including technical assistance to develop entry standards that focus on ensuring minimum compliance in areas such as mining rights, financing of conflict and the worst forms of child labour, to allow enhanced market access for artisanal and small-scale gold mining (ASGM) from conflict-affected and high-risk areas; coordination and support on harmonization and alignment of industry initiatives to the OECD Due Diligence Guidance – as a follow up to alignment assessment work.

### 4.3 Intervention logic

The OECD Due Diligence Guidance was designed with the principle of harnessing responsible investment and trade to drive change and create a peace dividend. The guidance is intended to cultivate transparent mineral supply chains and sustainable corporate engagement in the mineral sector with a view to enabling countries to benefit from their natural mineral resources and provide the global business community with a practical framework to help companies ensure they are not directly or indirectly contributing to conflict and/or serious abuses of human rights, comply with natural resource sanctions, avoid money laundering, illicit financial flows through mineral production and trade. As indicated in section 4.1, the promotion of responsible sourcing and trading of minerals in conflict-affected and high-risk areas can help contribute to peace-building and stabilization efforts of and within mineral-rich fragile areas as well as to economic development, poverty alleviation and peaceful coexistence between large-scale mining companies and artisanal and small-scale communities.

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

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

### **5.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### **5.3 Implementation modalities**

#### *5.3.1 Grant: direct award (direct management)*

##### **(a) Objectives of the grant, fields of intervention, priorities of the year and expected results**

As specified in section 4.1 above, the overall objective of this action is to promote responsible sourcing and trading of minerals through the dissemination, adoption and use of the OECD Due Diligence Guidance. In particular, the Action aims at contributing to peace-building and stabilization efforts as well as to economic development and poverty alleviation in mineral-rich fragile areas through the promotion of responsible sourcing and trading of minerals.

In line with the above, the expected results of this action are as follows: a) improved global understanding of due diligence; b) increased geographic breadth and types of companies implementing the OECD Due Diligence Guidance, including in non-OECD countries; c) increased involvement and ownership from mineral producing countries in the implementation of the OECD Due Diligence Guidance and associated government-led programmes for the mining sector.

##### **(b) Justification of a direct grant**

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the OECD.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because of the OECD's technical expertise in the sector of responsible sourcing and trading of minerals. The OECD Due Diligence Guidance is indeed widely recognised as the global benchmark for due diligence initiatives, including by the "*Integrated EU approach to the responsible sourcing of minerals originating from conflict-affected and high-risk areas*". In view of its expertise and the role of the OECD Secretariat as coordinator of the implementation of its Due Diligence programme, the OECD stands clearly as the best positioned implementing partner for the EU on this action.

##### **(c) Essential selection and award criteria**

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 80% of the eligible costs of the action.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(f) Indicative trimester to conclude the grant agreement

Q3 2016.

**5.3.2. Procurement (direct management)**

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Evaluation	Service	1	3 <sup>rd</sup> trimester 2016

**5.4 Indicative budget**

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in EUR</b>
5.3.1. – Direct grant (OECD) (direct management)	3,000,000	750,000
5.73.2 – Procurement (direct management)	50,000	N.A.
<b>Totals</b>	<b>3,050,000</b>	<b>750,000</b>

**5.5 Organisational set-up and responsibilities**

As mentioned in Section 1.1.2, the initiative on "*Due Diligence for Responsible Mineral Supply Chains*" is supported by a multi-stakeholder 3T and gold forum (Forum) which gathers on a voluntary basis governments of producing, processing and consuming countries, the minerals industry supply chain, civil society as well as international organisations and individual experts.

The implementation programme's governance and leadership body is the Multi-stakeholder Steering Group (MSG), whose chair is an Adherent (government) to the OECD Due Diligence Guidance. For the past two years, Canada has been the chair of the MSG. The

European Union is likely to chair the MSG in 2016 (this should be confirmed shortly – during the 1<sup>st</sup> Quarter 2016) and – as such – also to chair the annual/bi-annual Forums. In addition, several services of the European Commission (e.g. FPI, DG Trade, DG GROWTH, DG DEVCO) and the European External Action Service participate regularly both to the Forum's annual meetings and to the regular MSG meetings.

Civil society also plays an important role in monitoring and disseminating information on risk. Civil society is also well-represented in the MSG and to further encourage its engagement in the programme, the OECD routinely sponsors the involvement of CSOs in the Forum, including on low-represented groups such as women and children.

## **5.6 Performance monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) or the list of result indicators (for budget support). The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

## **5.7 Evaluation**

Having regard to the nature of the action, a mid-term evaluation will be carried out for this action or its components contracted by the Commission.

It will be carried out for problem solving and learning purposes, in particular with respect to the lessons learned during the previous phase of the EU support to the OECD initiative on Responsible Mineral Supply Chain, on which the second phase could capitalise.

The Commission shall inform the implementing partner at least two months in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

## **5.8 Audit**

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

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

## **5.9 Communication and visibility**

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.4 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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

– APPENDIX - Indicative Logframe matrix (for project modality) <sup>51</sup>

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	<b>Results chain</b>	<b>Indicators</b>	<b>Baselines</b> (incl. reference year)	<b>Targets</b> (incl. reference year)	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Overall objective: Impact</b>	<p>O1 – Contribute to peace-building and stabilization efforts of mineral-rich fragile areas through the promotion of responsible sourcing and trading of minerals.</p> <p>O2 - “Contribute to economic development, poverty alleviation and peaceful coexistence between large-scale mining companies and artisanal and small-scale communities, through the promotion of responsible private sector engagement in the mineral sector.</p>	<p>- Increase in actions to support implementation of the OECD DDG, as well expressions of support for the use of the OECD DDG from international institutions and global groupings including the UN, G7, G20, EU, ILO;.</p> <p>- Increase in the number of producing countries/CAHRAs and mineral stakeholders who are aware of and familiar with concepts of responsible sourcing and the OECD DDG;</p> <p>- The nature and form of the due diligence measures carried out by companies</p>	<i>Ideally, to be drawn from the partner's strategy</i>	<i>Ideally, to be drawn from the partner's strategy</i>	<p>- National Contact Point reports on adherent country actions to promote OECD</p> <p>- Reports written by 3<sup>rd</sup> party consultants, case studies, information from industry associations</p> <p>- UN Group of Experts reports, civil society reports, ICGLR reports, certification scheme reports etc</p>	<p>Continued engagement by all stakeholders in the 3T and gold supply chains</p> <p>Ability of local and central government agencies to provide reliable, verifiable and up-to-date information on mineral extraction, trade and handling, as well as the presence of armed groups.</p>

<sup>51</sup> Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'.



		<p>supplying or buying minerals from conflict-affected and high-risk areas.</p> <ul style="list-style-type: none"> <li>- Specific reference to the OECD DDG and international frameworks in company and industry statements/tools/policies on responsible sourcing from high-risk areas and increased number of companies committed to engage in CAHRA .</li> <li>- Tracking of official exports of responsible minerals (3TG) from CAHRAs.</li> <li>- The nature and form of information generated by local and central governmental agencies in producing countries on the circumstances of mineral extraction, trade, handling and export, as well as on the presence and behaviour of armed groups.</li> </ul>				<p>Engagement of cooperatives and the artisanal mining community in understanding the concepts of due diligence and implementing the Guidance in their operations</p> <p>Donor governments, international organisations, private sector and civil society continue to support the Due Diligence programme.</p>
Specific objective(s): Outcome(s)	SO1: Improve global capacity to mitigate the illicit financing of armed conflict through the extraction and trade of minerals;	<p>SO1: Indicator 1: Number and quality of collaborative solutions developed as a result of broad engagement in the minerals Implementation Programme.</p> <p>SO1: Indicator 2: Uptake of</p>	<i>The starting point or current value of the indicator.</i>	<i>The intended value of the indicator.</i>	Forum attendance lists, MSG calls participation, number of sub-groups and sub-meetings led by stakeholders, Forum /MSG participants' experience and	SO1: Innovative solutions proposed via the Forum are able to be implemented and scaled-up effectively.

	<p>SO2: Maximize the private sector's contribution to peace, security and sustainable development in conflict and high-risk areas;</p> <p>SO3: Improve the capacity of host countries' authorities in conflict-affected and high-risk areas to regulate, control and tax the production and trade of natural resources,.</p>	<p>OECD Guidance by non adherent countries and their industry members SO2: Indicator 1: Number of companies and industry associations engaged in the Forum, the implementation programme and related work streams; SO2: Indicator 2: Number and quality of trainings and webinars, case studies and tools developed by industry and adherent country governments to help operationalise the OECD Guidance, including those focused SMEs</p> <p>SO3: Indicator 1: Number of national or regional legislation aligned with the OECD DDG in high-risk conflict geographies beyond Central Africa such as West Africa, Latin America, Southeast Asia etc. SO3: Indicator 2: The number of mineral statistics systems in place per country (monitoring of mineral data)</p>			<p>feedback, Forum agendas Review of Guidance implementation tools available before and after the implementation programme. Feedback from industry associations</p>	<p>SO2: Continued engagement and support from the private sector to participate in the implementation programme which is voluntary, is sustained and strengthened</p> <p>SO3: Host countries continue to implement the Regional Certification Mechanism into national legislation and harmonise across the Great Lakes region in alignment with ICGLR frameworks.</p>
<b>Outputs</b>	R1 – <b>Improved global understanding</b> on due diligence	1.1 “Indicator 1”: Number and quality of collaborative tools and materials created via the implementation programme (R1)	<i>Idem as above for the corresponding indicator.</i>	<i>Idem as above for the corresponding indicator.</i>	Source 1.1: OECD Secretariat, MSG, particular industry association Forum members	

	<p>R2 – <b>Increased number in geographic location (breadth) and types (expanding beyond MNEs to SMEs) of companies implementing the OECD Guidance.</b></p> <p>R3: <b>Increased involvement and ownership from mineral producing countries</b> in the implementation of the OECD Guidance and associated government-led programmes for the mining sector..</p>	<p>1.2 “Indicator 2”: Quality of solutions to implementation problems, identified, addressed and supported by the Forum, including tools/models to implement Appendix 1 (R1)</p> <p>2.1 “Indicator 1”: Number of companies self-reporting that they are implementing the OECD Guidance (R2)</p> <p>2.2 “Indicator 2”: Number of new companies (year on year) participating in peer learning webinars – materials, attending Forums and or attending peer learning webinars (R2)</p> <p>3.1: Indicator 1: The quality of mineral statistics generated by each country and shared across the region (s)</p> <p>3.2: Indicator 2: Amount of minerals (kg) collected through regional certification schemes like the ICGLR</p> <p>3.3: Indicator 3: Reduction in number of smuggling/cross border issues pertaining to gold and 3Ts</p>			<p>Source 1.2: Feedback from civil society advocacy groups and external international experts like the UN Group of Experts.</p> <p>Source 2.1: Industry Association Forum members, SEC filings, external reports by 3<sup>rd</sup> party consultancies</p> <p>Source 2.2: Analysis of Forum participation, Webex registration and attendance reports, OECD website statistics</p> <p>Source 3: ICGLR Secretariat, other national and regional government groupings 3<sup>rd</sup> party auditors, UN Group of Experts reports, Source 3.2: Reports by the OECD Investment and Development Assistance Committees</p>	
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This action is funded by the European Union

**ANNEX VI**

of the Commission Implementing Decision on the Annual Action Programme 2016 for the Instrument contributing to Stability and Peace – Conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for Provision of expertise to support security sector governance and reform**

<b>1. Title/basic act/ CRIS number</b>	Provision of expertise to support security sector governance and reform, financed under Instrument contributing to Stability and Peace CRIS number: ICSP/2016/39-363			
<b>2. Zone benefiting from the action/location</b>	Global.			
<b>– 3. Programming document</b>	Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace.			
<b>4. Sector of concentration/ thematic area</b>	Priority (d) under Art. 4.1 of IcSP Regulation: improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation, in conjunction with Art. 4.2 (c) stipulating that measures may include technical and financial assistance for the implementation of peace-building and State-building support actions.			
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,050,000. Total amount of EU budget contribution EUR 2,050,000.			
<b>6. Aid modality and implementation modality</b>	Project Modality Direct management – procurement of services			
<b>7. DAC code</b>	15210 – Security system management and reform			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	x

	Aid to environment	x	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	x	<input type="checkbox"/>
	Trade Development	x	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	x	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	x	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagship</b>	N/A			

## SUMMARY

Instability and emerging and actual crises are on the rise across the world and most notably in the EU's direct neighbourhood. As one of the leading international actors in promoting peace, security and sustainable development, the EU needs to take this into account when engaging with third countries and regions and when planning support for reform of security sectors in the context of enhancing greater respect for rule of law and human rights. Therefore, supporting Security Sector Reform (SSR) is an important activity where the EU can contribute to conflict prevention and state-building while also strengthening institutions in partner countries to better meet the security needs of their own populations.

Ensuring the sustainable reform of the security sector in conflict, post-conflict and fragile countries and regions will be critical for the long term success of EU efforts to promote peace and security globally. Across all geographic regions, governments, international partners, donors and civil society are increasingly aware of the complexities involved in launching forward-looking and inclusive national discussions on the reform of security sector involving all national actors and agencies responsible for defence, law enforcement, justice, corrections, intelligence services, border management, customs, budgetary control, audit and financial management as well as the competent legislative and executive authorities and civil society.

Further to the Joint Communication on capacity-building in support of security and development (JOIN (2015)17) and the subsequent Foreign Affairs (Defence) Council of 18 May 2015 and to enhance the impact and sustainability of EU support to SSR, an "EU-Wide Strategic Framework on SSR support" is currently being developed by the European External Action Service and the European Commission services to guide the EU in its efforts. The proposed measure, through the SSR expertise it will mobilise, is expected to contribute to the implementation of this new policy. In particular, it will focus on promoting national ownership, developing joint analyses and national strategies, developing risk assessments and

enhancing monitoring and evaluation frameworks, as highlighted in the roadmap published on 14 December 2015<sup>52</sup>.

An adequate planning of national resources and international assistance to advance security sector reform particularly in post-conflict contexts requires a flexible approach whereby specific technical expertise is provided to facilitate and support national policy processes, reform-dialogue and inclusive discussions to ensure that current and future national commitments and international contributions are scheduled to best meet the outcomes of the former, thereby laying the foundations for long term and viable implementation of agreed SSR processes.

The objective of the action is to support and sustain inclusive national SSR processes including dialogue on security sector governance and reform in conflict, post-conflict and fragile countries. This will be achieved by providing technical expertise to support and underpin national policy planning, implementation and dialogue on SSR, and ensuring that gender concerns are fully met within SSR dialogue and planning processes in order to meet the long term security needs and rights of women, men, girls and boys.

## **1 CONTEXT**

### **1.1 Sector context/Thematic area**

#### *1.1.1 Public Policy Assessment and EU Policy Framework*

Instability and emerging and actual crises are on the rise across the world and most notably in the EU's direct neighbourhood. As one of the leading international actors in promoting peace, security and sustainable development, the EU needs to take this into account when engaging with third countries and regions and when planning support for reform of security sectors in the context of enhancing greater respect for rule of law and human rights. Therefore supporting SSR is an important activity where the EU can contribute to both conflict prevention and state-building while also strengthening institutions in partner countries to better meet the security needs of their own populations. To create stable and peaceful societies in the long term, improved governance, rule of law and greater respect for human rights must be prioritised within the SSR process.

The EU is increasingly promoting and supporting the legitimacy, accountability and effectiveness of the security sector of partner countries. This is done to enhance their capacity to deal in a democratic way with the new security challenges they are facing and that also affect the EU, such as terrorism and transnational crime. Moreover, in fragile countries, the EU promotes and supports SSR (to enhance in particular the legitimacy and representative character of the defence and security forces) as an important conflict prevention measure and in post-conflict countries, as an essential component of both peace-building and state-building.

To enhance the impact and sustainability of EU support to SSR and further to the Foreign Affairs (Defence) Council of 18 May 2015, an "EU-Wide Strategic Framework on SSR support" is currently being developed by the European External Action Service and the

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<sup>52</sup> [http://ec.europa.eu/smart-regulation/roadmaps/docs/2016\\_eas\\_001\\_cwp\\_security\\_sector\\_reform\\_en.pdf](http://ec.europa.eu/smart-regulation/roadmaps/docs/2016_eas_001_cwp_security_sector_reform_en.pdf)

European Commission services to guide the EU in its efforts. The proposed measure, through the SSR expertise it will mobilise, is expected to contribute to the implementation of this new policy. In particular, it will focus on promoting national ownership, developing joint analyses and inclusive national strategies, developing risk assessments and enhancing monitoring and evaluation frameworks, as highlighted in the roadmap published on 14 December 2015<sup>53</sup>. In so doing, the measure will facilitate potential longer term EU assistance to SSR via its external financing instruments mentioned in 3.2 below.

UNSCR 1325 (2000) on Women, Peace and Security to which the EU and its Member States have fully subscribed<sup>54</sup>, emphasises the key role of women in all efforts to maintain peace and security including peace processes while UNSCR 1888 (2009) specifically identifies the need to address sexual violence as part of SSR initiatives urging that SSR be included in all UN peace negotiation agendas including arrangements for their implementation. Most recently, Resolution 2151 (2014) further emphasises the participation of women as central to bring about and realise security sector reform processes.

Developing a gender responsive SSR will enhance the security sector's ability to cope with key post-conflict security issues, such as the frequently high levels of public and private violence that women and girls experience during and after conflict; the role of post-traumatic stress and shifting gender roles in perpetuating violence; the link between community and intra-family violence and the often underutilised role of women and girls in promoting peace and reconciliation at the local level.

### *1.1.2 Stakeholder analysis*

The main stakeholders are all relevant national stakeholders, state and relevant non-statutory security actors of the security and justice sector. This includes security and justice providers such as law enforcement agencies, courts and tribunals as well as those responsible to manage and oversee these providers such as the Ministries of Defence, Internal Security, Justice, Parliaments, Ombudsman, Human Rights Commissions, women associations, youth and community associations, and other relevant civil society organisations.

Moreover, other stakeholders would be the EU Member States, international donors, universities and think-tanks, wider international civil society actors.

### *1.1.3 Priority areas for support/problem analysis*

There needs to be a solid consensus on SSR based on inclusive national dialogue in order to achieve lasting results. Such a consensus is also a pre-requisite for international support to be successful and to create, for instance, good conditions for future deployment of the EU and other instruments in support of long term SSR (including the African Peace Facility under the European Development Fund<sup>55</sup>, the Development Cooperation Instrument<sup>56</sup> and the European Neighbourhood Instrument<sup>57</sup>). This action will only act as the catalyst to this process.

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<sup>53</sup> [http://ec.europa.eu/smart-regulation/roadmaps/docs/2016\\_eas\\_001\\_cwp\\_security\\_sector\\_reform\\_en.pdf](http://ec.europa.eu/smart-regulation/roadmaps/docs/2016_eas_001_cwp_security_sector_reform_en.pdf)

<sup>54</sup> "Commitments of the European Union and its Member States" at the occasion of an Open Debate at the UN Security Council, 13 October 2015 - 15th anniversary and High-level Review of UNSCR 1325 on Women, Peace and Security.

<sup>55</sup> Council Regulation (EU) 2015/323, *OJ L* 58, 3.3.2015, p. 17–38

<sup>56</sup> *Regulation (EU) No 233/2014*, *OJ L* 77, 15.3.2014, p. 44–76

<sup>57</sup> *Regulation (EU) No 232/2014*; *OJ L* 77, 15.3.2014, p. 27–43

## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Lack of political will at senior decision making levels within the governments of partner countries.	M	EU Delegations will provide good offices to lobby government counter-parts, include SSR in their political dialogue and engage other international actors including the UN system to support the goals of the project- and related EU initiatives.
Distrust, suspicion and possible lack of involvement by the national stakeholders and difficulties with engagement. The security sector is particularly sensitive and the governments of partner countries may be reluctant to engage in cooperation in this sector with external actors. Credibility, trust and partnership are the result of a long dialogue and collaboration process that cannot easily be achieved with short term missions.	M	The implementing partner will not only require a high degree of SSR expertise, but also a high level of credibility with many partner countries including established channels of contact (directly or through regional organisations such as the AU). SSR support should be based on securing a high level of trust between the national stakeholders and the SSR expertise provider thereby maximising the effectiveness of this EU expertise.
Lack of collaboration with other international SSR support actors, which would negatively impact the objective of donor coordination.	L	The implementing partner needs to establish a significant level of credibility and legitimacy among international actors such as the UN, regional organisations and bilateral donors. EU Delegations will play a key role in ensuring consultation with EU Member States and other international partners.
Lack of capacity of oversight institutions such as the parliaments or ombudsman offices and CSO, in particular women's organisations, to engage in SSR processes.	M	Capacity building of oversight institutions and of the oversight and advocacy functions of CSOs (in particular women's organisations) will be a priority area of intervention.
Lack of security and high levels of instability in focus countries.	L	EU Delegations will consult closely with the UN Department of Security and Safety and other security actors to ensure that project partners and beneficiaries minimise any potential security risk that would jeopardise the activities to be implemented. The implementing partner will foresee security related measures according to the security context and level of threat.



## Assumptions

- Timely deployment of expertise in order to provide expected support;
- Sufficient level of stability, security and safety for the expert/s to be able to provide expected support;
- Sufficient level of national ownership in order for the expertise to be deployed usefully and in a timely manner;
- Sufficient national commitment to implement the WPS Agenda and in particular UNSCR 1325, 1888, 2151 in order to ensure the meaningful and inclusive participation of women in SSR processes.

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### 3.1 Lessons learnt

- Over the years of EU support to SSR a number of programme specific or thematic evaluations<sup>58</sup> and reviews have been conducted covering a wide range of EU instruments and tools. These evaluations and reviews have called for among other things the need for increased national ownership, better gender mainstreaming in design and implementation and better anchoring of SSR support in the wider governance, democratisation, state-building and poverty reduction contexts. National ownership is the most important factor to ensure the effectiveness and sustainability of SSR support. However, SSR support efforts in partner countries are still too often donor-driven without real national engagement. This is often due to the fact that partner countries have not developed national security sector plans and/or strategies. A priority of EU SSR support should therefore be to support national stakeholders to develop policies, strategies and action plans in a transparent and inclusive manner and, by doing so, to provide a platform on which international partners should align their support.
- SSR efforts should have the explicit objective to ensure the delivery by the justice and security institutions of tangible benefits to the whole population, women, men, girls and boys, including addressing their security concerns. This requires a "bottom-up" approach to security, complementary to a top-down institutional approach, starting from the identification of security needs as perceived and experienced by the population, discussed among local stakeholders and between communities and local and national authorities as well as among security forces. Building comprehensive approaches will ensure that SSR efforts are linked to local violence prevention initiatives such as those working to support economic livelihoods which serve to underpin both economic and physical security.
- SSR should be anchored in the wider governance, democratisation, state-building and poverty reduction context to ensure its sustainability and effectiveness, rather than considering security issues as separate from the overall political and developmental context. Lessons learned show that SSR processes are fundamentally political and involve a wide range of actors from security and justice sectors (state and relevant non-statutory security actors).

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<sup>58</sup> Such as the Thematic Evaluation of European Commission Support to Justice and Security System Reform of November 2011.

- The use of teams with a combination of skills (on both substantive aspects as well as change management processes, assessment and monitoring methodologies and diplomacy) enable an effective support to SSR processes that are nationally owned and therefore more sustainable.
- There is a need to link women's peacebuilding efforts to the formal security sector actors such as police officers and local magistrates thereby allowing for the identification of security threats faced by women and girls and for the latter to devise and propose solutions to security sector actors.

### **3.2 Complementarity, synergy and donor coordination**

The action will be fully complementary to other EU external financing instruments being mobilised to support structural SSR programmes and actions, including the Development Cooperation Instrument, European Development Fund and European Neighbourhood Instrument, the Instrument for Pre-accession Assistance<sup>59</sup> as well as with relevant measures and actions under the European Instrument for Democracy and Human Rights<sup>60</sup> and the Instrument contributing to Stability and Peace. It will also provide complementarity with the Common Security and Defence Policy (CSDP) instruments.

The envisaged support for partner countries will be more at the strategic level, aimed at promoting national ownership of SSR processes, at supporting partner countries in national policy planning, implementation and dialogue with civil society and affected communities on SSR that are a prerequisite for an effective and sustainable cooperation in this sector. This will reduce the risk of ad hoc cooperation actions, not framed within overall national strategies.

Increased coordination among international partners in the security sector is crucial. Even within the EU including actions supported by EU member states, there is a clear need for improved coordination among the different strands of support, including diplomatic, cooperation and CSDP instruments. The action should provide a platform on which international partners should align their support. This is expected to directly contribute to enhanced donor coordination. Coordination with activities and programmes supported by EU Member States and other international partners will be assured notably via the EU Delegations.

Implementation of SSR support programmes should also complement or build on relevant actions under the UNSCR 1325 Agenda relevant in each country context as well as the UN Sustainable Development Goals Agenda 2030, and specifically Goal 5 focusing on gender equality and empowerment of women and girls and 16 aiming to promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. In line with the Busan

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<sup>59</sup> Regulation (EU) No 231/2014, *OJ L 77, 15.3.2014, p.11-26*

<sup>60</sup> Regulation (EU) No 235/2014, *OJ L 77, 15.3.2014, p.85-94*

Declaration<sup>61</sup> and where a Compact exists, implementation should also ensure alignment with the agreed priorities identified in the Compact.

### **3.3 Cross-cutting issues**

As per Article 2.4 of IcSP Regulation, the measure will aim to promote democracy and good governance, human rights and humanitarian law, including children's rights and rights of indigenous groups, non-discrimination, gender equality and empowerment of women, conflict prevention. Through the implementation of "human security" and good governance principles, direct security and justice benefits to the population in partner countries will be promoted. This will imply a bottom up approach to security, complementary to a top-down institutional approach. Starting from the identification of security needs of different groups (e.g. women, men, girls and boys, indigenous groups and minorities) and their perceptions and experiences, a human rights based approach will be applied.

Human rights are at the core of many security sector reform activities worldwide and take place in highly politically complex contexts. The EU is committed to promoting human rights throughout its support to SSR processes. In particular, the EU's efforts must be fully in line with and supportive of the principles of international human rights and humanitarian law, and must contribute to fighting impunity for human rights violations.

The measure will help the EU in achieving these goals, as it helps to take into consideration the international experience and expertise available through, for example, the EU member states, international actors such as the UN or OSCE as well as NGOs and think tanks.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The objective of the action is to contribute to the implementation of the existing and future EU SSR policy frameworks<sup>62</sup> by supporting and sustaining inclusive national SSR processes including dialogue on security sector governance and reform in conflict, post-conflict and fragile countries.

This will be achieved by:

1. Providing technical expertise to support and underpin national policy planning, implementation and dialogue on SSR;
2. Ensuring that gender concerns are included within SSR dialogue and planning processes in order to meet the long term security needs and rights of women, men, girls and boys.

Expected results are:

- National policies and strategies are being discussed, drafted and approved in a transparent manner,

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<sup>61</sup> <http://www.pbsdialogue.org/en/new-deal/about-new-deal/>

<sup>62</sup> With reference to the Roadmap (footnotes 1,2) mentioned earlier, a new SSR policy framework is under development with a target date for adoption mid-2016.

- National policies and strategies are considered relevant to beneficiaries and based on local contextual analysis,
- Improved coordination within the partner country's government on the planning, scheduling and implementation of SSR processes,
- Improved transparency and inclusivity of and public confidence in national SSR processes,
- Immediate and long term security needs and rights of women, men, girls and boys are included and systematically met within the national processes for SSR,
- Improved civilian and democratic oversight of national SSR processes,
- Improved coordination amongst international partners in the area of SSR,
- Improved quality and relevance of assistance measures and action framework in the area of SSR.

## 4.2 Main activities

Delivery of expert technical advice (short and medium term) to *inter alia*<sup>63</sup>:

- Provide expertise on the design and development of national policy planning frameworks for structural and inclusive SSR,
- Assist the partner countries with the development of security needs assessments, security perception surveys, security sector assessments to better serve the populations concerned,
- Support inclusive national consultation processes,
- Assist national authorities to coordinate international partners,
- Support the development of national accountability mechanisms,
- Contribute to progressively build the capacity of oversight institutions (ministries, parliament, human rights commissions) and bodies (media, CSO, universities),
- Capacity building of civil society organisations which are relevant for the security sector and which can play a role in relation to security governance,
- Support the development of gender-sensitive baselines to guarantee adequate and transparent monitoring and evaluation of implementation of SSR plans,
- Support the integration of gender issues in SSR processes, both in terms of more equal representation in the security and justice sectors and in terms of gender-sensitive delivery of security and justice services; and
- Provide expertise on the planning of Disarmament, Demobilisation and Reintegration of ex-combatants (DDR) and ensure it is logically consistent with SSR plans.

Provision of these technical assistance services will be a practical tool to help implement the new EU-wide strategic framework for SSR support (see above under Point 1.1). In this respect, this measure will proactively promote, in liaison with the EU Delegations and within the context of the political and policy dialogues, the principles of transparency, accountability, inclusiveness, while underpinning discussions on human security and gender- and conflict-sensitivity in a holistic manner.

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<sup>63</sup> This list is not exhaustive.

Potential beneficiaries are all relevant national stakeholders, state and relevant non-statutory security actors of the security and justice sector. This includes security and justice providers such as law enforcement agencies, courts and tribunal as well as those responsible to manage and oversee these providers such as the Ministries of Defence, Internal Security, Justice, Parliaments, Ombudsman, Human Rights Commissions, women associations, youth and community associations, and other relevant civil society organisations.

To a limited extent, expertise may also be provided on Disarmament, Demobilisation and Reintegration (DDR) of ex-combatants in conflict and post-conflict countries. DDR processes are closely interlinked with SSR and have to be logically consistent with SSR plans.

Moreover, the action is expected to support quality security assessments, which should be as much as possible shared among all national and international actors, which should contribute to the development of a common understanding of the problems to be addressed, the reforms to be promoted and monitoring and evaluation activities for the benefit of the population concerned.

### **4.3 Intervention logic**

Conflicts, insecurity and instability lead to loss of human lives and devastation and have a direct and indirect impact on all sectors of development. In many cases, conflicts and instability are generated by problems in the security sector of the partner countries. Moreover, non-respect of the rule of law and fundamental rights often occurs where security sector actors interfere with political life, commit abuses and human rights violations or are unable to provide security services for the population and to counter threats such as terrorism and organised crime.

Improving governance and reform of the security sector is therefore a key element to prevent conflicts and to contribute to sustainable peace, state-building and development.

Reform of the security sector must be based on democratic governance principles and on a people-centred approach to justice and security. It should also be inclusive, sustainable and gender-sensitive, ensuring that gender concerns are fully met within SSR dialogue and planning processes in order to meet the long term security needs and rights of women, men, girls and boys. The EU will contribute to it not only by promoting these principles through political dialogue, but also by supporting the national stakeholders to implement (in the case of security management institutions), monitor (in case of oversight institutions) and promote (in case of civil society organisation) their mainstreaming and application.

It is assumed that deploying the right expertise at the right moment will have a significant impact in supporting reform efforts if this expertise will be able to gain the trust and confidence of the national partners.

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

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

## 5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

## 5.3 Implementation modalities

### 5.3.1 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Provision of Expertise to Support Security Sector Governance and Reform	Services	1	Q2 2016
Mid-term Evaluation	Services	1	Q4 2016

## 5.4 Indicative budget

	EU contribution (amount in EUR)
5.4.1 Procurement (direct management)	2,000,000
5.4.2 Procurement (direct management)	50,000
Total	2,050,000

## 5.5 Organisational set-up and responsibilities

For the EU, the action is managed by the European Commission's Service for Foreign Policy Instruments (FPI) as contracting authority, in close consultation with other relevant Commission services (DG DEVCO and DG NEAR) as well as the European External Action Service (EEAS) in particular the EEAS conflict prevention - peace building and mediation Division which ensures the political steer.

The implementing partner will set up a Project Management Unit which will centralise operational contacts with the EU.

## **5.6 Performance monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this end, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

## **5.7 Evaluation**

Having regard to the nature of the action, a mid-term and a final evaluation may be carried out for this action or its components via independent consultants or via an implementing partner.

These will be carried out for accountability and learning purposes at various levels (including for policy revision), in particular with respect to a possible second phase of the action.

The Commission shall inform the implementing partner at least one month in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

Indicatively, one contract for evaluation services shall be concluded in Q4 2016.

## **5.8 Audit**

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

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

## **5.9 Communication and visibility**

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.4 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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



## APPENDIX - INDICATIVE LOGFRAME MATRIX

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	Partner countries have a legitimate, accountable and sustainable security sector able to respond to the justice and security needs of the population and to prevent and address transnational security threats such as terrorism, trafficking and organised crime.	Indicators should be identified for each assignment. They should be related to conflicts, crime rates, safety perceptions, civil liberties, civilian control, accountability, rule of law. Some of these indicators should be disaggregated by sex.	The baseline will be identified for each assignment	The targets will be identified for each assignment.	To be identified for each assignment (from national data, Uppsala Conflict data Program, Global Peace Index, SIPRI, UNODC surveys, International Crimes Victims surveys, Freedom House "Freedom in the World", Economist Democracy Index).	
Specific objective: Outcome	Effective SSR processes are developed and implemented in an inclusive way, based on good governance and democratic principles and with a focus on human security.	Indicators should be identified for each assignment. They should be related to the quality of legislation and regulations, the level of inclusiveness (consultations), the capacity of security institutions. Some of these indicators should be disaggregated by sex.	The starting point or current value of the indicator to be identified for each assignment.	The intended value of the indicator to be identified for each assignment.	To be identified for each assignment.  Sources of information and methods used to collect and report (including who and when/how frequently).	The expected impact will not be achieved if the national stakeholders will not have the will and/or the capacity to implement the adopted legislation/regulations/ procedures that the assignment

						has contributed to establish.
<b>Outputs</b>	Expert technical advice is put at the disposal of partner countries to support SSR processes.	Indicators should be identified for each assignment. They should be related to person/day of expertise, consultations organised facilitated, participation to experts meeting, national staff trained, studies carried out, and inputs in relevant documents.	To be identified for each assignment.	To be identified for each assignment.	Assignment reports.	The expected outcome will not be achieved if there is no real political will to improve/reform the security system.

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This action is funded by the European Union

**ANNEX VII**

of the Commission Implementing Decision on the 2016 Annual Action Programme for the Instrument contributing to Stability and Peace (IcSP) conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for Strengthening capacities for Post Disaster Needs Assessment and Recovery Preparedness (PDNA Roll-Out II)**

<b>1. Title/basic act/ CRIS number</b>	PDNA Roll-Out II, Financed under the Instrument contributing to Stability and Peace. CRIS number: ICSP/2016/39-363
<b>2. Zone benefiting from the action/location</b>	Global
<b>3. Programming document</b>	Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace.
<b>4. Sector of concentration/ thematic area</b>	Priority (d) under Art.4.1 of IcSP Regulation: improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation - upstream capacity building.
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,137,500. Total amount of EU budget contribution EUR 1,750,000 This action is co-financed by UNDP for an indicative amount of EUR 387,500.
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality. Indirect Management with the United Nations Development Programme (UNDP). Direct Management – Procurement of Supplies (Equipment for regional situation rooms) and Services (EU Evaluation).
<b>7. DAC code(s)</b>	15220 Civilian peace building, conflict prevention and resolution

8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective	
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Aid to environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	RIO Convention markers	Not targeted	Significant objective	Main objective	
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	9. Global Public Goods and Challenges (GPGC) thematic flagships	N/A			

## SUMMARY

**The key objective of the project is to contribute to building resilience of countries following natural disasters/emergencies by strengthening the capacities of regional organisations and national governments to assess, plan, implement and monitor recovery<sup>64</sup> processes.** Building on a successful first phase of collaboration (AAP 2011<sup>65</sup>, Instrument for Stability (IfS), Article 4.3), this project will consolidate and increase the capacities for post disaster assessments and recovery planning, particularly for national governments in high risk countries as well as for regional inter-governmental organizations. Geographical coverage will be expanded to ten additional countries and five regional inter-governmental organizations over a period of three years.

In cooperation with UNDP, the project will specifically: a) consolidate and strengthen capacities to conduct post disaster needs assessments (PDNAs) and develop recovery frameworks in countries; b) support national governments to strengthen institutions and systems for post-disaster recovery; c) enhance capacities of regional inter-governmental organization to support countries to conduct PDNAs and develop recovery frameworks; d) advance a global practice of recovery through the development of guidelines, tools, training materials, case studies, collection of lessons learnt and best practices to plan, implement and monitor post disaster recovery.

<sup>64</sup> “Recovery” is defined as the restoration, and where appropriate, improvement of facilities, livelihoods, and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. “Reconstruction” focuses primarily on the construction or replacement of damaged physical structures, and the restoration of local services and infrastructure. The term “recovery” in this guide encompasses both “recovery” and “reconstruction”.

<sup>65</sup> COM (2011) 4411 final

The action also foresees the reinforcement and/or further development of *regional networks of situation rooms*. This will provide equipment/software to CARICOM<sup>66</sup>, IMPACS<sup>67</sup> and CARPHA<sup>68</sup>, with a view to ensuring their inter-connectivity as well as operational interaction with the EU Emergency Response Coordination Centre (ERCC) and other EU Member States situation rooms as a complement to the Global Crisis Response Support Programme in the OAS<sup>69</sup> /CARICOM regions, which was adopted under AAP 2013 of the IfS<sup>70</sup>.

## 1 CONTEXT

### 1.1 Sector/Country/Regional context/Thematic area

The importance of **post disaster recovery** is increasing as the number of people affected by disasters around the world continues to rise. A large scale disaster can cause economic slowdown, employment losses and low entrepreneurial activity thus pushing back people into poverty. Furthermore, the collateral impact on the natural and built environment as a result of recurrent disasters increases vulnerability over time and creates chronic conditions of risk. If consequences such as soil erosion, destroyed mangroves, unplanned settlements or existence of poor infrastructure are not addressed during post-disaster recovery, the risks accumulate and are compounded with even higher economic and social costs in the future. Climate action (adaptation and resilience) shall therefore be mainstreamed in post disaster recovery work.

National Governments and international partners have well understood the consequences of poorly managed recovery processes. Therefore recovery should be used as an opportunity to rebuild infrastructure and assets, paying specific attention to the development of climate smart investments, while addressing vulnerabilities and risks that may withstand the impacts of future disasters, thus protecting public investments and minimising losses.

The action seeks to operate at both, the national and the regional level, the former allowing for country-specific intervention in selected high-risk countries and the latter providing support in terms of specialisation, resource efficiency and longer-term sustainability after the implementation period of the action.

#### 1.1.1 Public Policy Assessment and EU Policy Framework

In 2008, the World Bank (WB), the European Union (EU) and the UN Development Group (UNDG) signed an agreement committing the tripartite to “harmonize and coordinate post crisis response frameworks to enhance country resilience to crisis, by

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<sup>66</sup> Caribbean Community and Common Market

<sup>67</sup> Caribbean Community Implementation Agency for Crime and Security

<sup>68</sup> Caribbean Public Health Agency

<sup>69</sup> Organization of American States

<sup>70</sup> COM (2013) 1655 final

answering recovery needs of vulnerable population and strengthening the capacity of national institutions for effective prevention response and recovery”.<sup>71</sup>

Since the signing of the agreement, the partners have developed joint protocols and guidelines for supporting national Governments in Post Disaster Needs Assessments (PDNAs) and jointly conducted over 40 assessments in response to requests from National Governments for assistance. The assessments have provided a credible basis for planning long-term recovery and allocating national and international resources. The partners have also worked jointly to develop capacities on the PDNA methodology, targeting national governments, regional inter-governmental organizations and staff within the agencies.

As a result of training of regional intergovernmental organizations, some have been supporting PDNA training of member countries. Members from the Caribbean Disaster Emergency Management Agency (CDEMA) have participated in several country trainings to share experiences and have also deployed staff to support assessments. In line with this trend, this second phase of the project will also focus on training of regional intergovernmental organizations with the expectation that once trained, the officials from the regional organizations, for example ASEAN<sup>72</sup>, would be available to train government officials at the country level. They would also be available to support the relevant member states in conducting actual assessments in the event of a disaster.

The EU invested EUR 1.1 million from the EU towards PDNA capacity building (AAP 2011, IfS<sup>73</sup>) in selected countries and regional inter-governmental organisations. With a matching contribution of USD 1.2 million, UNDP systematically invested in streamlining the guidelines for PDNA methodology and tools for assessment, developing standard training packages and a roster of experts in PDNAs. The project has been successful in establishing strong awareness about the PDNA tools and methodology among national governments, regional inter-governmental organizations and partners and building partnerships with agencies participating in the capacity building process. The project has created a high demand for technical assistance from national governments. Such assistance is not only limited to needs assessment, but also supports planning and implementing recovery.

### *1.1.2 Stakeholder analysis*

The primary stakeholders are national governments and regional inter-governmental organizations in selected high risk countries/regions. Particular focus will be given to regional organisations having already benefitted from IfS assistance under the 2012 and 2013 Annual Action Programmes, notable ASEAN, CARICOM/IMPACS and CARPHA. Government officials will also benefit from the training in-country as well as from other activities. The project will also include UN, WB, EU and civil protection officials from EU Member States in training at the regional and national level. The training materials, guidelines, case studies will be disseminated to a large audience of international development partners.

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<sup>71</sup> Joint Declaration on Post Crisis Assessment and Recovery Planning, 25 September, 2008.

<sup>72</sup> Association of Southeast Asian Nations

<sup>73</sup> COM (2011) 4451 final

### 1.1.3 Priority areas for support/problem analysis

Building on earlier work, the project will consolidate and deepen the capacities for post-disaster assessments and recovery planning, particularly for national governments in high risk countries as well as for regional inter-governmental organizations. This second phase will enhance support to regional intergovernmental organizations which will work with national governments to build capacities in conducting PDNAs and support them in developing recovery plans. It will also develop regional networks of expertise and lead to a much greater sharing of experience among the countries in the same region. Inter-governmental organizations are keen to support the PDNA as a tool and methodology to assess recovery needs and develop recovery plans. The project will expand its geographical coverage to ten additional countries and five regional inter-governmental organizations<sup>74</sup> over a period of three years.

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Post disaster recovery is not given attention until a major disaster takes place. Governments may not appreciate the need for recovery preparedness and may not dedicate staff to develop recovery guidelines.	M	UNDP is developing a series of advocacy and knowledge products on recovery preparedness to enhance government understanding on this subject. The products are being widely disseminated and such concepts integrated into regular DRR (disaster risk reduction) and recovery programming activities.
Staff turnover, poor selection of officials within regional intergovernmental organizations (IGO) and national governments will undermine the results of the training efforts.	H	The selection of training participants will ensure critical participation of technical staff from Governments/IGOs since these staff are generally less affected by turnover due to political changes, which normally affect senior management in particular. Additionally, a set of criteria will be established to guide the selection of participants to ensure the quality of the process. The PDNA e-learning tool will also contribute to facilitate access to continuous learning and knowledge improvement.
Governments may not provide the space for regional intergovernmental organizations to provide technical support during a disaster.	M	UNDP will use IGOs training also as also an opportunity to facilitate dialogue and cooperation between IGOs and their respective member states by inviting a representative from each to participate. Additionally, a UNDP focal point in each country will be

<sup>74</sup> The ten countries covered in the first phase of the project were: Angola, Barbados, Bolivia, Burkina Faso; Cabo Verde, Cuba; Ecuador; El Salvador; Nepal; Niger; Rwanda. The Regional Intergovernmental organizations trained are: ASEAN; CDEMA, CEPREDENAC; IGAD

		appointed to continue the facilitation of such dialogue as needed.
Lack of in country coordination between the tripartite agencies can impede the implementation of country support components.	L	The tripartite partners (UN, WB, EU) regularly raise awareness of their country offices on the tripartite agreement and related procedures through the PDNA training, dissemination of PDNA brochures and bilateral discussion. Furthermore, the well-established coordination mechanism among partners at HQ level provides an effective back-up for information sharing and coordination should these fail at country level.
Lack of government resources/capacities to establish recovery comprehensive coordination and monitoring structures in a timely fashion.	M	UNDP will provide timely and consistent technical assistance to support governments to undertake these functions and mobilise resources to these end. Concurrently, the in-country roster of experts foreseen by the project will be an additional resource for required capacities and such a mechanism would ensure the sustainability of the process and reduce the dependency of countries on external resources.
<b>Assumptions</b>		
<ol style="list-style-type: none"> <li>1. Regional inter-governmental organizations have existing strategies, staff and resources to assist national governments in post disaster recovery;</li> <li>2. National Governments will have sustained interest and provide dedicated team of officials to pursue development and applications of post disaster recovery guidelines;</li> <li>3. Continued cooperation at global and national level between the tripartite agencies to implement the project.</li> </ol>		

**3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES**

**3.1 Lessons learnt**

From experience in the practice of recovery and in the course of implementing the project, UNDP has recognised that one of the primary reasons for unplanned and poorly driven recovery processes is the lack of capacities within the government to plan and implement recovery. To establish such capacities, Governments must be provided sustained support over a duration of two to three years. Recovery is a relatively new area of practice within the entire spectrum of activities undertaken in disaster management /disaster risk reduction. Post-disaster recovery, unlike disaster preparedness and response, does not have a large number of practitioners, training courses, written materials, guidelines etc. Therefore, while there is broad recognition that poorly implemented recovery processes recreate risks, there is still not much written about the finer details of planning and implementing recovery. This is being



developed as more and more countries face disasters and realise that recovery takes special skills and requires a separate dispensation. Some of the key lessons on recovery are as follows:

- ***Recovery is a specialized practice area:*** The technical and management skills for planning and implementing recovery are different from preparedness, response and long-term risk reduction. The guidelines and tools for undertaking recovery are very few and generic, in particular guidelines for implementing recovery for specific sectors. With the exception of housing sector, the practices on recovery are not well defined. There is also no training institution that offers courses on recovery. Most countries improvise as they implement recovery and then develop some processes and guidelines. Internationally accepted guidelines for recovery are yet to be developed.
- ***Recovery needs to be undertaken on the basis of systematic analysis of the impacts of the disaster:*** Recovery planning is based on comprehensive assessment of damages, losses and needs. It is not a spontaneous activity. It requires careful planning, is driven by data, and peoples' needs. In the urgency to respond, governments undertake recovery without a full assessment of the impacts and understanding of the recovery needs of families affected by the disaster. The primary reason is that governments do not have an established methodology for assessing the impacts of the disaster and often lack the capacities to undertake this assessment. The PDNA methodology has gained acceptance and is now being widely used by governments in recent years but always with assistance from international experts. There is still a large capacity gap within national ministries capacities for doing assessments and following it up with a systematic plan for recovery.
- ***Separate institutional arrangements are required for addressing long-term recovery:*** It has been noted that most countries prone to disasters have invested significantly in mechanisms for early warning, disaster response, search and rescue resulting in quick and efficient response to a disaster event. However, after the initial response, the government responses often phase-out leaving the disaster affected communities to cope by themselves. One of the primary reasons for this gap is the lack of a systematic approach to recovery as there is to response. Recovery from a large scale disaster can take anytime between two years to a decade and it requires an enormous amount of financial resources as well as comprehensive planning. Therefore, it is not possible for sector Ministries to implement recovery along with their normal portfolio of work. The institutional arrangements, the staff capacities and resources simply do not exist to carry out long term recovery and therefore recovery processes often remain incomplete. Large scale disasters often push government to establish new institutions. However, the time taken to build these institutions and appoint staff with the right skills, often delays recovery with negative consequences for the affected population. Therefore one of the key elements of a successful recovery is to set up appropriate institutional arrangements with clearly defined policies and resources for implementing recovery.
- ***Recovery is multi-sectoral in nature and is a collective effort:*** Recovery is multi sectoral in nature. It includes reconstruction of infrastructure, housing, restoration of livelihoods, and re-establishment of social and community services. This work

requires the collective efforts of all governments' ministries, private sector actors, national and international NGOs. While it is recognised that recovery should be implemented under the strong leadership of the national government, other partners such as regional inter-governmental organizations, international agencies, the civil society can bring technical skills and experiences that will improve the quality of recovery. Governments need to set up coordination mechanisms to bring together the range of technical expertise required for recovery from the public, private, national and international agencies to provide the sustained technical assistance to families for the long duration of recovery.

- ***Monitoring and maintaining transparency and accountability are important elements for management of recovery:*** Setting up monitoring mechanisms for recovery interventions is critical to ensure that progress towards the intended objective is made and that a process to address gaps and take corrective action is established. National governments typically allocate national resources and receive international funds for recovery. In addition to financial resources, governments procure huge quantities of materials for reconstruction, award contracts to companies, make payments to beneficiaries etc. It is critical that in all these processes, transparency is maintained and information shared widely with the affected population and national and international community. To this end, formal mechanisms for aid management and related procedures should be envisaged. To do so, governments need to set up a mechanism to receive and disburse funds, develop procedures to hire people and companies to execute works for reconstruction and track the progress of implementation. It is critical that a comprehensive system for monitoring all the various elements of recovery is set up so that Governments are able to efficiently deliver recovery assistance.

### **3.2 Complementarity and donor coordination**

#### **Complementarity**

In relation to the area of disaster risk management, the proposed project will work in line with the Sendai Framework for Disaster Risk Reduction<sup>75</sup> in its approach to preventing new risks, reducing existing risks and strengthening resilience. It will ensure that the principle to 'Build Back Better' remains central to post-disaster recovery and reconstruction.

Activities under the proposed project will take into considerations other ongoing projects and programmes being undertaken by the EU, UNDP and the World Bank, notably the following nine programmes/policies:

1. ***"Development of Post-Conflict and Post Disaster Needs Assessments (PCNA/PDNA) capacity and tools" project implemented by the EU through***

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<sup>75</sup> The Sendai Framework for Disaster Risk Reduction (2015-2030), is the successor instrument to the Hyogo Framework for Action (2005-2015).

**Particip**<sup>76</sup>: The project will collaborate with Particip members in seeking their technical assistance in development of guidelines and training packages for recovery planning. The project will work with the EU delegations and other EU field presence towards the joint application of the tools and methodologies to support countries in developing recovery plans. The project will consult the EU and Particip members to ensure that the project objectives are aligned with the EU's commitment to crisis response and recovery. Additionally the project will endeavour to engage EU delegations and other EU field presence in country activities to ensure sustainability and linkages with ongoing EU country programmes.

2. **The Global Crisis Response Support Programme covering the OAS/CARICOM regions**<sup>77</sup>, focusing on enhancing the early warning of both regional organisations and specifically to strengthen detection and prevention mechanisms such as analytical and early warning systems; the establishment of joint civil defence response plans involving CARICOM Implementation Agency for Crime and Security (IMPACS), the Regional Security System (RSS), CDEMA, The Caribbean Public Health Agency (CARPHA) and other critical stakeholders.
3. **The ASEAN/EU Emergency Management Programme (AEEMP)**<sup>78</sup>, which supports ASEAN to develop a more cohesive, coordinated and effective emergency response and early warning/situational awareness capability in order to facilitate timely and efficient response and preparedness for emergency situations (natural or man-made disasters), as well as cooperation with other regional and international organisations.
4. **Strengthening Crisis Response Capacities of the League of Arab States (LAS) and member countries**<sup>79</sup>: The project will work with LAS and the UNDP regional office in Amman to ensure that specific modules for PDNAs and recovery planning are tailored to the regional context and all tools and guidelines disseminated through LAS to its member countries will be appropriate to ongoing needs.
5. This proposed project is consistent with the aims of the Commission's **Action Plan for Resilience in Crisis Prone Countries, 2013-2020**<sup>80</sup>, Priority interventions 1 (Action 4<sup>81</sup>) as it aims to enhance capacities of ACP governments at national and sub-national levels, and of regional organizations to conduct PDNAs efficiently and to plan, implement and manage post-disaster recovery in a way that promotes risk reduction and builds resilience.
6. The proposed project is also aligned with the **EU Strategy for Supporting Disaster Risk Reduction in Developing Countries**. The activities under this project will contribute to improved preparedness and response by ensuring that countries have the technical capacities and support they need to undertake response and recovery processes (Communication Item 4.5 Strengthen disaster preparedness for effective

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<sup>76</sup> Project funded under the 2015 Annual Action Programme for the IcSP – conflict prevention, peacebuilding and crisis preparedness ((COM (2015) 3453 final) and implemented by Particip, a consultancy company.

<sup>77</sup> Funded under the 2013 Annual Action Programme for the IfS, COM(2013) 1655 final

<sup>78</sup> Funded under the 2012 Annual Action Programme for the IfS, COM(2012) 1791 final

<sup>79</sup> Funded under the 2015 Annual Action Programme for the IcSP, COM (2015) 3453 final

<sup>80</sup> SWD(2013) 227 final

<sup>81</sup> “Disaster Resilience in Africa, Caribbean and Pacific” through Recovery frameworks are delivered following Post Disaster Needs Assessments allowing for improved national development strategies

response at all levels). The proposed project will also contribute to ‘Communication Item 4.1. Ensure that DRR is a national and local priority with a strong institutional basis’.

7. The project will ensure strong linkages with ongoing capacity building activities and programmes implemented in countries through the **Global Facility for Disaster Risk Reduction (GFDRR)**. In line with the protocols for cooperation, UNDP will jointly work with GFDRR and the World Bank in conducting assessments and developing recovery frameworks. Training modules and guidelines will be developed jointly with technical inputs from GFDRR and Bank counterparts in the region.
8. The proposed project complements *UNDP’s 5-10-50 flagship program* which aims to expand the UNDP Disaster Risk Reduction and Recovery portfolio to 50 countries covering five thematic areas over a period of ten years. One of the five themes of work is “resilient recovery”. UNDP will work with a number of donors, technical and research institutions to implement its programme on resilient recovery. Efforts will be made to harmonise support to national governments using the tools and guidelines developed by the proposed project to support recovery processes in countries. Additional resources may be leveraged through this programme to complement this project and ensure wider coverage.
9. The proposed project should also align with the Index for Risk Management Initiative (INFORM), a collaborative project of 20 organisations, including UNDP and GFDRR, with technical contribution from the Commission's Joint Research Centre (JRC) and financial support from the Commission's Directorate General for Humanitarian Aid and Civil Protection (ECHO). INFORM global, sub-regional and sub-national risk data mapping and analysis initiatives could serve as a useful underlying secondary data source and analysis for the implementation of the PDNA process, particularly in the LAC (Latin America and Caribbean) region. Synergies between the proposed project and the INFORM initiative could also be encouraged in particular in relation to PDNA capacity building actions.

### **Donor Coordination**

The project will be implemented in coordination with the tripartite partners which includes the World Bank, the EU and eight other UN agencies (UNICEF, UN Women, ILO, WHO, FAO, UNEP, UN Habitat, UNESCO) who contributed to the development of the PDNA guidelines and training packages through the PDNA Roll-Out project. Additionally, the project will collaborate with regional organisations and partners such as Asian Disaster Preparedness Center (ADPC) to run training programmes in countries. UNDP will also work to build the global practice of recovery through the International Recovery Platform (IRP), whose mandate includes the development of tools, resources and capacities for resilient recovery.

### **3.3 Cross-cutting issues**

The project aims to integrate a gender sensitive approach in all the guidelines and training modules developed for recovery, addressing the needs of men, women, girls and boys in doing so and providing sex disaggregated data and information to the degree possible. It will seek to achieve gender parity in selection of officials for

training and will draw on the specialisation of UN Women for this particular cross-cutting aspect in particular on the gender inequality of risk (GIR). The recovery guidelines will be developed with a view to promote inclusiveness and participation of vulnerable communities in the recovery process. It will underscore the importance of being conflict and culturally sensitive. Policies and guidelines will provide specific directions for delivering recovery assistance to the most vulnerable population. The project will develop a guideline for the participation of civil society groups which may include women and youth groups in the recovery process. Given that the overall objective is to build resilience of countries, disaster risks, environmental aspects will be addressed significantly in the guidelines.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The **overall objective** of the project is to contribute building resilience of countries by strengthening capacities of regional organisations and national governments to assess, plan, implement and monitor recovery processes. The project envisages the following **results**:

1. Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts and social issues including climate adaptation and resilience assessment;
2. Recovery processes are managed by national institutions and systematically implemented to reduce risks to future disasters;
3. Regional inter-governmental organizations have stand-by capacities to effectively advise and support member states in planning and implementing recovery;
4. Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines;
5. Strengthened inter-connectivity among crisis room structures in the Latin American and Caribbean regions as well as improving their operational interaction with EU<sup>82</sup> and other regional situation rooms (ASEAN, LAS).

### **4.2 Main activities**

In light of the above mentioned objectives and expected results, the following indicative activities are envisaged:

1. Creating capacities of national governments to conduct PDNAs and develop recovery frameworks;
2. Supporting national governments to strengthen institutions and systems for recovery;

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<sup>82</sup> In particular [the EU Emergency Response Coordination Centre \(ERCC\)](#)

3. Augmenting capacities of regional inter-governmental organisations to facilitate post disaster recovery processes among member states;
4. Developing the global practice of recovery through the preparation of guidelines, tools, training materials, case studies and collection of lessons learnt and best practices to plan, implement and monitor post disaster recovery;
5. Provision of equipment for enhancing performance and effectiveness of regional crisis rooms in CARICOM/IMPACS and CARPHA.

The following activities will be undertaken:

**Result 1: Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts and social issues:**

- Activity 1.1 Refine the methodology for conducting human impact assessments with household level questionnaires, the guidelines for collecting information and the tools for analysing data;
- Activity 1.2 Develop tools for integrating conflict sensitivity into PDNA, based on existing tools and materials developed by UNDP and EU.
- Activity 1.3. Systematically review each PDNA conducted in the life time of the project to assess: whether it resulted into a recovery framework, the scope of the recovery framework and the amount of funds raised as a result of the PDNA.

**Result 2 Recovery processes in countries are managed by national institutions and systematically implemented to reduce risks to future disasters:**

- Activity 2.1. Organise PDNA and recovery trainings in 10 additional countries to develop capacities on assessment methodologies and preparation of recovery plans;
- Activity 2.2. Provide technical assistance to adapt to national contexts guidelines and tools for post disaster needs assessment and recovery frameworks;
- Activity 2.3. Provide technical assistance to strengthen institutional arrangements for recovery – including the establishment of a formal mechanism to monitor recovery processes;
- Activity 2.4. Conduct workshops and consultations with key stakeholders to finalise and endorse the guidelines for assessments and institutional arrangements for recovery.

**Result 3: Regional inter-governmental organizations have stand by capacities to effectively advice and support members' states in planning and implementing recovery:**

- Activity 3.1. Conduct training on post disaster needs assessments and recovery preparedness for 5 regional inter-governmental organisations;
- Activity 3.2. Provide technical assistance to regional inter-governmental organizations to develop plans and strategies to facilitate assistance and cooperation between member states in the event of a disaster. (This will build on existing cooperation strategies and plans developed by regional intergovernmental organizations.)

**Result 4: Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines:**

- Activity 4.1. Develop guidelines with benchmarks to inform and monitor recovery of key sectors of the economy. Indicators and benchmarks will be developed for all social, productive, infrastructure and cross-cutting sectors that are currently included in the PDNA guidelines. The guidelines for sector recovery will qualify what it means to reconstruct to disaster resilient standards. This tool will help in the monitoring of sector recovery. To complement the benchmarks for each sector, generic guidelines on setting up a platform for monitoring and tracking progress of recovery will be developed. These activities will build on the existing Disaster Recovery Framework (DRF) guide.
- Activity 4.2. Develop a “handbook” for establishing recovery institutions. This will include information on options for institutional arrangements for recovery - including job profiles of key personnel required for the institutions: note on procedures for disbursement of funds and project approval notes on procurement of materials, guidance for grievance redress mechanisms, guidelines for communication with media, public and affected communities.
- Activity 4.3. Develop guidelines for community and civil society participation in recovery processes.
- Activity 4.4. Develop standard training modules on all aspects of Post Disaster Recovery planning based on the Disaster Recovery Framework (DRF) guide.
- Activity 4.5. Develop a compendium of case studies and best practices on recovery and disseminate them online through websites of IRP, UNDP and GFDRR.

**Result 5: Regional crisis centres in CARICOM/IMPACS and CARPHA are suitably equipped to perform their roles effectively:**

- Activity 5.1. Equipping selected regional crisis rooms with the necessary hardware, network infrastructure and software for crisis management.
- Activity 5.2. Training of crisis room staff on informatics and software, where needed.
- Activity 5.3. Provision of post-delivery service guarantee.

### **4.3 Intervention logic**

The importance of post disaster recovery is increasing as the number of people affected by disasters around the world continues to rise. Recovery is a relatively new area of practice within the entire spectrum of activities undertaken in disaster management /disaster risk reduction. Unlike disaster preparedness and response, post disaster recovery does not have a large number of practitioners, training courses, written materials, guidelines etc. Therefore, while there is broad recognition that poorly implemented recovery processes recreate risks, there is still not some way to go in strengthening this aspect of disaster management and risk reduction.

The work of the Tripartite partners to “harmonize and coordinate post crisis response frameworks to enhance country resilience to crisis, by answering recovery needs of vulnerable population and strengthening the capacity of national institutions for effective prevention response and recovery” has great leeway in this regard, providing a credible basis for planning long-term recovery and allocating national and international resources in the process. The partners have also worked jointly to develop capacities on the PDNA methodology targeting national governments, regional inter-governmental organizations and staff within the agencies. This follow-

on project would ensure the investment that has been made thus far by the EU, WB and the UN, moves more concretely towards self-sustaining regional and national capacities.

## 5 IMPLEMENTATION

### 5.1 Financing agreement

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

### 5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### 5.3 Implementation modalities

#### 5.3.1 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Evaluation	Services	1	Last Quarter 2017
Support to regional networks of situation rooms/crisis centres	Supplies	1	Last Quarter 2016

#### 5.3.2 Indirect management with an international organisation.

A part of this action may be implemented in indirect management with the United Nations Development Programme, (UNDP), in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012.

The entrusted entity would carry out the following budget-implementation tasks: updating and refining of methodologies and development of tools for improved needs assessments methodologies overall; organisation of PDNA and recovery training and workshops; technical assistance to strengthen formal mechanisms to monitor recovery processes; development of guidelines, indicators and benchmarks to bolster PDNA guidelines; development of recovery



literature (handbooks, guidelines, training modules); and the development of best-practice case studies and communication materials.

*5.3.3 Changes from indirect to direct management mode due to exceptional circumstances*

In case of exceptional circumstances, should the above mentioned modality not be possible, the Action could be implemented in direct management through a pillar assessed grant to UNDP.

**5.4 Indicative budget**

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, (EUR)</b>
5.3.1- Procurement (direct management)	200,000	
5.3.2 – Indirect management with the United Nations Development Programme (UNDP)	1,550,000	387,500
<b>Totals</b>	<b>1,750,000</b>	387,500

**5.5 Organisational set-up and responsibilities**

The project will be directly implemented by the Climate Change and Disaster Risk Reduction Team (CDT) of the Bureau for Policy and Programme Support (BPPS) of UNDP based in New York. The team also anchors the role of the secretariat for the UNDG’s engagement on collaboration with the EU and the World Bank on post-disaster assessments. The CDT existing project team for the PDNA Roll-Out I (Project Manager and Project Assistant) will continue to manage the project. At regional level, the project will work through the CDT regional teams across the five regions. In-country, UNDP Country Offices in project country will provide the necessary support to the conduct of the trainings. Overall, the project will work in collaboration with staff from UN agencies, the EU and the World Bank at all levels.

A Project Board (PB) will be set up, in accordance with standing UNDP policies and procedures. The PB will be headed by the Team Leader of the BPPS Climate Change and Disaster Risk Reduction Team (CDT). The CDT Recovery Advisor will be responsible of the Project Assurance and will provide overall leadership and direction to the project, including the review of financial delivery, of the project wide progress, and will advise on coordination with relevant other partners. In addition to UNDP’s internal management arrangements, the Steering Committee (SC) established for the PDNA Roll Out I will continue to provide oversight of the current phase II of the project. The SC, which comprises representatives from the three partners, will be responsible for decisions related to all joint activities to be undertaken through the project. Bi-annual meetings of the SC would be held to review the project progress.

## **5.6 Performance monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) or the list of result indicators (for budget support). The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

## **5.7 Evaluation**

Having regard to the nature of the action, a mid-term and a final evaluation will be carried out for this action or its components via the implementing partner and also contracted by the Commission.

In the case of the mid-term evaluation, this will be carried out for learning purposes, in particular with respect to incorporating lessons-learned and best practice recommendations to the latter half of the action implementation. A particular emphasis of the mid-term evaluation should be towards ensuring the action will become self-sustaining, to the degree possible, following the final implementation period.

In the case of the final evaluation, this will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular any overall instrument-level evaluation on the part of the EU.

Where an evaluation is foreseen and is to be contracted by the Commission: The Commission shall inform the implementing partner at least 2 months in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

## **5.8 Audit**

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

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

## **5.9 Communication and visibility**

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.4 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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

## APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)<sup>83</sup>

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
<b>Overall objective: Impact</b>	To contribute to strengthening of the capacities of regional organizations and national governments to assess recovery needs, and plan, implement and monitor recovery interventions and processes.	Stronger capacities at regional levels and national levels in 10 countries for assessing damages, losses and needs, and developing recovery plans / frameworks.	At present, 12 countries working towards developing national capacities in assessment	At least 5 regional organizations and 10 more countries with necessary institutional and technical capacity to undertake post-disaster needs assessments	Inclusion of PDNA in DRR Laws / Policies / Frameworks at regional and national levels; Nationally adapted guidelines for the PDNA;	<ul style="list-style-type: none"> <li>Regional inter-governmental organizations have existing strategies, staff and resources to assist national governments in post disaster recovery.</li> <li>National Governments will have sustained interest and provide dedicated team of officials to pursue development and applications of post disaster recovery guidelines.</li> <li>Continued cooperation at global and national level between the tripartite agencies to implement the project.</li> </ul>
	<ol style="list-style-type: none"> <li>Capacities of national governments to conduct PDNAs and develop recovery frameworks are developed;</li> <li>Strengthened national institutions and systems for post-disaster recovery;</li> </ol>	<ol style="list-style-type: none"> <li>Number of countries with improved capacities in PDNA and Recovery Frameworks.</li> <li>Existence of guidelines, tools and methodologies for PDNA and recovery.</li> </ol>	<ol style="list-style-type: none"> <li>Limited number of countries with capacities.</li> <li>Roles and responsibilities for recovery are not clearly defined at</li> </ol>	<ol style="list-style-type: none"> <li>Additional 10 countries capacitated.</li> <li>At least 7 of the targeted countries develop recovery guidelines.</li> </ol>	<ol style="list-style-type: none"> <li>Capacity building exercise conducted and trainings organized.</li> <li>Recovery guidelines are approved by the Government and disseminated.</li> </ol>	<ol style="list-style-type: none"> <li>National Governments have sustained interest in developing and sustaining PDNA capacities and maintaining the expert roster.</li> <li>National Governments will have sustained interest and provide dedicated team of officials to pursue development and applications of post disaster</li> </ol>

<sup>83</sup> Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'.

	<p>3. Capacities of regional inter-governmental organisations are augmented to facilitate post disaster recovery processes among member states;</p> <p>4. The global practice of recovery is better developed through the preparation of guidelines, tools, case studies and collection of lessons learnt and best practices to plan, implement and monitor post disaster recovery.</p> <p>5. CARICOM and CARPHA situation rooms are effectively equipped.</p>	<p>3. Availability of regional arrangement for deployment of IGOs to support PDNAs and RFs.</p> <p>4. Number of guidelines, reviews, compendium of lessons learnt/best practices in place.</p> <p>To be defined in the Supply Contract</p>	<p>country level.</p> <p>3. No availability of such arrangements.</p> <p>4. Existence of internationally accepted guidelines is not covering all aspects of recovery.</p> <p>Year 1</p>	<p>3. At least three IGOs have developed the arrangements.</p> <p>4. Three guides and a lessons learnt/best practices compendium developed.</p> <p>All requirements delivered by end of Year 1</p>	<p>3. Arrangements officially agreed.</p> <p>4. National guidelines published and disseminated.</p> <p>GCSRP final report CARICOM and CARPHA annual reports</p>	<p>recovery guidelines.</p> <p>3. Regional inter-governmental organizations have existing strategies, staff and resources to assist national governments in post disaster recovery.</p> <p>4. Continued cooperation at global and national level between the tripartite agencies to implement the project.</p> <p>CARICOM and CARPHA have the capacity to specify their technical needs in this area.</p>
<b>Outputs</b>	<p>1. Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts including gender and social issues;</p> <p>2. Recovery processes are managed by national institutions and systematically implemented to reduce risks to future disasters;</p> <p>3. Regional inter-governmental organizations proactively support</p>	<p>1. Existence of methodologies to improve the assessment of human social and conflict issues.</p> <p>2.1. Number of government officials trained in PDNA and RF;</p> <p>2.1. Roster of national PDNA/RF experts available.</p> <p>2.3. National Adaptation of PDNA and RF guidelines.</p> <p>3. Number of IGOs staff trained in PDNA.</p>	<p>1. Existing methodology needs to be reinforced.</p> <p>2.1. No government officials trained;</p> <p>2.2. No national expert roster available.</p> <p>2.3. National guidelines do not exist.</p> <p>3. Limited capacity of IGOs in PDNA.</p>	<p>1. Development of improved methodologies;</p> <p>2.1. At least 40 national/local officials trained;</p> <p>2.2. One national roster established.</p> <p>2.3. Guidelines officially endorsed.</p> <p>3. At least three IGOs trained in</p>	<p>1. Methodological guides are published and disseminated.</p> <p>2.1. Training report;</p> <p>2.2. Database with expert names/CVs.</p> <p>2.3. Guidelines officially endorsed and published.</p> <p>3. List of participants to training.</p>	<p>1. National Governments have sustained interest in developing PDNA capacities and maintaining the expert roster.</p> <p>2. National Governments will have sustained interest and provide dedicated team of officials to pursue development and applications of post disaster recovery guidelines.</p> <p>3. Regional inter-governmental organizations have existing strategies,</p>

	<p>member states with deploying additional capacities in planning and implementing recovery;</p> <p>4. Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines.</p> <p>5. Support to CARICOM and CARPHA situation rooms.</p>	<p>4. Existence of a lessons learnt/best practices based guide on recovery institutions, M&amp;E, community participation.</p> <p>Equipment provided to the situation rooms, in line with contract</p>	<p>4. No systematisation of best practices/lessons learnt.</p> <p>Contract terms of reference</p>	<p>PDNA.</p> <p>4. One guide on best practices/lessons learnt existing.</p> <p>Year 1</p>	<p>4. Publication and dissemination of the guide.</p> <p>Bill of lading, interim and final reports</p>	<p>staff and resources to assist national governments in post disaster recovery.</p> <p>4. Continued cooperation at global and national level between the tripartite agencies to implement the project.</p> <p>A qualified tenderer having the capacity to define and deliver equipment with the specified timeframe is identified.</p>
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