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### ANNEX

#### **Neighbourhood, Development and International Cooperation Instrument (NDICI) – Global Europe**

##### **Exceptional Assistance Measure regarding Yemen**

### **1. IDENTIFICATION**

|                   |  |
|-------------------|--|
| Action:           | Institutionalising Peace in Yemen - Support to Track II Mediation Efforts  |
| Action Reference: | NDICI CR 2022/01   |
| Cost:             | EUR 2 000 000 (European Union (EU) contribution).  |
| Budget Line:      | 14 02 03 10  |
| Duration:         | Maximum 18 months. The authorising officer responsible may decide to extend this period twice by a further period of up to six months, up to a total maximum duration of 30 months, under the conditions laid down in Article 23(6) of Regulation (EU) 2021/947. |
| Lead service:     | FPI  |

### **2. ACTION SUMMARY**

This action builds on previous projects<sup>1</sup>, financed under the Instrument contributing to Stability and Peace, on Track II mediation efforts largely focused on encouraging a participatory peace process by engaging with and building capacity of tribal leaders, youth, women and political party members. This exceptional assistance measure aims to identify suitable options for the establishment of a peace infrastructure in Yemen, and develop a roadmap for its functioning in any future transitional process. Any eventual peace infrastructure would explore the establishment of formal and informal structures devoted to peace and conflict management, as well as formulate clear policies for coordinating and supporting locally-led initiatives to prevent or resolve conflict. This measure will also include further support to the Mediation Support Fund, established under previous funding, which will continue to support locally-led mediation in governorates around Yemen. The primary beneficiary of this fund will continue to be the participants of the Youth Mediation Support Team programme that will receive specially-tailored training on peacebuilding and mediation-related topics. This programme has, throughout 2020 and 2021, proved to be an effective model for inclusive peacebuilding and for bridging between various tracks of the peacebuilding efforts.

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<sup>1</sup> Decision C (2019) 9119 of 16 December 2019

The measure aims to complement and support the Track I peace process led by the Office of the Special Envoy of the Secretary-General for Yemen.

### **3. BACKGROUND AND RATIONALE**

#### **3.1 BACKGROUND**

Yemen's civil war has entered its eighth year and the impact of the conflict continues to be devastating. The conflict has killed more than 250,000 people and created one of the worst humanitarian crises in the world today. In addition, the population suffers daily from the continued imposition of road closures and checkpoints across the country, as well as obstructions to imports and to the domestic distribution of goods essential for everyday life. In 2021, Yemen witnessed further military escalation, adding extra challenges to the humanitarian crises, decreasing prospects for a nationwide ceasefire and further burdening the United Nations-led peace process. The challenges Yemen face are of such magnitude that they cannot be addressed through a single process. A political settlement between all key parties to the conflict will be more sustainable through the inclusion of civil society and buy-in from the population.

Therefore, it is crucial to further support Yemen's civil society and the locally-driven efforts as elements of a broader peace infrastructure that is anchored in the practices that are already working on the ground. This action will assist in coming one step closer to creating sustainable peace by helping understand Yemen's past and present and in that way build peace infrastructure which takes into account the context, power dimensions and history of the complex and layered grievances that contributed to the conflict in Yemen.

#### **3.2 RATIONALE FOR CRISIS RESPONSE ACTIONS UNDER THE RAPID RESPONSE PILLAR OF THE NEIGHBOURHOOD, DEVELOPMENT AND INTERNATIONAL COOPERATION INSTRUMENT**

The current conflict situation in Yemen constitutes an exceptional and unforeseen situation in the sense of Article 4(4) of the NDICI Regulation. An adequate response cannot be provided under any other European Union Instrument due to the urgency with which the funds are required and due to available resources already being firmly committed.

Annex IV, paragraph 1, second paragraph, points (a), (b) and (n) of Regulation (EU) 2021/947 specifically provides for the use of the NDICI rapid response pillar to provide (a) support, through the provision of technical and logistical assistance, for the efforts undertaken by international, regional and local organisations and by State and civil society actors in promoting confidence-building, mediation, dialogue and reconciliation, transitional justice, women's and youth empowerment, in particular with regard to community tensions and protracted conflicts; (b) support for the implementation of UNSCRs on women, youth, peace and security, and (n) support for measures to promote and defend respect for human rights and fundamental freedoms, democracy and the rule of law, and the related international instruments.

### 3.3 RISKS AND ASSUMPTIONS

| Risk  | Likelihood | Impact | Mitigation measure  |
|---|------------|--------|---|
| <p><b>Operational, financial and programmatic risks</b> - Extremely restricted mobility inside Yemen, the continued closure of Sana'a Airport, and instability in Aden pose additional restraints on project implementation. Implementation of project activities is delayed due to various political and bureaucratic hurdles, such as delays in issuing permits or travel documents.</p>  | Medium     | Medium | The measure will rely on the engagement with authorities to mitigate these risks, as well as coordination with other EU supported relevant measures.  |
| <p><b>Security risks</b> - The situation on the ground is extremely volatile with the political and security situation changing rapidly, as well as the potentially significant changes in the local context related to COVID-19. Overall unpredictability due to the lack of rule of law and the ongoing civil war. Airstrikes and fighting on the ground pose a significant risk to the safety of the participants and staff. Violent crime, terrorism and kidnapping are on a high level throughout Yemen.</p>   | High       | High   | Monitoring of the situation will be ensured on a daily basis to adapt the implementation plans to the changing security situation. If the situation becomes too unsecure, activities would be suspended until the situation stabilises and allows for implementation without putting at risk any staff members and beneficiaries. |
| <p><b>Assumptions:</b></p> <ul style="list-style-type: none"> <li>- Security operating environment remains stable; staff can access/travel to the project areas. Participants can secure visas and travel to external events. There will not be major diplomatic developments that negatively affect operations;</li> <li>- Acceptance of the action activities by key public and social figures in target governorates and at the national level is important to ensure local ownership and create a conducive environment for project implementation. All stakeholder groups are committed to resolving local disputes through peaceful means.</li> </ul> |            |        |   |

## 4. OBJECTIVES

### 4.1 OVERALL OBJECTIVE

The overall objective of the action is to support an inclusive and participatory peace process by facilitating multi-level engagement of Yemeni youth and discussions on an infrastructure for sustained peace in Yemen.

## **4.2 SPECIFIC OBJECTIVES**

- 4.2.1 To assist efforts to establish the most effective infrastructure for inclusive and participatory peace in Yemen;
- 4.2.2 To strengthen inclusive local mediation in order to ensure greater sustainability of a peace agreement and its implementation in Yemen.

## **5. ACTION COMPONENTS AND EXPECTED RESULTS**

**The main expected results/outcomes include:**

**Expected Result (1):** A draft national action plan for institutionalising peace, tailored to the unique context and traditional conflict prevention and resolution practices in Yemen, is developed.

Activities (indicative):

- 5.1.1 Dialogue meetings aimed at building peace building capacity of distinguished figures from across Yemen;
- 5.1.2 Capacity building aimed at drafting effective policy on peacebuilding, conflict management, mediation, as well facilitating open discussions on the path of the country toward stability;
- 5.1.3 Country visits to learn directly from experiences of established peace institutions;
- 5.1.4 Support for stronger partnership between grassroots peace-focused Civil Society Organisations and mid-level actors, in order to encourage more joint peacebuilding efforts;
- 5.1.5 Develop institutional knowledge to expedite the eventual work in establishing a formal peace infrastructure;
- 5.1.6 Promote meaningful representation of civil society, youth, and women and familiarise the public with concepts related to infrastructures for peace.

**Expected Result (2):** Inclusive local youth mediation contributing directly and immediately to mediation between the warring parties is strengthened.

Activities (indicative):

- 5.2.1 Develop the capacities of young civil society leaders by partnering them with more senior mediators and former youth mediation programme participants;
- 5.2.2 Provide capacity-building training on relevant topics e.g. conflict mediation, conflict sensitivity, and Track II and III peacebuilding;
- 5.2.3 Support young men and women to develop and lead the implementation of Track III peacebuilding initiatives in direct support of mediation efforts aimed at addressing key conflict/service provision needs at the sub-national level;
- 5.2.4 Provide Rapid Support Grants to bolster mediation efforts nationwide, in select high-value cases where local mediators are undertaking mediation between the warring parties but lack sufficient funding;
- 5.2.5 Contribute to the draft future national policy by recommending a mechanism for rapid mediation support that can be institutionalised in the post-conflict period.

## 6. IMPLEMENTATION

### 6.1 IMPLEMENTATION MODALITIES

The Commission will ensure that the appropriate EU rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures<sup>2</sup>.

#### 6.1.1 Grant: direct award (direct management)

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

This grant will contribute to all the identified objectives and expected results under points 4 and 5.

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

The types of applicants targeted for this direct award are international and national non-profit organisations and private companies.

##### (c) Justification of a direct grant

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 action entails crisis management aid as referred to in Article 195(a) and as defined in Article 2(21) of the Financial Regulation** at the date of the Financing Decision.

### 6.2 INDICATIVE BUDGET

The total European Union contribution under this Financing Decision **will not exceed EUR 2 000 000**. A breakdown among components is provided hereunder, and is indicative.

#### Indicative budget breakdown

| Components   | EU contribution<br>(amount in<br>EUR) | Indicative third<br>party<br>contribution, in<br>currency<br>identified |
|--|---------------------------------------|---|
| Component 1: Institutionalising Peace in Yemen - Support to Track II mediation efforts |                                       |   |
| 6.1.1 – Direct grant (direct management)   | 2 000 000                             | N/A   |
| Total  | 2 000 000                             | N/A   |

### 6.3 ORGANISATIONAL SET-UP AND RESPONSIBILITIES

The action shall be implemented under direct management. It will be devolved and sub-delegated to the **European Union Delegation in Yemen**, with the support of the Commission for the conclusion of the contracts implementing the action.

<sup>2</sup> [www.sanctionsmap.eu](http://www.sanctionsmap.eu) Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website, it is the OJ version that prevails.

## **6.4 PERFORMANCE AND RESULTS 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 report. Each 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 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).

## **6.5 EVALUATION**

Having regard to the nature of the action, an evaluation will not be carried out for this action or its components.

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

## **6.6 AUDIT**

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

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

## **6.7 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.

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 Requirements for European Union External Action (or any succeeding document) shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

## **7. COMPLEMENTARITY, COORDINATION AND FOLLOW-UP**

The action will be closely coordinated with EU-funded actions in the sector in particular those implemented and planned by Directorate-General for International Partnerships (DG INTPA) which focus on local level peace initiatives, building inclusive local level security approaches and reducing youth vulnerability to radicalisation, as well as humanitarian actions funded by Directorate-General for European Civil Protection and Humanitarian Aid Operations (DG ECHO), in particular measures aimed at preventing state failure, including through the provision of basic services.

In addition, this action complements ongoing and planned actions funded through the Instrument contributing to Stability and Peace as well as through Global Europe: Neighbourhood, Development and International Cooperation Instrument (NDICI), particularly within the triple nexus with emphasis on supporting the UN-led peace process. Overall, this initiative complements, supports and coordinates with ongoing initiatives by the UN Special Envoy to Yemen<sup>3</sup>. It is critical that the action is coordinated with the other initiatives (and with the Office of the Special Envoy of the Secretary General for Yemen (OSESFY) in close coordination with the EU Delegation) to ensure ongoing complementarity.

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<sup>3</sup> [Good Offices | OSESFY \(unmissions.org\)](https://unmissions.org/en/good-offices)