



Brussels, 26.6.2017  
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**COMMISSION IMPLEMENTING DECISION**

**of 26.6.2017**

**on the annual action programme 2017 for the Instrument contributing to Stability and  
Peace - Conflict prevention, peace-building and crisis preparedness component to be  
financed from the general budget of the European Union**

## COMMISSION IMPLEMENTING DECISION

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### **on the annual action programme 2017 for the Instrument contributing to Stability and Peace - Conflict prevention, peace-building and crisis preparedness component to be financed from the general budget of the European Union**

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002<sup>1</sup>, and in particular Article 84(2) thereof,

Having regard to Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action<sup>2</sup>, and in particular Article 2(1) thereof,

Whereas:

- (1) The Commission has adopted the Strategy Paper 2014-2020 and Multiannual indicative Programme for the period 2014-2017 for the Instrument contributing to Stability and Peace<sup>3</sup> identifying five priorities for actions in the areas of conflict prevention, peace-building and crisis preparedness, as provided for in Article 4 of Regulation (EU) No 230/2014: a) promoting early warning and conflict-sensitive risk analysis in the policy making and the implementation of policy; b) facilitating and building capacity in confidence-building, mediation, dialogue and reconciliation, with particular regard to emerging inter-community tensions; c) strengthening capacities for participation and deployment in civilian stabilisation missions; d) improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation; e) curbing the use of natural resources to finance conflicts and supporting compliance by stakeholders with initiatives such as the Kimberley Process Certification Scheme, especially as regards the implementation of efficient domestic controls over the production of, and trade in, natural resources.
- (2) The objectives pursued by the annual action programme to be financed under Regulation (EU) No 230/2014<sup>4</sup> are to support measures building and strengthening the capacity of the Union and its partners to prevent conflict, build peace and address pre- and post-crisis needs in close co-ordination with international, regional and sub-regional organisations, state and civil society actors.

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<sup>1</sup> OJ L 298, 26.10.2012, p. 1.

<sup>2</sup> OJ L 77, 15.3.2014, p. 95.

<sup>3</sup> Commission Implementing Decision C(2014)5607 final of 11 August 2014 adopting the Thematic Strategy Paper 2014-2020 and accompanying Multiannual indicative Programme 2014-2017 of the Instrument contributing to Stability and Peace.

<sup>4</sup> Regulation (EU) No 230/2014 of the European Parliament and of the Council of 11 March 2014 establishing an instrument contributing to stability and peace (OJ L 77, 15.3.2014, p. 1).

- (3) The action entitled 'Support to in-country civil society actors in conflict prevention, peace-building, crisis preparedness' aims to support in-country civil society actors globally in their endeavours to prevent conflicts and build peace, via locally managed calls for proposals for civil society-led actions focused on three thematic priorities relating to both long-term and short-term conflict prevention and peacebuilding activity: Preventing Violent Extremism; Strengthening the engagement of civil society organisations in the security sector; Preventing Electoral Violence. The Action will be implemented through direct management via calls for proposals.
- (4) The action entitled 'European Resources for Mediation Support (ERMES) III' aims at facilitating Union support to third party engagement in inclusive peace mediation and dialogue processes at the international, regional or local levels, including in both conflict prevention and resolution contexts, by inter alia providing technical assistance and training, and organising meetings and seminars to facilitate conditions conducive to such engagement. The action will be implemented through direct management via procurement of services.
- (5) The action entitled 'Provision of expertise and tools to support Recovery and Peace Building Assessment and Post-Disaster Needs Assessment' aims to support third countries to build up their capacity to carry out Recovery and Peace Building Assessments and Post-Disaster Needs Assessments (PDNAs). This will be achieved by providing technical expertise in tripartite EU-World Bank-UN RPBA/PDNA missions, by providing training and capacity building activities to national authorities and regional/international organisations. The action will be implemented through direct management via procurement of services.
- (6) The action entitled 'Responsible sourcing of gold and diamonds from West and Central Africa' aims at contributing to peace-building and stabilization efforts in mineral-rich fragile areas through the promotion of responsible sourcing and trading of gold and diamonds. The action supports the 'Integrated EU approach to the responsible sourcing of minerals originating from conflict-affected and high-risk areas'<sup>5</sup> and the Kimberley Process focusing on the regions of West Africa and Central Africa. The action will be implemented through direct and indirect management.
- (7) The action entitled 'Provision of expertise for justice in conflict and transition' aims to support third countries' justice processes during conflict, post-conflict and transition periods in line with the 'EU's Policy Framework on support to transitional justice'<sup>6</sup>. The action will allow the provision of short-term policy and technical support particularly in the areas of constitution-making, formal and community-based transitional justice processes. The action will be implemented through direct management via procurement of services.
- (8) The action entitled 'Preventing Violent Extremism: A Gender Sensitive Approach' aims to prevent the rise of violent extremism by strengthening capacities of local actors from two countries (in the Middle East and Asia regions) to address its gender dynamics through research activities to further knowledge on the drivers of extremist violence and its specific impact on women and girls and through specific initiatives to

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<sup>5</sup> Joint Communication to the European Parliament and the Council by the European Commission and the High Representative of the European Union for Foreign Affairs and Security Policy 'Responsible sourcing of minerals originating in conflict-affected and high-risk areas Towards an integrated EU approach' (Joint(2014) 8 final - 05/03/2014)

<sup>6</sup> Council Conclusions on EU's support to transitional justice, adopted by the Council on 16 November 2015 - 13576/15

support in-country authorities and civil society organisations, including women's groups, in their engagement to prevent violent extremism. The action will be implemented through indirect management via a delegation agreement with UN Women.

- (9) The action entitled 'Education Planning for Conflict Prevention and Crisis Preparedness' aims to reduce education sector risks and vulnerability in crisis situations by strengthening the capacities of key national and international actors in planning education systems through a crisis-sensitive approach; by reinforcing country-level coordination and collaboration between education actors in preventing and managing the crisis in the education sector as well in managing refugee influxes; and by strengthen the evidence base to improve the education system. The action will be implemented through indirect management via a delegation agreement with the UNESCO International Institute for Education Planning.
- (10) It is necessary to adopt a financing decision the detailed rules of which are set out in Article 94 of Commission Delegated Regulation (EU) No 1268/2012<sup>7</sup>.
- (11) It is necessary to adopt a work programme for grants the detailed rules on which are set out in Article 128(1) of Regulation (EU, Euratom) No 966/2012 and in Article 188(1) of Delegated Regulation (EU) No 1268/2012. The work programme is constituted by the Annexes I and IV to this Decision.
- (12) The Commission should entrust budget-implementation tasks under indirect management to the entities specified in this Decision, subject to the conclusion of a delegation agreement. In accordance with Article 60(1) and (2) of Regulation (EU, Euratom) No 966/2012, the authorising officer responsible needs to ensure that these entities guarantee a level of protection of the financial interests of the Union equivalent to that required when the Commission manages Union funds. These entities comply with the conditions of points (a) to (d) of the first subparagraph of Article 60(2) of Regulation (EU, Euratom) No 966/2012 and the supervisory and support measures are in place as necessary.
- (13) The authorising officer responsible should be able to award grants without a call for proposals only in the exceptional cases set out in accordance with Article 190 of Delegated Regulation (EU) No 1268/2012.
- (14) It is necessary to allow the payment of interest due for late payment on the basis of Article 92 of Regulation (EU, Euratom) No 966/2012 and Article 111(4) of Delegated Regulation (EU) No 1268/2012.
- (15) Pursuant to Article 94(4) of Delegated Regulation (EU) No 1268/2012, any substantial change to a financing decision that has already been adopted should follow the same procedure as the initial decision. It is therefore appropriate that the Commission should define the changes to this Decision that are considered non substantial in order to ensure that any such changes can be adopted by the authorising officer responsible.
- (16) The measures provided for in this Decision are in accordance with the opinion of the Stability and Peace Instrument Committee set up by Article 11 of Regulation (EU) No 230/2014,

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<sup>7</sup> Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union (OJ L 362, 31.12.2012, p. 1).

HAS DECIDED AS FOLLOWS:

#### *Article 1*

##### **Adoption of the programme**

The annual action programme 2017 for the Instrument contributing to Stability and Peace - Conflict prevention, peace-building and crisis preparedness component, as set out in the Annexes, is adopted.

The programme shall include the following actions:

- (a) Annex I: Support to in-country civil society actors in conflict prevention, peace-building, crisis;
- (b) Annex II: European Resources for Mediation Support (ERMES) III;
- (c) Annex III: Provision of expertise and tools to support Recovery and Peace Building Assessment and Post-Disaster Needs Assessment;
- (d) Annex IV Responsible sourcing of gold and diamonds from West Africa and Central Africa;
- (e) Annex V: Provision of expertise for justice in conflict and transition;
- (f) Annex VI: Preventing Violent Extremism: A Gender Sensitive Approach;
- (g) Annex VII: Education Planning for Conflict Prevention and Crisis Preparedness.

#### *Article 2*

##### **Financial contribution**

The maximum contribution of the European Union for the implementation of the programme referred to in Article 1 is set at EUR 29 000 000 and shall be financed from budget line 19 02 02 of the general budget of the European Union for 2017.

The financial contribution provided for in the first paragraph may also cover interest due for late payment.

#### *Article 3*

##### **Implementation modalities**

Budget-implementation tasks under indirect management may be entrusted to the entities identified in Annexes IV, VI and VII, subject to the conclusion of the relevant agreements. The elements required by Article 94(2) of Delegated Regulation (EU) No 1268/2012 are set out in the Annexes to this Decision.

Grants may be awarded without a call for proposals by the authorising officer responsible in the exceptional cases set out in accordance with Article 190 of Delegated Regulation (EU) No 1268/2012.

#### *Article 4*

##### **Non-substantial changes**

Increases or decreases of up to EUR 10 million not exceeding 20 % of the contribution set by the first paragraph of Article 2, or cumulated changes to the allocations of specific actions not

exceeding 20 % of that contribution, as well as extensions of the implementation period shall not be considered substantial within the meaning of Article 94(4) of Delegated Regulation (EU) No 1268/2012, provided that they do not significantly affect the nature and objectives of the actions.

The authorising officer responsible may adopt such non-substantial changes in accordance with the principles of sound financial management and proportionality.

Done at Brussels, 26.6.2017

*For the Commission*  
*Federica MOGHERINI*  
*Vice-President*



EN

**ANNEX I**

of the Commission Implementing Decision on the 2017 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 sections concerning calls for proposals: 5.4.1.

<b>1. Title/basic act/ CRIS number</b>	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/2017/40385	
<b>2. Zone benefiting from the action/location</b>	Indicative list of regions and countries: Central African Republic, Central Asia, Madagascar, West Africa, Zimbabwe.  Geographical areas will be specified by the regional team and the EU Delegations where projects will be funded under this Action.	
<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>1</sup> .	
<b>4. Sector of concentration/ thematic area</b>	Priorities (a) and (b) under Art. 4.1 of IcSP Regulation: (a) promoting early warning and conflict-sensitive risk analysis in the policy-making and the	DEV. Aid: YES <sup>2</sup>

<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))

<sup>2</sup> Official Development Aid is administered with the promotion of the economic development and welfare of developing countries as its main objective.

	implementation of policy; 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.			
<b>5. Amounts concerned</b>	Total estimated cost: EUR 14,000,000 Total amount of EU budget contribution EUR 12,500,000 This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 1,500,000			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality  Direct management – grants – call for proposal			
<b>7 a) DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>b) Main Delivery Channel</b>	21000 International non-governmental organisations (NGO) 23000 Developing country-based NGO			
<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"/>	<b>X</b>
	Aid to environment	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<b>X</b>	<input type="checkbox"/>
	Trade Development	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<b>X</b>	<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	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	N/A			

<b>10. SDGs</b>	Sustainable Development Goal 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.
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## 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 FPI regional teams ('regional teams') in cooperation with EU Delegations, it is envisaged to support actions implemented by in-country civil society actors to strengthen their institutional, operational and networking capacity in 3 priority areas relating to both long-term and short-term conflict prevention and peacebuilding activity: Preventing Violent Extremism; Strengthening the engagement of civil society organisations (CSOs) in the security sector; Preventing Electoral Violence.

## 1 CONTEXT

### 1.1 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 in their efforts to build peace and prevent violent conflicts. This helps 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)<sup>3</sup> replaced as of 2014 by the Instrument contributing to Stability and Peace<sup>4</sup> (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>5</sup> which identified priority areas for engagement with local civil society organisations (CSO) in partner countries, including the promotion of a conducive environment for the participation of CSOs in domestic policies and in international

<sup>3</sup> Regulation (EC) No 1717/2006 of the Parliament and of the Council of 12 November 2006 establishing an Instrument for Stability, OJ L 327, 24 November 2006: <http://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=OJ:L:2006:327-FULL&from=EN>

<sup>4</sup> Regulation (EU) No 230/2014 of the European Parliament and of the Council of 11 March 2014 establishing an instrument contributing to stability and peace, OJ L 077, 15 mars 2014: [http://ec.europa.eu/dgs/fpi/documents/140311\\_icsp\\_reg\\_230\\_2014\\_en.pdf](http://ec.europa.eu/dgs/fpi/documents/140311_icsp_reg_230_2014_en.pdf)

<sup>5</sup> COM(2012) 492 final: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:en:PDF>

processes and the support to CSO capacity to perform their roles more effectively. This Action also contributes to the implementation of 'the EU's comprehensive approach to external conflict and crises'<sup>6</sup> and 'the Global Strategy for the European Union's Foreign And Security Policy' of the High Representative<sup>7</sup> which call for stronger and deeper engagement with civil society organisations in order to strengthen societal resilience and nurture positive change in contexts affected by conflict, fragility and weak governance.

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, 2015 and 2016 Annual Action Programmes (AAPs). Under these seven rounds of locally managed calls for proposals, 35 EU Delegations 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 2017 identifies three priority areas as indicated in section 1.1.3.

### ***1.1.2 Stakeholder analysis***

The main stakeholders are on the one hand: international and national civil society organisations 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 leaders, local governments, trade, youth and women's associations, private sector organisations, cultural operators (both formal and informal) as well as community individuals and in particular conflict-affected women and youth involved directly or indirectly in projects funded under this Action.

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

Support to in-country civil society actors under the AAP 2017 will focus on the following three priority areas which are critical threats to or foundations of conflict prevention, peace-building and crisis preparedness:

#### **1) Preventing Violent Extremism:**

The threat posed by groups promoting violent narratives and solutions is ever pressing throughout the world. It is putting countries and societies at risk of conflict notably by reinforcing divisions among groups, by undermining the social contract between citizens and their state and by marginalising the forces of positive and constructive change. Responding effectively to the multi-faceted threats posed by violent extremist and terrorist groups requires comprehensive approaches and the engagement of all relevant actors, including civil society. Through this Action, the EU will support civil society initiatives aiming to strengthen social cohesion and the resilience of communities to the appeal of violent extremism, especially through the empowerment of women and youth groups.

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<sup>6</sup> JOIN(2013) 30 final: [http://www.eeas.europa.eu/archives/docs/statements/docs/2013/131211\\_03\\_en.pdf](http://www.eeas.europa.eu/archives/docs/statements/docs/2013/131211_03_en.pdf)

<sup>7</sup> [http://europa.eu/globalstrategy/sites/globalstrategy/files/pages/files/eugs\\_review\\_web\\_13.pdf](http://europa.eu/globalstrategy/sites/globalstrategy/files/pages/files/eugs_review_web_13.pdf)

## 2) Strengthening the engagement of CSOs in the security sector:

A responsive security sector providing and guaranteeing security for the people is a critical foundation of sustainable peace. Support to Security Sector Reform (SSR) processes is one of the main EU contribution to building peace and preventing conflict. While SSR efforts focus mostly on state actors, law enforcement authorities and other statutory security forces, the recently adopted *EU-wide strategic framework to support security sector reform*<sup>8</sup> calls for a broader engagement and involve all stakeholders, including non-state and civil society actors. Through this Action we will support civil society to engage in Security Sector Reform processes in order to make them more participatory, locally owned and people-focused. Beyond the frameworks of formal SSR processes, we will also provide support to civil society organisations who are taking actions to address security challenges and enhance human security.

## 3) Preventing Electoral Violence:

Violence breaking out during elections periods is often the result of underlying tensions and ultimately undermines 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. This Action aims to support civil society initiatives addressing the dynamics of violence triggered by and affecting elections processes.

## **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.	M	Regional teams and EU Delegations may decide, based on a proper risk and cost effectiveness analysis, to indicate specific 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.	M	Regional teams and 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.

<sup>8</sup>JOIN(2016) 31 final: [https://ec.europa.eu/europeaid/sites/devco/files/joint-communication-ssr-20160705-p1-854572\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/joint-communication-ssr-20160705-p1-854572_en.pdf)

## Assumptions

- Enabling political climate leaves enough space and opportunity at country level for civil society actors to engage on conflict prevention and peace issues;
- Sufficient capacity within the regional teams to manage the Calls for Proposals and monitor the projects, as well as buy-in from EU Delegations and ad hoc cooperation at the different preparation and implementation stages;
- Sufficient response from civil society actors in the thematic areas envisaged under this Action: Preventing Radicalisation and Violent Extremism; Strengthening the engagement of CSOs in the security sector; Preventing Electoral Violence.

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

#### 3.1 Lessons learnt

Drawing upon the experience of the previous seven rounds of IfS and IcSP 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>9</sup>, as well as the 2014 evaluation of the IfS crisis preparedness component<sup>10</sup>, the key lessons learnt for this Action are the following:

- Over the past 6 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 has been 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;
- Substantial work has been done in the area of societal and state resilience with aid instruments implemented by civil society organisations;

#### 3.2 Complementarity, synergy and donor coordination

Subsidiarity and complementarity with other geographic or thematic interventions at country level will be ensured by the respective FPI regional teams and EU Delegations in charge of identifying and selecting projects to be funded under this action.<sup>11</sup> Complementarity and cross-fertilisation with other relevant activities under implementation at country level and in

<sup>9</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>10</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>11</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.

particular those funded by the EU (for example, under the European Development Fund (EDF)<sup>12</sup>, DCI<sup>13</sup> ‘Civil Society Organisations and Local Authorities’ and Global Public Goods and Challenges programme and DCI Pan-African Programme, EIDHR<sup>14</sup> and IcSP Articles 3 and 5) will be ensured by the respective regional teams in cooperation with EU Delegations. Full coordination with EU Country Road Maps for engagement with civil society, in selected countries, will be undertaken by the regional teams and 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>15</sup> as well as the New Deal<sup>16</sup>, regional teams and 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 Compact exists, regional teams and EU Delegations will also ensure alignment with the agreed priorities identified in the Compact.

### **3.3 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 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**

### **4.1 Objectives/results**

The overall objective of this Action is to support (sub-)national and regional initiatives in countries 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.

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 and resilience.

The action aims to achieve the following results:

- a) Strengthened institutional and operational capacity of civil society actors with regard to the three priority areas mentioned below;
- b) Improved in-country civil society actors networking and advocacy skills, including increased civil society involvement in the three thematic areas relating to both long-term and short-term conflict prevention and peace-building;

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<sup>12</sup> OJ L 210/1, 6 August 2013: [https://ec.europa.eu/europeaid/sites/devco/files/internal-agreement-11edf-2013-2020\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/internal-agreement-11edf-2013-2020_en.pdf)

<sup>13</sup> Development Cooperation Instrument, Regulation (EU) No 233/2014, OJ L 077, 15 March 2014

<sup>14</sup> European Instrument for Democracy and Human Rights, Regulation (EU) No 235/2014, OJ L 077, 15 March 2014

<sup>15</sup> <http://www.oecd.org/dac/effectiveness/34428351.pdf>

<sup>16</sup> <http://www.pbsdialogue.org/en/new-deal/about-new-deal/>

- c) Established or enhanced dialogue between civil society actors and local, national, regional or international institutions on subjects related to the three priority areas.

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of Sustainable Development Goal 16 (Peace, Justice and Strong Institutions) but also promotes progress towards Goal 5 (Gender equality). This does not imply a commitment by the countries benefiting from this programme.

## **4.2 Main activities**

### 1. Preventing Violent Extremism:

Violent extremism undermines our collective efforts towards maintaining peace and security, fostering sustainable development, protecting human rights, promoting the rule of law and taking humanitarian action. Responding effectively to the multi-faceted threats posed by violent extremist and terrorist groups requires comprehensive approaches and the engagement of all relevant actors, including civil society.

Through this action, it is proposed to support and empower civil society initiatives aiming to:

- a) Strengthen social cohesion and the resilience of communities to the appeal of violent extremism, promote tolerance and dialogue to settle differences and address grievances;
- b) Prevent youth from joining violent movements and armed groups, and actions aimed at rehabilitating and reintegrating former combatants associated with violent extremist groups.

The following activities, inter alia, could be envisaged:

- Research activities, including through participatory methodologies, aiming to analyse and understand the dynamics, including gender norms, attitudes and perceptions, underpinning violent extremism which are specific to each context, as well as early warning mechanisms aiming to detect vulnerabilities and risks of radicalisation and violent extremism;
- Civil society, including women's organisations, participation into decision-making through advocacy towards, and partnerships with, national level authorities and the security and justice sectors, as well as other relevant national, regional and international stakeholders on the design and implementation of conflict-sensitive policy frameworks, strategies and action plans to prevent violent extremism;
- Dialogue and confidence building measures, including through art, culture and sport activities aiming to promote understanding, tolerance and social cohesion across various social, political or religious divides;
- Media and strategic communication actions aiming to promote media literacy, critical thinking against hate speech and propaganda, tolerance and non-violence, to challenge the narratives associated with violent extremism in gender and conflict-sensitive manners;
- Formal and informal peace education actions targeting youth and their communities and aimed at providing young people with alternative models to violence, life-skills education, promoting peace culture, intercultural dialogue and cooperation, respect for diversity and tolerance, including cultural diversity, strengthening their skills in

mediation, negotiation, conflict resolution, consensus building, positive social norms etc;

- Community level engagement through processes like confidence-building, dialogue, community policing, capacity building and initiatives aiming to detect, prevent, protect individuals from radicalisation and joining violent extremist groups or initiatives to accompany individuals and communities in the reintegration and rehabilitation of former members of extremist groups.
- Lessons learning and stock taking initiatives aiming to share good practices and experiences among practitioners so as to improve respective and joined up work at all level;

## 2. Strengthening the engagement of CSOs in the security sector;

A responsive security sector providing and guaranteeing security for the people is a critical foundation of sustainable peace. Support to Security Sector Reform processes is one of the main EU contributions to building peace and preventing conflict. While SSR efforts focus mostly on state actors, law enforcement authorities and other statutory security forces, the recently adopted EU-wide strategic framework to support security sector reform calls for a broader engagement that involves all stakeholders, including non-state and civil society actors. Through this action we will support civil society to engage in Security Sector Reform processes in order to make them more participatory, locally owned and people-focused. Beyond the frameworks of formal SSR processes, we will also provide support to civil society organisations who are taking actions to address security challenges and enhance human security.

Through this action, it is proposed to support and empower civil society organisations to:

- a) Take part in, inform and support the design and implementation SSR processes so these can better take into account, and address, people's security needs and concerns, including from a gender perspective;
- b) Undertake their own initiatives to tackle context-specific security challenges, including by establishing sustainable partnerships and trust between relevant state and non-state stakeholders.

The following activities, inter alia, could be envisaged:

- Security assessments and other SSR relevant types of analysis aiming to better understand perceptions of and drivers of insecurity, security risks and conflict dynamics as well as governance and political economy types of analysis to identify the key challenges and opportunities for change in the security sector;
- Establishment of, or support to existing, civil society networks aiming to rationalise and enhance civil society engagement with security sector stakeholders (national and international);
- Capacity building of civil society organisations, networks and communities on security sector related issues, through training, accompaniment, peer learning and exchanges;
- Enhanced participation into decision-making through advocacy towards, and partnerships with, national level authorities and the security and justice sectors, as well

as other relevant national, regional and international stakeholders on the design and implementation of SSR frameworks, action plans and activities;

- Monitoring and oversight initiatives to ensure security actors comply with rule of law and human rights principles and effectively respond to the security needs of the population;
- Media and communications related initiatives aiming to build capacity of relevant media stakeholder to understand and monitor SSR related developments, and to report about security related matters in a conflict-sensitive manner to the broad public;
- Community security and other community-level types of initiatives aiming to mobilise communities, local authorities, security actors and other relevant stakeholders in the identification of security challenges and the implementation of action plans to address them, and to create safe spaces for dialogue on security issues;
- Engagement with non-state security actors such as customary authorities, traditional courts and other local non-state security providers, private security companies, and the private sector to improve their performance to provide security and justice in a conflict and gender-sensitive manner and according to human rights and non-discriminatory principles.
- Support to women's organisation's engagement with security actors and initiatives aiming to make SSR processes more gender-sensitive, including through capacity building, and security and justice actors more effective at tackling gender based violence.

### 3. Preventing Electoral Violence:

Violence breaking out during election periods is often the result of underlying tensions 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 can emerge in very different contexts: from post-conflict situations when a country transitions to democracy or where elections form a critical component of a peace agreement, to countries who haven't gone through major conflicts but where democracy and democratic culture remains weak and fragile.

This action aims to support civil society initiatives addressing the dynamics of violence triggered by and affecting elections processes. It is proposed to support civil society actors, including women's groups, in their endeavours to:

- a) Identify areas of potential risks of violence and facilitate the local and/or national processes to address those risks and prevent violence;
- b) Support and accompany the relevant stakeholders (communities, NGOs, media, electoral bodies, security forces and authorities) in their capacity building to engage in and manage electoral processes peacefully;
- c) Mobilise, communicate and reach out to the public to promote peaceful and constructive change;

The following activities, inter alia, could be envisaged:

- Early warning initiatives, conflict analysis and violence monitoring processes aiming to detect first signs or risk factors of potential violence to develop remedial early actions to prevent and/or mitigate their (potential) impact;
- Engagement with security forces to develop contingency planning, ensure appropriate crisis preparedness measures and relevant channels of communications. Accompaniment of security forces in their outreach and community engagement.
- Mediation and dialogue facilitation at national and 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;
- 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.

### **4.3 Intervention logic**

It is envisaged that through the support to civil society actors in the three areas mentioned above, the related in-country capacities and processes will be more effective at tackling conflict and security challenges because:

- Civil society actors themselves will better able to engage on these issues on their own and in collaboration with others;
- State capacities and state led processes will benefit from civil society expertise, analysis and support;
- Partnerships between relevant actors active in specific fields will be strengthened and collective efforts and impact will be maximised;

## **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 *Grants: call for proposals – Sub-Delegated Call for Proposals for "Support to in-country civil society actors in conflict prevention, peace-building and crisis preparedness" (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 recognising 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 the regions and countries<sup>17</sup> (see the table below) 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 EU Conflict Early Warning System<sup>18</sup> as well as Head Quarters, regional teams and 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.

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<sup>17</sup>. In exceptional circumstances, countries other than those cited immediately above, may be identified using the EU Conflict Early Warning System.

<sup>18</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)

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

- implementation capacity within the FPI regional teams;
- buy-in from the relevant EU Delegations;
- 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 or regions:**

<b>Countries or Regions</b>	<b>Indicative financial allocations (in EUR)</b>
<b>Central African Republic</b>	<b>2,000,000</b>
<b>Central Asia Regional</b>	<b>2,000,000</b>
<b>Madagascar</b>	<b>1,000,000</b>
<b>West Africa Regional</b>	<b>5,500,000</b>
<b>Zimbabwe</b>	<b>2,000,000</b>

Subject to information to be published in the calls for proposals managed by each FPI regional team, the indicative amount of the EU contribution per grant is EUR 300,000 – EUR 1,500,000 and the grants may be awarded to 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 the financial and operational capacity of the applicant.

The essential award criteria are the 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

Calls for proposals are expected to be published as from the last quarter of 2017.

### 5.3.1.1 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Support Measures (CfP related awareness raising, information, publication costs etc.)	Services	10	As of last quarter 2017

### 5.4 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

### 5.5 Indicative budget

	EU contribution (amount in EUR)	Indicative third party contribution, in currency identified (amount in EUR)
5.3.1 – Call for proposals (direct management)	12,300,000	1,500,000
5.3.1.1 – Procurement (direct management)	200,000	
Totals	12,500,000	

### 5.6 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 FPI regional team and 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 FPI regional teams in cooperation with the selected EU Delegations as contracting authority. Each FPI regional team will define the specific projects' arrangements including potential role in the governance of the projects, participation in steering committee etc. involving the selected EU Delegation. FPI regional teams 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.

## **5.7 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 (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).

## **5.8 Evaluation**

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

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

Where an evaluation is decided the Commission shall inform the implementing partner at least 30 days 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 evaluations, if needed, shall be covered by another measure constituting a financing decision.

## **5.9 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.

## **5.10 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 5.5 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>19</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>	State and non-state capacities in selected countries are better prepared for managing and defusing tensions and potential triggers for conflicts in particular with regards to the 3 identified priority areas.	. % of violent incidents reported by state authorities in a given year; . % of people feeling safe in a given year.	The baseline will be established according to each country/region context of reference.	The relevant targets will be established according to each country/region context of reference.	a) Citizen-based perception surveys  b) Annual reports of relevant state agencies	There is enough and regularly updated date available in-country.
<b>Specific objective(s): Outcome(s)</b>	a) Strengthened institutional and operational capacity of civil society actors with regard to the three priority areas mentioned below; b) Improved in-country civil society actors networking and advocacy skills, including increased civil society involvement in the three 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 three priority areas.	The indicative indicators below shall be adapted according to each country context and priority area(s):  . % of targeted population expressing confidence in and satisfaction towards civil society's effectiveness in tackling conflict risks, managing conflicts and building peace.  . Number of appropriate	The starting point or current value of the indicators will be specified according to each country/region context of reference.	The intended value of the indicator will be determined according to each country/region context of reference.	The relevant sources of information and data collection methods will be identified according to each country/region context of reference.	There is enough and regularly updated date available in-country.

<sup>19</sup> Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'.

		<p>measures identified and implemented by civil society to prevent conflicts and their outcomes.</p> <p>. Number and type of policy advocacy actions undertaken by in-country civil society actors and their outcomes.</p> <p>. Number (%) of civil society actors consulted by local/national authorities and involved in peace processes (e.g. conflict resolution initiatives, recovery plans).</p>				
<b>Outputs</b>	The direct/tangible outputs will differ depending on each context and the priority areas selected.					



EN

**ANNEX II**

of the Commission Implementing Decision on the 2017 Annual Action Programme for the Instrument contributing to Stability and Peace conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for European Resources for Mediation Support III**

<b>1. Title/basic act/ CRIS number</b>	European Resources for Mediation Support III (ERMES III)- CRIS number: IcSP/2017/40385, financed under Instrument contributing to Stability and Peace	
<b>2. Zone benefiting from the action/location</b>	Global. The action shall have a global mandate and its geographical coverage will focus on the current on EU strategic foreign policy priorities.	
<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 (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.	DEV. Aid: YES-NO <sup>1</sup>
<b>5. Amounts concerned</b>	Total estimated cost: EUR 3,500,000 Total amount of EU budget contribution EUR 3,500,000	
<b>6. Aid modality and</b>	Project Modality	

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<sup>1</sup> Official Development Aid is administered with the promotion of the economic development and welfare of developing countries as its main objective.

<b>implementation modality</b>	Direct management - procurement of services			
<b>7 a) DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>b) Main Delivery Channel</b>				
<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		
<b>10. SDGs</b>	Sustainable Development Goal (SDG) 16 <i>"Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels"</i> . Secondary SDG Goal 12 <i>"Ensure sustainable consumption and production patterns"</i> .			

## SUMMARY

This action aims at facilitating EU support to third party engagement in inclusive peace mediation and dialogue processes at the international, regional or local level, including in both conflict prevention and resolution contexts, by *inter alia* providing technical assistance and training, and organising meetings and seminars to facilitate conditions conducive to such engagement.

The foreseen results of this action include:

a) more effective EU support to peace mediation and dialogue processes, by making expertise available, and setting up and maintaining deployment systems and logistical support capacity;

- b) enhanced quality, inclusion and sustainability of those peace processes where the EU mobilises mediation support through this Action;
- c) enhanced exchange on peace mediation and dialogue processes between EU and relevant stakeholders involved in peace processes supported by the EU, including civil society, international and regional organisations, and conflict parties;
- d) a strengthened role and profile of the EU as a peace mediator and peace process supporter at different levels in those processes where the EU decides to be engaged.
- e) adherence to international good practice in EU mediation support delivered via this Action—principles, methods and activities – including relevant elements of the Women, Peace and Security agenda deriving from UN Security Council Resolution (UNSCR) 1325, and conflict-sensitivity principles.

## 1 CONTEXT

### 1.1 Sector and 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 the European Resources for Mediation Support I ("ERMES I" - funded under AAP 2013 of the Instrument for Stability<sup>2</sup>) and "ERMES II" (funded under AAP 2016 of the Instrument contributing to Stability and Peace).

ERMES has proved to be an extremely useful tool for the EU role in mediation and dialogue. For this reason, it is wise to avoid any gap between the end of ERMES II and the start of ERMES III. Thus the inclusion of this action under the current AAP is necessary to avoid such a gap given the time-lapse necessary for the conclusion of the procurement procedure.

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

The 2009 Concept on Strengthening EU Mediation and Dialogue Capacities<sup>3</sup> and the 2011 Council conclusions on conflict prevention<sup>4</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

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<sup>2</sup> COM (2013) 1655 final

<sup>3</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>4</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)

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.

With the help of ERMES I and II, the EU has been able to reach out to and work with many of the principal stakeholders involved in peace process, ranging from track I (including UN) to track II and III.

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.

## **2 RISKS AND ASSUMPTIONS**

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
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 Non-Governmental Organisations' (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 Women Peace and Security (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" has successfully implemented more than fifty 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.

The capacity of ERMES to provide support and assistance on short notice – in particular through the deployment of relevant external expertise and the facilitation of meetings - 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 an EU-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 Complementarity, 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>5</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 UN Development Programme in cooperation with UN Department of Political Affairs 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 III 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, meetings of international and regional organisations active in the field of mediation and preventive diplomacy were organised both under ERMES I and II (Brussels, 2015 – Rome, 2016).

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.

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<sup>5</sup> COM (2014) 5706 final

### **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 sensitising 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>6</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 EU support to peace mediation and dialogue processes, by making expertise available, and setting up and maintaining deployment systems and logistical support capacity;
- b) measurable enhanced quality, inclusion and sustainability of those peace processes where the EU mobilises ERMES support;

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<sup>6</sup> COM(2011) 637 final

b) enhanced exchange on peace mediation and dialogue processes between EU and relevant stakeholders involved in peace processes supported by the EU, including civil society, international and regional organisations, and conflict parties;

c) a strengthened role and profile of the EU as a peace mediator and peace process supporter at different levels in those processes where the EU decides to be engaged.

d) adherence to international good practice in EU mediation support delivered via ERMES – principles, methods and activities – including relevant elements of the Women, Peace and Security agenda deriving from UNSCR 1325, and conflict-sensitivity principles.

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of SDG Goal 16 *"Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels"*, but also promotes progress towards Goal 12 *"Ensure sustainable consumption and production patterns"*, but also promotes progress towards Goal 5: *"Achieve gender equality and empower all women and girls"*. This does not imply a commitment by the countries benefiting from this programme.

## **4.2 Main activities**

Indicative activities under this Action are as follows:

- To provide access to expertise, including the deployment of technical experts covering a wide range of thematic and geographic issues at very short notice in the context of peace and dialogue processes;
- To provide other forms of technical support through measures such as:
  - harmonized and standardized training courses and coaching sessions on peace mediation and dialogue;
  - 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);
  - development of knowledge management products, studies, analysis as well as communication materials;
  - provision of logistical support to peace mediation/dialogue related processes and events that are being supported by the EU.

## **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 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**

**5.3.1.1 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 III	Services	1	Q4 2017

**5.4 Scope of geographical eligibility for procurement and grants**

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

## 5.5 Indicative budget

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
5.4.1.3 – Procurement (direct management)		N.A.
Contingencies	N.A.	N.A.
Totals	3,500,000	N.A.

## 5.6 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 and in particular with the Mediation Support Team situated within the Division for Prevention of Conflicts, Rule of Law and SSR, Integrated Approach, Stabilisation and Mediation (PRISM) which ensures the political steer, as focal point within the European External Action Service for the co-ordination of the activities outlined in the 2009 Concept on Mediation. Individual assignments will be managed and coordinated together with the relevant and involved Services and Geographic Divisions/Units in the EEAS and in the European Commission, as well as with EU Delegations.

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

## 5.7 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).

## **5.8 Evaluation**

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

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.

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

## **5.9 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.

## **5.10 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 5.6 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**

	<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>	To facilitate support to third party engagement in inclusive peace mediation and dialogue processes at the international, regional or local levels, including in both conflict prevention and resolution contexts	<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. 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 mediation initiative. 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>
<b>Specific objective(s): Outcome(s)</b>	a) more effective EU support to peace mediation and dialogue processes, by making expertise available, and setting up and maintaining deployment systems and logistical support capacity;	<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</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>- Individual assignment and project reports</li> <li>- EU internal documents</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) measurably enhanced quality, inclusion and sustainability of those peace processes where the EU mobilises ERMES support;</p> <p>b) enhanced exchange on peace mediation and dialogue processes between EU and relevant stakeholders involved in peace processes supported by the EU, including civil society, international and regional organisations, and conflict parties;</p> <p>c) a strengthened role and profile of the EU as a peace mediator and peace process supporter at different levels in those processes where the EU decides to be engaged.</p> <p>d) adherence to international good practice in EU mediation support delivered via ERMES – principles, methods and activities – including relevant elements of the Women, Peace and Security agenda deriving</p>	<p>supportive statements concerning EU role in supporting international peace mediation.</p> <p>- 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)</p>			<p>- Third party assessments</p>	
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	from UNSCR 1325, and conflict-sensitivity principles.					
<b>Outputs</b>	<ul style="list-style-type: none"> <li>- Deployment of technical experts;</li> <li>- provision of harmonized and standardized training courses and coaching sessions</li> <li>- facilitation and organisation of events contributing to peace/dialogues processes,</li> <li>- development of knowledge management products, studies, analysis and communication material.</li> <li>- provision of logistical support to peace mediation/dialogue related processes and events that are being supported by the EU.</li> </ul>	Number and quality ERMES assignments per activity	<i>Idem as above for the corresponding indicator.</i>	<i>Idem as above for the corresponding indicator.</i>		



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ANNEX III

**of the Commission Implementing Decision on the 2017 Annual Action Programme for the Instrument contributing to Stability and Peace conflict prevention, peace-building and crisis preparedness component (Article 4)**

**Action Document for the Provision of expertise and tools to support Recovery and Peace Building Assessment and Post-Disaster Needs Assessment**

<b>1. Title/basic act/ CRIS number</b>	Provision of expertise and tools to support Recovery and Peace Building Assessment and Post-Disaster Needs Assessment CRIS number: IcSP/2017/40385 financed under Instrument contributing to Stability and Peace (IcSP)	
<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	DEV. Aid: YES
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,500,000 Total amount of EU budget contribution EUR 2,500,000	
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality Direct management procurement of services	
<b>7 a) DAC code(s)</b>	15220 civilian peace-building, conflict prevention and resolution	
<b>b) Main Delivery Channel</b>		

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"/>	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"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	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	<input type="checkbox"/>	X	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	N/A			
10. SDGs	16 Peace, Justice and Strong institutions			

## SUMMARY

The objective of the action is to support third countries to build up their capacity to carry out Recovery and Peace Building Assessments (RPBA, previously named Post-Conflict Needs Assessment) and Post-Disaster Needs Assessments (PDNAs), through provision of technical expertise. This will be achieved by, inter alia, deploying experts in tripartite European Union (EU)-World Bank (WB)-United Nations (UN) RPBA/PDNA missions, and by providing input to training and capacity building activities to national authorities and regional/international organisations, including tripartite training events, as well as trainings to EU entities.

Furthermore, through the action, the EU will continue to contribute to the development and enhanced application of the RPBA/PDNA related concepts, methodologies and tools developed in the tripartite EU/WB/UN context, as indicated in the Joint Declaration signed in 2008, and developed under previous related projects. An essential component of the action will be to ensure close co-ordination within the EU Institutions and with the tripartite parties UN and WB, to allow for strategic adoption and implementation of RPBAs/PDNAs.

## 1 CONTEXT

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

Post-disaster and post-conflict settings are complex and demanding environments where the most urgent task is to assess humanitarian needs and provide support to those affected. Further, they require an assessment of the longer term recovery needs of the country/region and the development of a comprehensive recovery plan that sets the way to a sustainable development process including measures to reduce the risk of future disasters and conflicts.

To meet such challenges a country affected often requires the support of a wide range of national and international actors.

As part of the 2008 Joint Declaration on Post-Crisis Assessments and Recovery Planning, the World Bank (WB), the United Nations (UN), and the European Union (EU) have committed to providing joint support for assessing, planning, and mobilising efforts geared toward recovery, reconstruction, and development in countries affected by crises. This tripartite agreement is executed via the mechanism of joint Recovery and Peacebuilding Assessments (RPBA, previously known as Post-Conflict Needs Assessments) and Post-Disaster Needs Assessments (PDNA). RPBA/PDNA offer national governments a standardized and internationally recognised approach for identifying the underlying causes and impacts of conflict and crisis. They also help governments develop a strategy for prioritizing recovery and peacebuilding activities.

Following the publication of the PDNA Handbooks in 2014, the PDNA approach has generally been established as the reference methodology for assessing post disaster needs, both short-term onset (earthquake, storms, etc.) as well as long-term onset crises, like prolonged droughts. An increasing number of PDNAs have been undertaken in Asia, Africa, Europe, Pacific and Latin America/Caribbean (approximately 10-15 per year). Between January 2013 and 2016, the EU has deployed technical experts via IcSP funded technical assistance projects to 13 PDNA missions in the tripartite context.

After the joint (EU/WB/UN) review of the PCNA methodology and practice in 2015, the new concept, Recovery and Peace Building Assessments (RPBAs), was developed<sup>1</sup>. Subsequently, the downward trend in the use of the post-conflict needs assessment methodology in 2016 turned into a strongly increased demand for RPBAs.

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

The Global Strategy on Foreign and Security Policy for the European Union of the High Representative stresses the importance of "implementing the 'comprehensive approach to conflict and crises' through a coherent use of all policies at the EU's disposal".<sup>2</sup> Such coherence implies an effective use and sequencing of the entire range of available EU tools and instruments related to all stages of the crisis cycle, including conflict prevention, crises response, stabilisation, longer-term recovery, reconstruction and development.

Resilience is identified in the Global Strategy as one of the five priorities of the Union's external action. Resilience refers to the capacity of states and societies to prevent, manage and recover quickly from crises, including conflict and natural disasters. In the context of RPBAs, this entails addressing ongoing sources of tension and addressing root causes of conflict, investing in stabilisation, including addressing the immediate needs of the people to foster human security (including Internally Displaced Persons (IDPs) and refugees) and pursuing a coherent approach to longer-term peacebuilding and sustainable development. This requires good analysis and a deliberate approach to ensuring action is conflict sensitive. In the context of PDNAs, the "Build Back Better"-approach, which advocates for the restoration of communities and assets in a manner that makes them less vulnerable for future disasters and

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<sup>1</sup> EC-UN-WB "Joint Recovery and Peacebuilding Assessments (RPBAs): A practical note to Assessment and Planning" March 2017

<sup>2</sup> A Global Strategy for the European Union's Foreign and Security Policy, [http://europa.eu/globalstrategy/sites/globalstrategy/files/regions/files/eugs\_review\_web.pdf page 9

strengthens their resilience, has become the standard approach when planning post-disaster recovery. To further boost the EU's resilience-strengthening efforts, the European External Action Service and European Commission are working on a "Joint Communication on Resilience" to be released in 2017. This document will build on previous work the EU has done in the past, emphasising the range of determinants of vulnerability, including conflict, insecurity, governance, social and economic factors, environmental issues and the increasing impact of climate change.

At the international level, the work on disaster risk management is drawn together under the Sendai Framework for disaster risk reduction, adopted by United Nations (UN) Member States at the third UN world conference on disaster risk reduction in March 2015 and endorsed by the UN General Assembly. The EU played an active role in the development of the framework and is committed to its implementation across different EU policies.<sup>3</sup>

The EU, in concert with UN and WB, has put significant resources to developing joint methodologies to address RPBA and PDNA, building the capacity of national governments and regional organisations and conducting RPBA and PDNA missions to support the long term recovery of affected countries. Since 2008, the EU has actively participated in the tripartite cooperation, first as a donor, and in the past five years increasingly also by providing technical expertise deployed to RPBA/PDNA missions and to the development of methodologies and tools.

### ***1.1.2 Stakeholder analysis***

The direct beneficiaries of the foreseen project are mainly national governments and regional organisations in high-risk countries/areas. The support will be channelled to Ministries, authorities and stakeholders, in particular civil society, involved with response and recovery after in-country/region crises. Other major stakeholders are development partners, primarily in the UN family and the World Bank. As RPBA/PDNAs are inclusive processes undertaken in-country, EU Member States, where relevant, are also important actors. The ultimate beneficiaries are the people of the countries affected by crises, benefitting from more efficient and effective post-crisis assessments and recovery planning.

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

The 2008 Joint Declaration on Post Crisis Assessments and Recovery Planning covers both natural disasters and conflict related crisis and includes strategic coordination, development of joint methodologies for post-crisis assessments, joint deployment of assessment teams, joint training and joint recovery planning and monitoring. The two methodologies (PDNA and RPBA) are now established as the internationally agreed methodologies for post-crisis assessments in disaster and conflict settings and the demand from affected countries to undertake such assessments is on the rise. However, a number of major challenges remain related to the implementation of the assessments and the development of the linked recovery programmes as well as the role of the EU in this process. With an ultimate goal that affected countries will not only steer the process but also be able to undertake the assessments themselves without outside assistance, the number of people with knowledge about the methodologies and their implementation need to grow considerably and several 'Rollout initiatives' delivering training in the methodologies and their implementation are being

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<sup>3</sup> Staff working document SWD(2016) 205 final/2

implemented in parallel. It is foreseen that the experts under this project take part in these training initiatives as resource persons/trainers. Within a foreseeable future there will still be a considerable number of countries where extensive assistance from the outside will be needed when carrying out PDNAs/RPBAs and developing recovery frameworks. Thus, the tri-partite signatories will need to be able to mobilise international expert support to carry out the needed tasks. Expertise in Post Conflict Environmental Assessments, and in peace-building activities in areas at risk of conflict over natural resources should be included in PDNAs/RPBAs, particularly where natural resources are shared or degraded, and in areas vulnerable to climate change impacts.

Since the signature of the joint Declaration in 2008 the role of the EU in PDNAs/RPBAs has evolved from initially providing only funding to a wider technical and political engagement in the processes. However, to maintain this trend towards a stronger EU-involvement, measures need to be undertaken to further involve relevant Commission and EEAS services in PDNAs/RPBAs.

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
The absence of relevant staff, a potentially high turnover, or the poor selection of participants within the countries or the targeted regional organisations would substantially undermine the results to be expected from the training sessions foreseen	M	Policy dialogue with national authorities
Conflict and instability that can make difficult or delay the interventions	M	EU, as well as UN and WB will liaise with their relevant services to assess the security situations on the ground before the deployment of the experts.
Lack of in-country coordination between the three partners (in particular in view of joint PDNA/RPBA missions) may jeopardise the commitment to operationalise the tri-partite agreement	L	The three organisations EU/UN/WB will strictly coordinate their efforts at the headquarter- as well as at the country-level before, during and after the RPBA-PCNA interventions.
Lack of gender aware/gender sensitive approach	L	Ensure identification of gender as a priority cross-cutting sector, and that cross-cutting sector guidelines on gender are being implemented.
<b>Assumptions</b>		
Joint actions should result in commonly accepted (EU/WB/UN) RPBA/PDNA methodologies and tools of high quality, taking into account recent feedback and request from users, partner countries, civil society organisations;		
It is assumed that further developed methodologies/tools fully integrate Disaster Risk		

Reduction (DRR) measures, ensure full gender mainstreaming and are flexible in adjusting to different types of crises, the local and regional settings, as well as different levels of demands/expectations on output from governments;

Regional organisations will be better equipped to strengthen their own capacities to plan and undertake RPBA/PDNA assessments in coordination with their respective member states.

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

#### 3.1 Lessons learnt

The new project *"Provision of expertise and tools to support Recovery and Peace Building Assessment and Post-Disaster Needs Assessment"* will build on the achievements of previous projects, namely *"Development of Post-Conflicts and Post-Disaster Needs Assessments capacity and tools – phases I and II"* from January 2013 to July 2017, which have been funded under the IcSP Annual Action Programmes 2011 and 2015. Several activities were carried out to develop RPBA/PDNA methodologies and tools, build the capacity of national authorities and regional/international organisations, and contribute to the tripartite RPBA/PDNA missions.

The past experience indicates that the actions carried out under the previous projects are to a large extent still valid. However, the previous focus on developing the basic joint assessment methodologies and tools as a basis for the joint assessment missions need to be replaced by ad-hoc updates based on lessons learned and development of guidance on specific issues like integrating conflict sensitivity into the PDNAs and the recovery frameworks, better integrate resource mobilisation at the early stages of an RPBA, etc.

The generally agreed principle of developing technical and advisory capacities at the level of regional organisations that in turn will support their individual member states needs to be more differentiated based on the capacities and mandates of these organisations.

The currently tested new approach to RPBA indicates both the need for stronger focus on preparatory efforts (scoping missions) and the need for a more strategic approach to the RPBA as manifested through the work of the tri-partite High-Level Advisory group (HLAG)<sup>4</sup> and the virtual secretariat at operational level. In addition, the RPBA guidance will need to be deepened, provide more clarity on the mechanics of how RPBA are implemented, how to develop a joint narrative between the government and the international partners on the causes of crisis and conflict, how interventions are costed, how RPBA are followed up and the interventions implemented. This guidance should probably not aim to be as extensive as the PDNA guidance, but will need to be sufficient to support the experts that are deployed in the tri-partite missions or in support of the RPBA exercises generally.

The participation in assessment missions and in the strategic work is now wider at EU-level, with extensive participation of Commission services and the EEAS. Thus, the project needs to provide support to processes mobilizing and maintaining a wide EU-involvement. There is still need to further inform/train EU actors, not least in the field in several aspects related to PDNAs and RPBA (from general information on the process, what they will produce as

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<sup>4</sup> High Level Advisory Group (HLAG), with representative from UN, WB and EU, meets regularly to strengthen the RPBA partnership at the corporate level and to monitor ongoing and potential RPBA and partnership arrangements at the country level.

outputs, how are they useful for the services, etc. to detailed methodologies for participants in assessment missions and scoping missions). A lesson learned has been that general training courses organised on a regular basis are not the most effective tools in trying to reach the target groups, and instead trainings should be offered mostly when directly needed, i.e. when an assessment is in the pipeline.

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

The main rationale for conducting RPBA and PDNAs is that they provide a joint and unified framework to identify and agree upon key recovery and peacebuilding priorities with a focus on national ownership. However, they take place in contexts where other individual or joint assessments and planning processes often already exist, or are being undertaken by national and international partners. Thus, ensuring synergies and complementarities means taking an early strategic decision on whether RPBA/PDNA is necessary or not, and in the former case how it can be best built to complement other assessments and processes (e.g. humanitarian, peace and security, political and development efforts). The leadership of national authorities and coordination among the main stakeholders is key in that regard.

The EU/WB/UN Joint Declaration on Post-Crisis Assessments and Recovery Planning, was developed to increase and maximise donor coordination in the aftermath of disasters and conflicts. The whole range of planned activities under this project, linked to RPBA and PDNAs, is intrinsically linked to the Joint Declaration and fully in line with the principles of the Paris Declaration/Aid and Development Effectiveness Agenda, the European Consensus on Development and the EU Code of Conduct. Furthermore, bringing the methodologies, methods and output from RPBA/PDNAs in line with relevant EU concerns and EU analyses and methods should ensure more recognition of EU contribution, enabling the EU to take part in and contribute more effectively to the post disaster/post conflict recovery programmes designed as the outcome of RPBA/PDNAs.

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

RPBA/PDNA methodologies aim to fully incorporate cross-cutting issues such as environment, gender sensitive approach, youth, good governance, human rights as well as the safeguarding of culture and cultural heritage as part of their operational logic. In addition, incorporation of horizontal issues, such as aid efficiency, resilience, Disaster Risk Reduction (DRR), conflict sensitivity and climate change will be an important component of the implementation of the action. Expertise in Post Conflict Environmental Assessments and in peace-building around natural resources should be included. These are important components not only to restore environments and resources that have been affected by conflict or disasters, but to support livelihoods that have been lost or reduced as a result, and to ensure reduced risk of conflict and disasters in future.

## **4. DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The objective of the action is to support third countries to build up their capacity to carry out RPBA and PDNAs, through provision of technical expertise. Various activities are foreseen, including deployment of experts in RPBA/PDNA missions, provision of training and capacity building activities to national authorities and regional/international organizations, tripartite training events.

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of Sustainable Development Goal (SDG) 16 Peace, Justice and strong institutions, but also promotes progress towards SDG 5 Gender Equality.

## **4.2 Main activities**

- Systematic support to all stages of disaster- and conflict-related assessment missions. Provision of in-country support in planning, conduction and reporting of such assessments (support missions of 2 to 6 weeks are particularly foreseen). Such inputs will be coordinated by the EU Delegations so that their knowledge of the country and relevant EU concerns are fully taken into account, thus ensuring a more efficient cooperation with the host countries;
- Provision of technical and coordination input to joint (UN/WB/EU) training and capacity-building events (in Europe and other regions) for the benefit of third countries and international/regional organizations;

Through the action, the EU will continue to contribute to the development and enhanced application of the RPBA/PDNA related concepts, methodologies and tools developed in the tripartite UN/WB/EU context, as indicated in the Joint Declaration and developed under previous related projects. Furthermore, an essential component of the action is to ensure close co-ordination within the EU Institutions, and with the tripartite parties UN and WB, to allow strategic adoption and implementation of RPBA/PDNAs.

## **4.3 Intervention logic**

Conflict and disaster related crises result in suffering and loss of human life, posing a major threat to long term development, growth and poverty reduction in particular for the poorest and most vulnerable people in developing countries. Global trends, such as climate change, population growth, urbanisation and land and eco-system degradation, complex conflicts and fragility have led to an increase in the frequency, intensity and impact of crises over the last decades.

Beyond the most urgent task of assessing humanitarian needs and provision of support, countries affected by crises also often require international support to conduct an assessment of the long term recovery needs and the development of a comprehensive recovery plan that sets the way to sustainable development process. The tripartite UN-WB-EU cooperation on RPBA/PDNA has been widely recognised as an essential tool to support the national authorities and regional organisations in those situations.

It is assumed that by providing technical expertise to participate in the further development of tripartite methodologies and tools, capacity building and RPBA/PDNA missions, the EU can support reform efforts, if this expertise will be able to gain the trust and confidence of the national and international counterparts.

## **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 0 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 and tools to support RPBA's and PDNA's	Services	1	Q2 2017
Evaluation	Services	1	Q3 2018

### 5.4 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

### 5.5 Indicative budget

	EU contribution (amount in EUR)
5.4.1. Procurement	2,450,000
5.4.2. Procurement	50,000
Totals	2,500,000

### 5.6 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 and the EEAS.

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

### 5.7 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).

## **5.8 Evaluation**

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

These will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the possible second phase of the 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.

Indicatively one contract for evaluation will be concluded in 2018

## **5.9 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.

## **5.10 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 0 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: Overall Impact	Partner countries have the capacity to carry out complete RPBAs and PDNAs incl. development of linked recovery plans to address long term recovery needs.	Number of PDNAs/ RPBAs and linked recovery plans carried out by the countries affected, without major input from the international community.	Currently (2017) only a handful of developing and middle-income countries are able to implement PDNAs with a limited input from the international community.	10 countries at the end of the project period.	PDNA/RPB A records	The tri-partite rollout efforts aiming at building local capacities linked to RPBAs/PDNAs continue or are increased.
Specific objective(s): Outcome(s)	Effective RPBA/PDNA processes are developed and implemented in an inclusive way.	Indicators should be identified for each assignment. They should be related to the quality of RPBAs and PDNAs prepared, the capacity of national/international organizations, the level of inclusiveness (consultations), 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.	The expected impact will not be achieved if the national and international/regional organization stakeholders will not have the will and/or the capacity to implement the adopted RPBAs/PDNAs.
Outputs	Expert technical advice is put at the disposal of the tripartite UN-WB-EU cooperation and to support national, international/regional organizations' and EU entities capacity building and training.	Indicators should be identified for each assignment. They should be related to person/day of expertise, consultations organised facilitated, participation to experts meeting, national and international staff trained, studies carried out, and inputs in relevant documents.	To be identified for each assignment.	To be identified for each assignment.	To be identified for each assignment.	The expected outcome will not be achieved if there is no real political will to carry out and implement RPBAs and PDNAs.





EN

**ANNEX IV**

of the Commission Implementing Decision on the 2017 Annual Action Programme for the Instrument contributing to Stability and Peace conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for "Responsible sourcing of gold and diamonds from West Africa and Central Africa"**

<b>1. Title/basic act/ CRIS number</b>	"Responsible sourcing of gold and diamonds from West and Central Africa", financed under Instrument contributing to Stability and Peace. CRIS number: IcSP/2017/40385	
<b>2. Zone benefiting from the action/location</b>	West and Central Africa.  The action shall be carried out at the following location: West Africa (in particular Côte d'Ivoire and Burkina Faso) and Central African Republic.	
<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.	DEV. Aid: YES
<b>5. Amounts concerned</b>	Total estimated cost: EUR 4 000 000  Total amount of EU budget contribution EUR 4 000 000  This action may also be co-financed for an amount to be determined.	
<b>6. Aid modality(ies) and</b>	Project Modality  1) Direct management – grants – direct award with "Partnership Africa Canada" (PAC) and "Alliance for Responsible Mining" (ARM)	

<b>implementation modality(ies)</b>	2) Indirect management with "Agence Française de Développement" (AFD), or alternatively with the "United States Agency for International Development" (USAID) .			
<b>7 a) DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>b) Main Delivery Channel</b>	10 000 PUBLIC SECTOR INSTITUTIONS			
<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	<input type="checkbox"/>	X	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	<input type="checkbox"/>	X	<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			
<b>10. SDGs</b>	Main Sustainable Development Goal (SDG) 16: <i>"Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels"</i> . Secondary SDG Goal 12: <i>"Ensure sustainable consumption and production patterns"</i> .			

## SUMMARY

The Action fits in the context of the *"Integrated EU approach to the responsible sourcing of minerals originating from conflict-affected and high-risk areas"* and the Kimberley Process, that the EU supports and participates in. Its overall objective of the Action is to contribute to **peace-building and stabilisation efforts** in mineral-rich fragile areas through the promotion of responsible sourcing and trading of gold and diamonds.

The Action will cover two regions, West and Central Africa, and will be articulated around three projects.

In West Africa, the Non-Governmental Organisations (NGOs) "Partnership Africa Canada" and "Alliance for Responsible Mining" will implement their project respectively in Côte d'Ivoire and Burkina Faso with the objective of bringing legal, conflict-free, and traceable

gold from artisanal mines to the international market, thereby contributing to peace-building and stabilization efforts as well as economic development and poverty alleviation.

In the Central African Republic, a project led by the "Agence Française de Développement" (or alternatively by the "United States Agency for International Development") will focus on enhancing natural resource governance (in particular with regard the sourcing and trade of diamonds and gold) as well as contributing to social cohesion and to the stabilisation of the country, notably by reducing the factors that create hatred and resentment between communities.

## 1 CONTEXT

### 1.1 Sector context

As indicated in the Joint Communication (2014) 8 final<sup>1</sup>, *"international trade in minerals sourced from unstable regions of the world can play a role in intensifying and perpetuating violent conflict. Although rarely the root cause, such trade provides significant financial means to armed movements to sustain their fighting ability, with serious consequences for millions of people caught in the violence"*.

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. Conflict financing through mineral extraction and trade is a major impediment to peace, development and growth in mineral producing and transit countries.

In particular, extraction and trade in diamonds represented an important source of financing for rebel groups during the civil wars in Angola, Sierra Leone and Liberia in the 1990s.

Similarly, 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. The artisanal mining sector is particularly vulnerable as it remains largely informal and is prone to wide corruption and violence, with almost no traceability or tracking of gold. The sector's lack of policy cohesion and firm government presence results in significant loss to public revenues, undermining government oversight and, if left unchecked, could have implications for national and regional stability.

### 1.2 Country Context

#### 1.2.1 West Africa

According to a recent report by the NGO Partnership Africa Canada<sup>2</sup>, the light footprint of government in the artisanal gold sector in West Africa has far reaching consequences, as the lack of government presence, institutional structure and policy coherence undermine the ability for these countries to plan, capture and reap the sector's full economic benefits.

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<sup>1</sup> Joint Communication to the European Parliament and the Council on *"Responsible sourcing of minerals originating in conflict-affected and high-risk areas - Towards an integrated EU approach"* Joint(2014) 8 final.

<sup>2</sup> *The West African El Dorado: Mapping the Illicit Trade of Gold in Côte d'Ivoire, Mali, and Burkina Faso* (January 2017)

In Côte d'Ivoire, Mali and Burkina Faso, the artisanal gold sector employs an estimated three million artisanal miners and their production - and therefore full contribution to national economies - remains largely unknown. Smuggling and tax leakage not only deprive state coffers, but also contribute to political instability, lawlessness and criminality, much of it transnational in nature.

Gold has always proven an easy pull for those looking to make a living and smuggled minerals are often the lifeblood of long and protracted civil wars, a magnet for instability, human exploitation, corruption, and above all, lost economic opportunity. The artisanal gold sector in Côte d'Ivoire, Mali, and Burkina Faso suffers from a lack of policy cohesion and firm government presence in artisanal mining areas. The consequence of this poses a significant loss to public revenues, undermines government oversight and, if left unchecked, could have implications for national and regional stability.

There is no credible production and export data for artisanal gold from any of the studied countries. As the artisanal gold trade is based on a pre-financing system, all transactions in this largely unregulated and cash-based industry are based on trust, networks and price competition. This renders a huge obstacle for governments in their efforts to formalize the sector, including licensing the various actors, creating traceability over production, and levying appropriate taxes.

The supply chains in the three countries are tightly interconnected. Extremely porous borders allow for a high degree of labour mobility in the mines and exacerbate smuggling. While Côte d'Ivoire is the principle source destination for mobile labour due to the legacy of civil war and higher grade gold yields, Burkina Faso, Togo and especially Mali are the main exporting hubs of artisanal gold.

With regard to Côte d'Ivoire in particular, although the gold mining sector has long been neglected, it is however now on the way to becoming a new driver of the country's economy. The government has revised the mining code, and the country's gold reserves have been reeling in foreign investors. However, most artisanal gold miners work clandestinely and with poor working conditions: child labour, gender inequality, air, water and soil contamination as well as illicit financing and smuggling with linkages to armed groups and conflict. A Reuters investigation shows that a network of senior officers – former rebel commanders who have integrated into the Ivorian army – have seized control of artisanal gold mines that generate tens of millions of dollars a year, and that engages in illegal taxation, smuggling and racketeering.<sup>3</sup>

In Burkina Faso, the number of artisanal and small scale miners is estimated between 700 000 and more than one million. The development of mining activities has however engendered negative environmental and social impacts, notably with regard to the use of mercury, cyanuric and other acids. Burkina Faso, as well as Mali, have ratified the Minamata Convention against the use of mercury and is currently facing the difficulty of implementing it in a highly informal sector.

At a sub-regional level, the "Autorité de Liptako" has as main objective the economic development of Burkina Faso, Mali and Niger, whose borders have been theatre of conflicts linked also to the exploitation of natural resources.

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<sup>3</sup> “Special Report: Why gold threatens Ivory Coast's peace”, Reuters, May 7, 2015, [www.reuters.com/article/us-ivorycoast-gold-army-specialreport-idUSKBN0NS0V620150508](http://www.reuters.com/article/us-ivorycoast-gold-army-specialreport-idUSKBN0NS0V620150508)

### 1.2.2 Central African Republic

The Central African Republic (CAR) is emerging from a situation of conflict and with the support of the international community, the newly elected Government is striving to stabilise the country. Production and trade in natural resources and minerals such as rough diamonds and gold provide a livelihood and income for a large part of the country's population and serve as an important source of national revenues<sup>4</sup>. According to NGO International Peace Information Service (IPIS): "*The mining sector represents the CAR's third economic activity after agriculture and forestry and constitutes an important source of revenue for an estimated 600,000 persons in the country*",<sup>5</sup> most of which are artisanal miners – as industrial exploitation is very limited in the CAR.

Such configuration makes it difficult to supervise, organize and value the mining activity. The resulting lack of formalisation represents a huge challenge, given that approximately 30% of diamonds and 95% of gold are smuggled illegally through other countries.<sup>6</sup> Many observers consider this proportion has increased significantly since the crisis. This obviously translates into huge losses for the government in terms of tax revenues.

In addition to the development aspects, governance in the field of natural resources has also important implications with regard to the ongoing efforts to achieve peace and social cohesion. Trade in diamonds and gold has indeed become a source of income for armed groups. According to a study by the International Peace Information Service (IPIS)<sup>7</sup> and other sources such as the UN Panel of Experts on the CAR, gold and diamonds sales were/are used to finance conflict.

With regard to the trade in rough diamonds, the CAR has been traditionally a source of high quality gemstones. Approximately 84% of the production in the CAR comes from artisanal miners, located in river and riparian areas, in two main mining basins: along the Mambéré and Lobaye Rivers (South-West) and along the Kotto River (East). These miners work under archaic and difficult working conditions and live in extreme poverty. Divisive policies influenced by ethnical allegiances had an impact on the diamond miners, with divisions between the Muslim and Christian population playing a factor in driving the conflict at local level. In particular, one of the conflict factors mentioned by experts is the grievance caused by the perceived dominance of the Muslim community over diamond trade, with miners predominantly Christian. For the poor miners that are only pick takers and receive only a small fraction of the value of the diamonds, it is difficult to improve their economic situation and this has contributed to escalate the hatred between religious communities.

The crisis has led to a de-structuring of the supply chain, with many Muslim collectors who had fled to border countries, especially Cameroun (contributing to smuggling increase), and persisting supply difficulties for operating buyers ("bureaux d'achat import-export").

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<sup>4</sup> According to the UN panel of experts report on CAR, the Government has lost around 24 million dollars in revenues to smuggling only in the period 2013-2014.

<sup>5</sup> IPIS, Action Aid, Cordaid: "*Gold and diamonds in the Central African Republic*" (2013): <http://reliefweb.int/sites/reliefweb.int/files/resources/Gold%20and%20diamonds%20in%20the%20Central%20African%20Republic.pdf>

<sup>6</sup> *Ibidem*

<sup>7</sup> <http://ipisresearch.be/wp-content/uploads/2014/11/IPIS-CAR-Conflict-Mapping-November-2014.pdf>

Following the 2013 crisis, the CAR - a Participant in the Kimberley Process Certification Scheme (KPCS) - was suspended from rough diamond trade. However, CAR has been working closely with the European Union, the United States and other partners to ensure that diamond production and trade would not fuel conflict. After an improvement of the situation in CAR thanks to the intervention of United Nations (MINUSCA), the Kimberley Process adopted an Administrative Decision and Operational Framework for the resumption of exports of rough diamonds 'compliant zones' in CAR. Up to now, only prefectures located in the South-West regions have been declared compliant (Bérberati, Boda, Nola, and Carnot), gathering minimal conditions required – *i.e.* restoration of basic security, no armed groups activities, reinforced internal controls and monitoring of production and trade. Ministry of Mines is striving to progressively extend the compliant zones, with predictable difficulties regarding to the East region (due to still instable political and security context).

Similarly, the CAR government has recently adopted a 2017 Action Plan for the Extractive Industries Transparency Initiative (EITI)<sup>8</sup> (after the suspension from the EITI during the 2013 crisis) – and a national Action Plan under the Minamata Convention<sup>9</sup>.

In addition, as a member of the International Conference of the Great Lakes Region (ICGLR), CAR is committed to the implementation of the "Protocol on the Fight against the Illegal Exploitation of Natural Resources", signed in Nairobi in December 2006. In 2010, the implementation of the Protocol was enshrined in the Lusaka Heads of State Declaration, which set up the Regional Initiative against Illegal Exploitation of Natural Resources (RINR). The centrepiece of the Initiative – which is based on the recommendations of the Organisation for Economic Cooperation and Development (OECD) Due Diligence Guidance, endorsed by ICGLR Heads of State in 2010 - is the implementation of six tools, namely the creation of a Regional Certification Mechanism, the Harmonisation of National Legislations, the set-up of a Regional Database on mineral flows, the Formalisation of the Artisanal Mining Sector, the promotion of the EITI as well as the set-up of a Whistleblowing Mechanism.<sup>10</sup>

These elements as well as the improvement of the political situation in the country in 2016 offer a unique opportunity for a project aimed at enhancing natural resource governance and helping to ensure that local communities benefit from mineral production and exports.

### **1.3 Public Policy Assessment and EU policy Framework**

Against this background, this Action comes to underpin two major EU policies in this area:

1. 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>11</sup>.

The integrated EU approach is based upon the OECD Due Diligence Guidance and addresses three main issues: reducing the opportunities for armed groups to trade in tin,

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<sup>8</sup> The Extractive Industries Transparency Initiative (EITI) is a global standard to promote the open and accountable management of oil gas and mineral resources. More information is available here: <https://eiti.org>

<sup>9</sup> The Minamata Convention on Mercury is a global treaty to protect human health and the environment from the adverse effects of mercury. More information is available here: <http://www.mercuryconvention.org/>

<sup>10</sup> For more information, see here: <https://www.icglr.org/index.php/en/rinr>.

<sup>11</sup> JOIN (2014) 8 final

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 for example 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; b) a joint Communication, which outlines a package of accompanying measures that will enhance the impact of the Regulation and an integrated EU approach.

2. The participation and support of the EU to the Kimberley Process (KP). The KP is a global tri-partite initiative between governments, civil society and industry, launched in May 2000. In December 2000, the United Nations General Assembly adopted a landmark Resolution supporting the creation of an international certification scheme for the trade in rough diamonds, whose purpose is to ensure that rough diamonds do not finance violence by armed rebel groups. Over the past years, the KP has evolved into an effective mechanism for stemming the trade in conflict diamonds and is recognised as a unique conflict-prevention instrument to promote peace and security. The joint efforts of governments, industry leaders and civil society representatives have enabled the scheme to curb successfully the flow of conflict diamonds in a very short period of time. Experts estimate that conflict diamonds now represent a small percentage of the international trade in diamonds, compared with estimates of up to 15% in the 1990s. The KP currently has 54 participating members (Participants)<sup>12</sup>, representing 81 participating countries.

The EU participates in and supports the KP as an active instrument for conflict prevention, promotion of peace and international security. The European Union currently holds the KP Vice-Chairmanship (for 2017) and is scheduled to have the full Chairmanship in 2018.

#### **1.4 Stakeholder analysis**

The three projects under this action will target a number of stakeholders and in particular:

- National and local Government authorities, with the aim of increasing their capacity to monitor and enforce Kimberley Process requirements (in the CAR) and due diligence programmes (in all of the three countries)
- The private sector, which has a key role in identifying and mitigating risks of conflict financing and human rights violations associated with mineral production and trade, as well as opportunities for more responsible supply chains and financing of diamond and gold production.

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<sup>12</sup> The KP has 55 participating countries: Angola, Armenia, Australia, Bangladesh, Belarus, Botswana, Brazil, Cambodia, Cameroon, Canada, Central African Republic, China, Congo (DRC), Congo (ROC), Côte d'Ivoire, Croatia, European Union, Ghana, Guinea, Guyana, India, Indonesia, Israel, Japan, Kazakhstan, Laos, Lebanon, Lesotho, Liberia, Malaysia, Mali, Mauritius, Mexico, Namibia, New Zealand, Norway, Panama, Russian Federation, Sierra Leone, Singapore, South Africa, South Korea, Sri Lanka, Swaziland, Switzerland, Tanzania, Thailand, Togo, Turkey, Ukraine, United Arab Emirates, United States of America, Venezuela, Vietnam, Zimbabwe.

- Civil society and local communities, to enhance its capacity to contribute to both KP and due diligence initiatives
- At a more local level, the involvement of artisanal and small-scale miners, mine site operators, traders or buying houses<sup>13</sup> and local authorities (state and customary) is essential.
- Regional actors will also be targeted in particular in two projects:
  - The project in the CAR will liaise with the neighbouring countries of CAR (notably Cameroon and the Democratic Republic of Congo) to explore the possibility of a regional approach to KP compliance in line with conclusion of the Ministerial meeting held in August 2016 between the CAR, Cameroon and the Democratic Republic of Congo. Similarly, the project will ensure coordination with the ICGLR Secretariat and its technical unit on natural resources with the objective of enhancing the CAR's capacity to implement the Regional Initiative against the Illegal Exploitation of Natural Resources (RINR) and its Regional Certification Scheme.
  - The project in Burkina Faso will provide support to the "*Autorité du Liptako-Gourma*" (ALG)<sup>14</sup>, which gathers Burkina Faso, Niger and Mali with the objective of promoting stable economic development in such a conflict-affected region.

The specific focus on the above mentioned stakeholders will vary depending on the objective and context of each project. In that sense, for example, capacity building for government authorities will be at the core of the project in CAR as concerns the component on Kimberley Process. On the other side, the two projects in Côte d'Ivoire and Burkina will focus more on artisanal and small scale miners.

## 1.5 Priority areas for support/problem analysis

The main priority areas for support include:

- The institutional framework of the sector and the available tools to monitor and supervise the artisanal and small-scale mining sector and associated domestic supply chain, including the carrying out of gender-disaggregated baseline assessments and the development and maintenance of appropriate information systems;
- The capacities of the national and local authorities to ensure alignment of the artisanal and small-scale mining sector with the Kimberley Process and the ICGLR Regional Certification Mechanism, which enables the in-region implementation of the OECD Due Diligence Guidance on Responsible Supply Chains; Efforts should be undertaken to include relevant Gender Ministries across capacity building activities;
- The technical and professional capacities of the artisanal and small-scale miners, as well as their ability to form into associations and defend their activities and miners' rights;
- The provision of guidance to the private sector so that they may better understand what is required of them for KP and ICGLR's Regional Certification Mechanism compliance, and

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<sup>13</sup> The buying houses are the offices of diamond companies opened on the urban centers of the mining sites, where the companies buy the diamonds from the artisanal miners directly.

<sup>14</sup> <http://liptakogourma.org/nouveau2/>

so as to promote fair and equitable relations between actors throughout the supply chain with due consideration to redress gender inequities as well;

- Foster access to finance and to better technical processing tools, as drivers and incentives to align with international markets expectations;
- Enhance commercial links between international gold market actors and artisanal and small-scale producers, in order to create stable and responsible supply chains.

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Conflict and instability that can delay the implementation of the actions	M in Burkina Faso and Côte d'Ivoire  H in the CAR	The action will mitigate this risk by adapting objectives and operational ambitions regarding to the different local contexts between regions. The action will also address social cohesion issues among mining communities. Implementing partners' security systems and analyses will also serve to identify risks related to conflict or instability
Lack of Government capacity to implement the actions	M in Burkina Faso and Côte d'Ivoire  H in the CAR	The action will mitigate this risk through ad hoc support to and capacity building targeting the Governments and relevant authorities. Support will be obtained from civil society and key players representing the private sector.
High levels of extreme poverty in the region provide counter-incentives set to compliance with KP and Due Diligence principles and induce illegal mining, smuggling and human rights abuses along the value chain	M in Burkina Faso and Côte d'Ivoire  H in the CAR	The action will mitigate this risk by providing incentives to the formalisation of miners and traders, via finance and technical assistance.
Access to legal status is hindered by difficult access to mining claims in the target countries	M in Burkina Faso and Côte d'Ivoire,  H in the CAR	The action will concentrate in two different types of organisations, first an already legalised group, second a group that is potentially able to acquire a legal status. In parallel, the National Mining Authorities will be involved to provide easier access to legal claims.
Tax burden prevent linking international legal markets with local producers	M in Burkina Faso, Côte d'Ivoire and the CAR	The action will engage with national authorities to adopt fiscal reforms that enable legal trade and easier access to export markets.

Illicit trade offers higher prices to producers , hindering the development of legal and responsible supply chains	M in Burkina Faso, Côte d'Ivoire and the CAR	The action will encourage international buyers to engage with local producers and will propose other indirect incentives such as access to financial and technical services that will render legal trade more appealing.
<b>Assumptions</b>		
The Governments recognise the need for reforms. Political will exists to adopt legal and regulatory changes necessary for dealing better with mineral resources and increase the revenue of the State.		
Property rights to mining claims are verifiable and recognised by local customary and administrative authorities.		
Governments of the two regions recognize added value of cooperation at regional level on KP and due diligence specifically and mining sector governance more generally.		
Local actors, private sector and civil society organisations are conscious of the importance of governance of the mineral sector and are willing to cooperate to achieve common goals.		
International market actors are willing to engage with local actors and to purchase locally produced and traded responsible minerals thus contributing to the elaboration of effective incentive structures for formalisation.		

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

#### 3.1 Lessons learnt

The EU approach to the promotion of responsible sourcing of minerals and trade of diamonds is based upon the principle of the "integrated approach", which implies the mobilisation of a variety of tools. As indicated in the Joint Communication (2014) 8 final<sup>15</sup>, the Commission proposal for a Regulation is accompanied by a series of measures, which include the support to third countries via development cooperation to ensure responsible mineral extraction and commercialisation.

The activities aimed at strengthening regulatory and policy coherence with the due diligence approach in third countries need to be accompanied by support for the creation of economic and development opportunities for artisanal and small-scale miners. A key challenge remains how to operationalise normative standards in responsible business conduct. In this respect the following lessons can be learned from past experiences in supporting the artisanal and small-scale mining sector:

- Need for the adoption of a clear legal framework that commits the governments to the KP and the ICGLR and/or the OECD Due Diligence Guidance;
- Need for fiscal and legal convergence amongst neighbouring countries in order to create incentives for legal trade;
- Need for a commitment from the governments to the creation of an enabling policy environment that promotes responsible artisanal production and trade: e.g. provision of security of tenure; appropriate fiscal regime; fair and accessible licensing; provision of

<sup>15</sup> Joint Communication to the European Parliament and the Council on "Responsible sourcing of minerals originating in conflict-affected and high-risk areas - Towards an integrated EU approach" Joint(2014) 8 final.

better mining services; access to equipment and creation of stable employment opportunities, etc;

- Need for due diligence practices to be understood, carried out and reported on by the private sector; conversely, need for these practices to be monitored by governments and civil society; chain of custody systems are tools that lend themselves to the carrying out of due diligence in particular in the gold sector;
- Need to map out and understand how women and other potentially vulnerable groups participate in the diamond and gold supply chains to ensure that they derive benefit from EU-sponsored interventions and are not further marginalised;
- Need for formalisation (i.e. improving technical capacity, safety procedures, economic management skills) of artisanal and small-scale producers;
- Need to ensure that upstream and downstream stakeholders' motives are understood so as to introduce effective incentive structures;
- Need to strengthen the technical capacity of miners and facilitate gold producers' access to financing opportunities; these opportunities should be extended to those working in auxiliary services (such as women selling goods and food, etc.).
- Need to facilitate links between producers and downstream legal buyers and refiners with more direct connections to the international markets.

With regard to the Kimberley Process, the following lessons learned can be gathered from previous experience of EU support.

- **Property Rights:** Work on clarification and strengthening of property rights at various stages of the mining process under other programmes such as PRADD<sup>16</sup> demonstrate that resource conflicts can be significantly reduced while also providing incentives for investment and the mitigation of adverse environmental complaints. In this respect, there are several actions that yield better KP compliance such as better traceability of diamonds from the point of extraction to the point of export, systems for the registration of miners, adaptation and reform of mining laws and regulations. The positive results achieved by the PRADD project in Cote d'Ivoire and recent experiences of US Aid in the CAR point to the important benefits achieved at local level in reducing conflict through awareness raising of civil society and local communities, also contributing to the demilitarisation of mine sites in certain cases<sup>17</sup>. The existing conflict between religious communities in the CAR has an economic component that makes reconciliation efforts necessary to guarantee the sustainability of the economic activity in the long term.
- **Regional approach:** Experience in developing a regional approach in the Mano River Union shows that there is a need for a substantive consensus and commitment around the idea of launching a regional approach. After the conversations to set up a regional approach between neighbouring countries of CAR about KP compliance, there is a need to provide a mechanism to maintain this momentum. In this respect, the operational conclusions of the meeting that took place in Bangui in August 2016 point to the need to

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<sup>16</sup> "Property Rights and Artisanal Diamond Development" – see section 3.2 for further information.

<sup>17</sup> "Mineral supply chain and conflict links in Eastern Democratic Republic of Congo", OECD / IPIS (2015). Available here: <http://mneguidelines.oecd.org/Mineral-Supply-Chains-DRC-Due-Diligence-Report.pdf>.

establish a coordination system, at a national and regional level, to support the Regional Approach. This initiative enjoys the support of key working groups within the KP. Language barriers in Central Africa are smaller than within the Mano River Union as all countries are francophone (Cameroon, CAR, DRC) which will facilitate communication between the partners.

Similarly, as concern gold, the whole concept of the ICGLR's Regional Initiative against Illegal Exploitation of Natural Resources is based upon the principle of regional cooperation, with the establishment of a Regional Certification Mechanism as well as the Harmonization of National Legislations and the set-up of a Regional Database on mineral flows. The regional approach in the Mano River Union could stand to learn from the ICGLR, which has been in existence since the early 2000s. For example, based on the ICGLR experience, the Regional Secretariat needs to have political credibility but be primarily technically-oriented to provide Member States with value added and credible direction. The Regional Secretariat must also be outward facing, engaging with and lobbying international market actors to encourage responsible artisanal and small-scale mining trade.

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

This action is complementary to several initiatives, including:

- The EU's strategy to support developing countries' efforts to eradicate poverty as outlined in the 2011 Agenda for Change Communication<sup>18</sup> as well as the Commission's Proposal for a new European Consensus on Development Our World, our Dignity, our Future.<sup>19</sup>
- The EU strategy on access to raw materials, as outlined in the Raw Materials Initiative and the European Innovation Partnership on Raw Materials<sup>20</sup>.
- The EU Corporate Social Responsibility (CSR) Strategy<sup>21</sup>, 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 in the region of global responsible sourcing initiatives on conflict diamonds, transparency and forestry products (KPCS, EITI, CITES).
- As concerns the Great Lakes Region, the Joint Communication on a "Strategic framework for the Great Lakes Region"<sup>22</sup> 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.

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<sup>18</sup> COM(2011) 637 final.

<sup>19</sup> COM(2016) 740 final.

<sup>20</sup> COM(2008) 699 final.

<sup>21</sup> [http://ec.europa.eu/growth/industry/corporate-social-responsibility\\_en](http://ec.europa.eu/growth/industry/corporate-social-responsibility_en).

<sup>22</sup> JOIN(2013) 23 final.

- The 2030 Agenda for Sustainable Development: mining activities modify landscapes and can have long-term impacts on communities and natural resources due to their physical degrading nature, as well as their use of chemicals and other harmful substances. Moreover, mining is often associated with deforestation, soil erosion, land degradation, air pollution, ecosystem disruption and water contamination. This action will thus be carried out mindful of the objectives in the 2030 Agenda for Sustainable Development, in particular concerning social inclusion of artisanal miners and the need to achieve a sustainable management of natural resources decoupling economic growth from environmental degradation.
- In line with the EU approach to favour a circular economy approach to sustainability<sup>23</sup>, the action will contribute to help relevant stakeholders, including governments, businesses, NGOs and consumers, to make a transition to an economy where resources are used in a more sustainable way.
- The ILO Convention 169 on Indigenous and Tribal ratified by the CAR and the UN Declaration on the Rights of Indigenous Peoples (UNDRIP).

From the specific angle of the Instrument contributing to Stability and Peace (IcSP), this action is complementary to the following initiatives:

- The successful cooperation with the United States' Agency for International Development under the "Property Rights and Artisanal Diamond Development" (PRADD) programme (EUR 1 million under AAP 2012 of the Instrument for Stability (IfS) and EUR 1 million under AAP 2015 of the IcSP) which particularly focused on helping Côte d'Ivoire comply with the KPCS requirements.
- The ongoing cooperation with Partnership Africa Canada (PAC) (EUR 1 million under the 2014 AAP of IcSP), which aims at ensuring and enhancing the civil society participation to the KPCS.
- The ongoing cooperation with "Deutsche Gesellschaft für Internationale Zusammenarbeit" GIZ, which aims at setting-up a regional approach to KPCS implementation in the Mano River belt region of West Africa, helping regional Participants tackle smuggling, foster law enforcement cooperation and safeguard government revenues.
- The work undertaken by the Joint Research Centre (JRC), to support the Commission in its role as Chair of the KP Working Group on Monitoring (WGM) by helping to monitor implementation of the KPCS.
- The ongoing cooperation with the OECD on the implementation programme of the "Due Diligence Guidance for Responsible Supply Chains of minerals from Conflict-Affected and High-Risk Areas" (EUR 1 million under IfS AAP 2013 and EUR 3 million under IcSP AAP 2016)
- The work led by GIZ to support the 'Regional Initiative against the illegal exploitation of Natural Resources' launched by the 'International Conference for the Great Lakes' (€3M under IfS AAP 2013) of which PAC is a technical partner in implementation.
- the "EU-UN Partnership on land, natural resources and conflict prevention", supported by the EU in 2008-2014 through the IfS and through which joint assistance was provided to third countries to prevent and address natural resources related conflicts.

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<sup>23</sup> (COM(2015) 614).

This action is also complementary to the recently launched "European Partnership for Responsible Minerals" (EPRM), a public-private partnership aiming to increase the demand for and supply of responsibly-sourced minerals from conflict-affected and high risk areas.

In particular the two projects in West Africa envisaged under this Action are to be implemented by two NGOs currently working in other settings with the EPRM.

### 3.3 Cross-cutting issues

Under this action, the following cross-cutting issues will be addressed.

First, the action will ensure "gender mainstreaming" through its focus on artisanal and small-scale mining (ASM). It is estimated that 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.

Human rights can be positively affected by a better governance of the mining sector, in particular of diamonds and gold. These minerals are an important factor of conflict and hatred between religious communities, hampering the effort of reconciliation. Respect of civil as well as social rights can be notably improved.

In addition, the action will also deal with environmental issues by the worst effect of artisanal mining on the environment: i.e. the impact on watercourses and the contamination of water, the use of mercury and deforestation.

## 4 DESCRIPTION OF THE ACTION

### 4.1 Objectives/results

The overall objective of the Action is to contribute to **peace-building and stabilisation efforts** in mineral-rich fragile areas through the promotion of responsible sourcing and trading of gold and diamonds.

This overall objective is reflected in the following specific objectives and results, which are outlined hereby in relation to the two different components of this Action:

(a) In West Africa, the main expected results are:

- Increased **quantity of legal, responsible and traceable gold** from artisanal mines to the international market, meeting the expectations of the downstream market in keeping with the OECD Due Diligence Guidance.
- **Enhanced due diligence** on the mineral supply chain from mine to export and beyond.
- **Enhanced formalisation and legalisation** of the artisanal and small-scale mining sector through the provision of incentives
- **Enhanced awareness and understanding** at local community level (among civil society and private sector) on due diligence approach on gold and the benefits of legal and conflict free gold

(b) In Central African Republic, the main expected results are:

- Enforced **legal and institutional framework** for mining production, transport and trading activities in CAR leading in particular to **strengthened governance** in the diamonds and gold mining sector;
- **Enhanced awareness and understanding** (at local community level among civil society and private sector) on KP requirements and due diligence approach on gold (both OECD Due Diligence Guidance and ICGLR's Regional Certification Mechanism);
- **Enhanced economic activity and improved livelihood conditions** at a local community level with particular consideration of gender equity and women's economic empowerment;
- Improved **understanding of domestic gold production, financing and trade**, in terms of quantities, illicit financing, export networks and supply chains;
- **Enhanced regional cooperation** among the CAR and its neighbouring countries to combat trafficking and smuggling.

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of SDG Goal 16 *"Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels"*, but also promotes progress towards Goal 12 *"Ensure sustainable consumption and production patterns"*. This does not imply a commitment by the country benefiting from this programme.

## 4.2 Main activities

(a) In West Africa, the main indicative activities include:

- The conduct of **research** and **analysis** on sourcing and trading of **gold** in the concerned countries - which can be used as baseline assessment for the projects – including on issues such as the formal and informal tax structure as well as other levies and payments specific to the sector;
- Community **outreach** and **awareness raising**, including gender sensitization;
- Support to the **formalisation of artisanal miners**, through:
  - capacity building and training, provision of technical assistance;
  - credit and savings services, via the identification of **financing opportunities** to provide further incentive for legal and transparent trade;
  - clarification and (when possible) securing of land tenure rights;
  - introduction of more efficient and more environmentally conscious **processing techniques**, adapted to existing capacities and local geomorphology;
- The set-up of a **chain of custody system** for ASM in gold, necessary to support due diligence;
- Organisation of workshops, conferences and provision of technical assistance to improve the **interregional cooperation** on the ASM sector, leading to harmonized and effective public policies able to counter illicit trade.

- (b) In the Central African Republic, the main indicative activities are hereby developed around the five expected results mentioned above:

*Legal and institutional framework:*

- Support the establishment of a register of diamond miners, traders and exporters in cooperation with the local level and the private sector. Support to be extended to pilot initiatives in the gold sector.
- Support the design and establishment of the necessary institutional and legal architecture to implement the KP Regional approach and the ICGLR's Regional Certification Mechanism, taking also into account the gender impact of such institutional and legal reforms;
- Foster cooperation with international initiatives such as the EITI, the UNEP Minimata Convention and the OECD Due Diligence Secretariat.
- Training on the combat of smuggling, through targeted actions to support local customs and law enforcement.

*Awareness raising:*

- Awareness campaigns among local communities, civil society and private sector of KP rules and due diligence approach/mechanism.

*Economic activity and livelihood conditions:*

- Capacity building activities (e.g. workshops and technical assistance) to improve processing techniques, health and safety, and environmental practices as well as to improve the socioeconomic capacities of artisanal miners;
- Development of incentive programs to formalise the sector and enhance their ability to defend their activity/rights (notably through support to associations or cooperatives).

*Understanding of domestic gold production and the broader gold economy:*

- Undertake independent analysis and research on the gold economy and its financing to be used as baseline for the gold component of the project.

*Regional cooperation:*

- Explore possibilities to foster cooperation with CAR's neighbouring countries DRC and Cameroon in line with the regional meeting held in Bangui (August 2016).
- Facilitate the development of databases on cross-border smuggling, as well as help to disseminate best practices from other regions (e.g. Mano River Union in West Africa), as planned in the ICGLR's RINR.

### **4.3 Intervention logic**

Both the Kimberley Process and the *"Integrated EU approach to the responsible sourcing of minerals originating from conflict-affected and high-risk areas"* were designed with the objective of curbing the link between exploitation of natural resources and conflict and of harnessing responsible investment and trade to drive change and create a peace dividend. This necessarily involves the promotion of gender equity and gender inclusiveness in risk mitigation and conflict prevention (in keeping with UNSCR 1325 on Women, Peace and Security).

As indicated in section 4.1, the promotion of responsible sourcing and trading of minerals and diamonds 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 peace-building.

The two approaches are intended to cultivate transparent supply chains and sustainable corporate engagement in the gold and diamond sectors with a view to enabling countries and their respective populations (men, women and children) to benefit from these resources, also by providing sustainable economic revenue for the State in a critical period of stabilisation. In particular, the "EU integrated approach" is based on the OECD *Due Diligence Guidance for Responsible Supply Chains of minerals from Conflict-Affected and High-Risk Areas* which provides 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.

## 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 4.12 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 "*Just Gold: Cote d'Ivoire*" (direct management)

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

Partnership Africa Canada's (PAC) ***Just Gold*** project aims to bring legal, conflict-free, and traceable gold from artisanal mines to the international market, thereby contributing to peace-building and stabilisation efforts as well as economic development and poverty alleviation.

PAC has developed the ***Just Gold*** project to formalise the artisanal gold mining sector by creating a traceable, conflict-free mineral supply chain from mine site to refiner that complies with regional certification standards and international due diligence practices in accordance with the OECD Guidance. The indicative activities eligible for financing under this grant are: the conduct of a baseline assessment study; community outreach and awareness raising; capacity building, provision of technical and financing support for artisanal miners; clarification of land tenure rights, etc. as per the activities listed above (§ 4.2) for the West Africa component.

(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 Partnership Africa Canada (PAC). PAC is internationally recognized for the leadership role it played during the negotiations that led to the creation of the KP and has an exceptional record of successful work in the field of "conflict diamonds and minerals". It has a record of working with the industry, governments and civil society in countries emerging from conflict both in Africa and elsewhere to ensure that trade in minerals and diamonds can generate development and contribute to peace and stabilisation.

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 on the basis of Article 190 (1) point (f) of the RAP *"for actions with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative power, on condition that the actions concerned do not fall within the scope of a call for proposals"*. In terms of technical competence, PAC has a unique position as coordinator of the KP Civil Society Coalition, a network of non-governmental organisations in Africa, Europe and North America, working to end diamond-related conflict and enhance the benefits of diamond mining for peaceful purposes. PAC is also a technical partner to the International Conference on the Great Lakes Region to support the implementation of the Regional Certification Mechanism across Member States as well as the development of the Regional Database on Mineral Flows.

PAC has contributed to the development of "conflict minerals" policy and programmes worldwide through investigative research, policy dialogue and implementation of innovative approaches. The "Just Gold" project is based on an innovative model that PAC has designed to ensure the traceability of gold from conflict-affected and high-risk areas. This method has been successfully piloted and is currently fully operational in the Democratic Republic of Congo (DRC), with 6 mine sites and hundreds active miners integrated into the project. It has provided means to apply OECD Due Diligence Guidance in practice and to contribute directly to the formalization of the sector.

PAC has recently completed extensive anthropological research on ASM and gender in Uganda, DRC and Rwanda, while research is still ongoing in Kenya, Sierra Leone and Mozambique. Based on this data, PAC has developed a thorough Gender Impact Assessment tool specific to the ASM sector and which ensure the gender dimension is truly mainstreamed in its work.

The idea of this specific project in Côte d'Ivoire is to replicate the successful "Just Gold" model developed and implemented by PAC in DRC. For this reason, PAC stands as the best implementing partner for this action. PAC is also a fully bilingual NGO, French and English, which allows it to work with greater ease in Cote d'Ivoire (and DRC).

(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 grant; 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 100% 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 trimester to conclude the grant agreement

Q4 2017

5.3.2 *Grant: direct award "Market Access Standards for responsible gold in Burkina Faso" (direct management)*

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

Similarly to the above mentioned project by PAC, this project also aims to bring legal, conflict-free, and traceable gold from artisanal mines to the international market, thereby contributing to peace-building and stabilization efforts as well as economic development and poverty alleviation. The indicative activities eligible for financing under this grant are: the conduct of a baseline assessment study; community outreach and awareness raising; capacity building, provision of technical and financing support for artisanal miners; clarification of land tenure rights, etc. as per the activities listed above (§ 4.2) for the West Africa component.

- (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 "Alliance for Responsible Mining" (ARM).

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 on the basis of article 190 (1) point (f) of the RAP *"for actions with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative power, on condition that the actions concerned do not fall within the scope of a call for proposals"*.

For more than a decade, ARM has been supporting the creation and adoption of an international standard, the Fairmined label that promotes and certifies artisanal gold produced with good labour, social and environmental practices. As such, ARM developed in the last years, extensive relationships with refiners, buyers, mint houses and jewellers in Europe and North America. More recently (2013-2016) ARM conducted a pilot project in Burkina Faso, Mali and Senegal aiming at setting the bases for the certification with the Fairmined standard of artisanal gold mining organisations and the marketing of their production. This allowed ARM to build solid bases in Burkina Faso and an in-depth understanding of the key parameters and stakeholders of the production and commercialisation of the artisanal gold. This project is fully based on the experience, know-how and lessons learned from the pilot project. ARM has also grown relationships with interregional organisations such as the "Autorité du Liptako-Gourma" (ALG) that are involving neighbouring countries of Burkina Faso in issues related to the formalisation of the ASM gold sector. This is particularly the case on technical issues related to environmental improvement, as well as on the type of relational and social structures in ASM organisations. ARM can further rely on strong relationships with

representative organisations from the sector in Burkina Faso and the example of already supported mining organisations.

In parallel, ARM, in partnership with the NGO RESOLVE<sup>24</sup>, is currently developing a project of market access standard for artisanal gold miners in Colombia, funded by the EPRM<sup>25</sup>. This tool, which integrates the OECD due diligence guideline and fundamental human rights protection, shall facilitate the compliance with international market requirements, and further, the access to better commercial opportunities. Here, ARM intends to use the gathered knowledge from this experiment to adapt it in the sub-Saharan context.

Fully French speaking team derived from ARM experience in the country make the organisation adapted to implement such project, which is fully aligned with its field of 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 grant; 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 100%.

(e) Indicative trimester to conclude the grant agreement Q1 2018

### 5.3.3 *Indirect management with a Member State or a third donor country agency*

This action may be implemented in indirect management with "*Agence Française de Développement*" (AFD) in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012. This implementation entails all of the activities enshrined in the project, in particular all of the indicative activities described in section 4.2.

This implementation is justified because of several reasons. AFD has a longstanding and continuous involvement in the CAR, making it one of the few donors having continued its operation during the crisis and a reference partner for the Central African authorities. In total, AFD's commitment in the CAR over the past five years has reached up to EUR 43 million. In 2016, AFD had 15 ongoing projects in CAR and the current project could benefit from synergies with some of AFD's activities in forest management, microfinance, land tenure and local development.

Thanks to its engagement, AFD has established a trustworthy relationship with public institutions, private sector and civil society in the CAR. In addition, AFD's scope of intervention has been enlarged, since 2016, to governance issues. In the CAR, this opens promising perspectives on the financing of operations aimed at strengthening the governance of the country's natural resources, including diamonds and gold. In addition to its specific work in CAR, AFD has recognised experience in fragile States and, in vulnerable contexts, operates on the basis of a cross-cutting approach which allows it to develop tailored projects covering a wide range of expertise. In the specific case of ASM in the CAR, AFD would propose a cross-sectorial team covering fields such as governance, natural resources management, conflict prevention, private sector support and change management.

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<sup>24</sup> <http://www.resolve.org/>

<sup>25</sup> See section 3.2.

The entrusted entity will be responsible of all budget-implementation tasks and activities required for the operational execution of the Action, including procurement, contracting and contracts management.

If negotiations with the above-mentioned entrusted entity fail, that part of this action may be implemented in indirect management with USAID. The implementation by this alternative entrusted entity would be justified because of the following elements: a) USAID extensive experience in providing capacity support to governments, authorities and local stakeholders to enforce Kimberley Process requirements and implement due diligence approaches; b) the successful cooperation between the EU and USAID in this sector, under the "Property Rights and Artisanal Diamond Development" programme (EUR 1 million under AAP 2012 of the IfS and EUR 1 million under AAP 2015 of the IcSP); c) USAID is currently present in CAR with its PRADD programme and intends to step-up its efforts, building on the experience gained in the years before the 2013. The alternative entrusted entity would entail all of the activities enshrined in the project, in particular all of the indicative activities described in section 4.2.

#### 5.4 Indicative budget

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
5.3.1. – Component West Africa composed of:		
0 – Direct grant "PAC" (direct management)	1 500 000	N.A.
0 – Direct grant "ARM" (direct management)	1 000 000	N.A.
5.3.3 – Indirect management with AFD or USAID	1 500 000	N.A.
5.7 – Evaluation, 5.8 - Audit	will be covered by another decision	N.A.
5.9 – Communication and visibility	N.A.	N.A.
Totals	4 000 000	N.A.

#### 5.5 Organisational set-up and responsibilities

Each project will be managed by the responsible implementing partner in line with its internal procedure.

On the EU side, the Contracting Authority will set-up an inter-service group gathering the concerned EU Delegations, European Commission services as well as the European External Action Service.

## **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**

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 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.

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

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective	Contribute to <b>peace-building and stabilization efforts</b> in mineral-rich fragile areas through the promotion of responsible sourcing and trading of gold and diamonds	Indicators will be identified for each project.	The baseline will be identified for each project	The targets will be identified for each project	To be identified for each project.	Governments recognise the need for reforms.
Specific objective(s): Outcome(s)	<p>A) West Africa component:</p> <ul style="list-style-type: none"> <li>Increased quantity of legal, conflict-free and traceable gold from artisanal mines to the international market</li> <li>Enhanced due diligence on the mineral supply chain from mine to export and beyond.</li> <li>Enhanced formalisation of the artisanal mining sector</li> </ul> <p>B) Central Africa component:</p> <ul style="list-style-type: none"> <li>Enforced legal and institutional framework leading to strengthened governance in the diamonds and gold mining sector;</li> <li>Enhanced awareness and understanding on KP requirements and due diligence approach on gold;</li> <li>Enhanced economic activity and improved livelihood conditions at a local community level;</li> <li>Improved understanding of domestic gold production, financing and trade, in terms of quantities, illicit financing, export networks and supply chains;</li> <li>Enhanced regional cooperation to combat trafficking and smuggling.</li> </ul>	Indicators will be identified for each project.	The starting point or current value of the indicator to be identified for each project	The intended value of the indicator to be identified for each project	To be identified for each project.	<p>Political will exists to adopt legal and regulatory changes.</p> <p>Property rights to mining claims are verifiable and recognised by local customary and administrative authorities.</p> <p>Governments recognize added value of cooperation at regional level.</p> <p>Local actors, private sector and civil society organisations are conscious of the importance of governance</p>
Outputs	<p>A) West Africa component:</p> <ul style="list-style-type: none"> <li>research and analysis;</li> <li>community outreach and awareness raising;</li> <li>support to the formalisation of artisanal miners,</li> </ul>	Indicators will be identified for each project.	To be identified for each project.	To be identified for each project.	To be identified for each project.	

	<p>through:</p> <ul style="list-style-type: none"> <li>○ capacity building and training, provision of technical assistance;</li> <li>○ credit and savings services, via the identification of <b>financing opportunities</b> to provide further incentive for legal and transparent trade;</li> <li>○ clarification and (when possible) securing of land tenure rights;</li> <li>○ introduction of more efficient and more environmentally conscious <b>processing techniques</b>, adapted to existing capacities and local geomorphology;</li> </ul> <ul style="list-style-type: none"> <li>● chain of custody system for ASM in gold;</li> <li>● workshops, conferences and technical assistance to improve the interregional cooperation on the ASM sector.</li> </ul> <p>B) Central Africa component:  <i>Legal and institutional framework:</i></p> <ul style="list-style-type: none"> <li>● Register of diamond miners (plus pilot initiatives in the gold sector);</li> <li>● Support the design and establishment of the institutional and legal architecture;</li> <li>● Foster cooperation with international initiatives;</li> <li>● Training on the combat of smuggling.</li> </ul> <p><i>Awareness raising:</i></p> <ul style="list-style-type: none"> <li>● Awareness campaigns on KP rules and due diligence approach.</li> </ul> <p><i>Economic activity and livelihood conditions:</i></p> <ul style="list-style-type: none"> <li>● Capacity building activities (e.g. workshops and technical assistance) to improve processing techniques, health and safety, and environmental practices as well as socioeconomic capacities of artisanal miners;</li> <li>● Development of incentive programs to formalise the sector and enhance their ability to defend their activity/rights (notably through support to associations or cooperatives).</li> </ul>					<p>of the mineral sector and are willing to cooperate to achieve common goals.</p> <p>International market actors are willing to engage with local actors and to purchase locally produced and traded responsible minerals thus contributing to the elaboration of effective incentive structures for formalization.</p>
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	<p><i>Understanding of domestic gold production and the broader gold economy:</i></p> <ul style="list-style-type: none"> <li>• Independent analysis and research on the gold economy.</li> </ul> <p><i>Regional cooperation:</i></p> <ul style="list-style-type: none"> <li>• Explore possibilities to foster cooperation with DRC and Cameroon;</li> <li>• Facilitate the development of databases on cross-border smuggling, as well as help to disseminate best practices from other regions (e.g. Mano River Union in West Africa).</li> </ul>					
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**ANNEX V**

of the Commission Implementing Decision on the 2017 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 Provision of expertise for justice in conflict and transition**

<b>1. Title/basic act/ CRIS number</b>	Provision of expertise for justice sector support CRIS number: IcSP/2017/40385 financed under Instrument contributing to Stability and Peace (IcSP)			
<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: facilitating and building capacity in confidence-building, mediation, dialogue and reconciliation, with particular regard to emerging inter-community tensions.	DEV. Aid: YES		
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,000,000 Total amount of EU budget contribution EUR 2,000,000			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality Direct management procurement of services			
<b>7 a) DAC code(s)</b>	15220 Civilian peace-building, conflict prevention and resolution 15130 Legal and judicial development			
<b>b) Main Delivery Channel</b>				
<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			
<b>10. SDGs</b>	16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels			

## SUMMARY

Justice in transition processes mostly involve lengthy, complex and political processes that span over years or even decades. As defined in the EU policy framework for support to transitional justice, transitional justice is characterised by four ‘pillars’: the right to justice, the right to reparation, the right to truth and guarantees of non-recurrence, including institutional reform. However, to date there have been only a limited number of programmes offering rapid response expert support to constitution making, and formal or community based transitional justice initiatives.

The objective of the action is to support third countries' justice processes during conflict, post-conflict and transition periods through the provision of short-term policy and technical support particularly in the areas of constitution-making, restoration of justice for the population, and formal and community-based transitional justice processes. Furthermore, the action is expected to support the design and implementation of longer-term justice actions.

The direct beneficiaries of the foreseen action are mainly national authorities, victims’ groups and civil society actors in conflict and post-conflict countries. The support will be channelled to Ministries, justice institutions, authorities and stakeholders, and in particular civil society, including at the grass-root and community level, involved in transitional justice processes and victim participation. Other major stakeholders are international organisations, particularly in the UN family. The ultimate beneficiaries are the people of the countries affected by conflicts and abuses.

## 1 CONTEXT

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

The justice sector in conflict and post-conflict countries is generally very weak and there are urgent needs to restore justice to the population, in particular basic criminal justice chains. Justice in the context of conflict and in its aftermath incorporates transitional justice processes. Mostly applied in countries emerging out of massive violence and abuse, transitional justice processes constitute an important component of peacebuilding, state building and democratisation in conflict and post-conflict

countries. Constitution making is often part of this transition process, as well as traditional and community based justice approaches and processes.

Justice in transition processes mostly involve lengthy, complex and political processes that span over years or even decades. As defined in the EU policy framework for support to transitional justice<sup>1</sup>, transitional justice is characterised by four ‘pillars’: the right to justice, the right to reparation, the right to truth and guarantees of non-recurrence, including institutional reform. A range of mechanisms, measures and institutions can be used to implement each of these ‘pillars’, including for example prosecutions, truth-seeking mechanisms, reparation programmes and guarantees of non-recurrence, which includes institutional reform efforts, such a vetting of the security sector.

International actors play very often a key role in supporting the restoration of basic justice services and in transitional justice mechanisms in conflict and post-conflict contexts. This may include political and technical support in the development of transitional justice mechanisms/processes and their legislation, in constitution making, including at early stages of peace-negotiations, and in various consultation processes.

Programming of such support requires providing technical expertise and capacity building to national authorities and civil society actors, inter alia through embedded experts, peer-to-peer support or short to medium term technical assistance interventions. However the provision of the right expertise at the right time is often challenging, and difficult to ensure through normal cooperation programmes.

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

In recent years, a clear policy shift has been seen in development policy, recognising the interconnectivity between justice, development and security. This linkage has been reflected, for example, in the 2011 *World Development Report: Conflict, Security and Development* and is firmly established in the UN Sustainable Development goals. Also, the EU's Policy Framework on Support to Transitional Justice (2015) follows this approach. This shift in policy reflects a key consideration that human developments require more than economic growth.

The EU Policy Framework on Support to Transitional Justice provides for the first time a comprehensive basis for the EU action in transitional justice, which previously was characterised by ad-hoc engagements mostly focusing on criminal justice. The policy framework identifies five key objectives: 1) ending impunity; 2) providing recognition and redress to victims; 3) fostering trust; 4) strengthening the rule of law; and 5) contributing to reconciliation. In order to achieve the objectives, the policy recognizes the need to use the EU tool-box more broadly, including inter alia through political dialogue, the engagement of Common Security and Defence Policy operations and missions and in crisis response, conflict prevention and peacebuilding activities.

The EU policy puts a strong emphasis on the need for locally owned processes which are victim centred, inclusive and gender sensitive.

The envisaged action also implements the principle of complementarity on which the EU's policy of support to the International Criminal Court (ICC) is based (see 2011 Council Decision and Action Plan). The EU recognises that accountability and justice are most successful if the justice system of each State functions effectively and independently, thereby enabling the ICC to serve its intended role, which is to be a court of last resort, complementing national jurisdictions.

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<sup>1</sup> Council Conclusions on EU's support to transitional justice, adopted by the Council on 16 November 2015 (annex to annex), 13576/15 <http://data.consilium.europa.eu/doc/document/ST-13576-2015-INIT/en/pdf>

### 1.1.2 Stakeholder analysis

The direct beneficiaries of the foreseen action are mainly national authorities, victims' groups and civil society actors in conflict and post-conflict countries. The support will be channelled to ministries, justice institutions, authorities and other national stakeholders, and in particular civil society, including at the grass-root and community level, involved in transitional justice processes and victim participation. Other major stakeholders are international organizations, particularly in the UN family. The ultimate beneficiaries are the people of the countries affected by conflicts and abuses.

### 1.1.3 Priority areas for support/problem analysis

The aim of this action is to enable the EU to provide rapid and flexible support on constitution making, restoration of justice for the population, formal and community based transitional justice processes to various third party actors when requested, and in line with EU foreign policy priorities.

## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Lack of national and/or civil society support for third party engagement in justice processes	M	This risk can be mitigated by EU representatives, including locally in the EU Delegations, through close liaison with the national and local 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.
Security concerns may not allow or interrupt the action	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 implementing partner(s) to assess the security situations on an <i>ad hoc</i> basis before sensitive deployments/launch of activities.
Lack of capacity of justice institutions and Civil Society Organisations (CSOs), in particular women's organisations, to engage in justice processes.	M	Capacity building of justice institutions and advocacy, as well as planning/mapping functions of CSOs will be a priority area of intervention.
<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 EU action and the security situation in country is conducive to facilitate/allow the deployment of experts;</li> <li>• Timely deployment of expertise in order to provide expected support;</li> <li>• Sufficient level of national ownership in order for the expertise to be deployed usefully and in a timely manner;</li> <li>• Sufficient national commitment to implement the Women, Peace and Security Agenda and in particular UN Security Council Resolutions 1325 and 1888 in order to ensure the meaningful and inclusive participation of women in transition processes.</li> </ul>		

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

#### **3.1 Lessons learnt**

One of the main lessons learned in the area of justice support is the need to adjust interventions to local contexts and allow room for innovative approaches. Top-down technical interventions with pre-identified "one-size-fits all" mechanisms are ill equipped to provide sustainable solutions that meet the local needs and political contexts. Instead, innovative approaches to justice support should be sought – truth initiatives and memorialisation efforts being examples of such innovations that are often initiated at the community level. Context specific analysis is therefore of the essence to ensure sustainable approaches.

Local participation and ownership is the key to success in any justice process. Civil society plays an important role in this regard, and thus strengthening civil society leadership and engaging civil society from early on in transition processes is important. Building the capacity of civil society actors on constitution-making and transitional justice processes, especially at an early stage, is one way to address this matter.

The importance of putting victims at the centre of transitional justice efforts is now universally accepted and considered as a crucial factor for the legitimacy of interventions. Often, victims have played only a peripheral role in transitional justice and encountered great difficulties in influencing the design, implementation and outcomes of its processes, including in peace-agreements and constitution making processes. In practice, processes have often focused on institutions, and thus informal processes and victims have been left more to the margins.

Support to justice should be anchored in the wider governance, democratisation and state-building context to ensure its sustainability and effectiveness, rather than considering justice issues as separate and neutral from the overall political and developmental context. Lessons learned show that justice processes are fundamentally political and involve a wide range of actors from security, development and justice sectors, including mediation and Security Sector reform (SSR). Lessons also show the importance of addressing structural factors for impunity as a key logic for interventions that aim to contribute to the prevention of future violations.

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

The action will be fully complementary to other thematic and geographic EU external financing instruments being mobilised to support justice processes, including the European Instrument for Democracy and Human Rights (EIDHR), the Instrument for Development Cooperation (DCI), the European Neighbourhood Instrument (ENI) and the European Development Fund (EDF).

Considering the short-term nature of the envisaged policy and technical support provided through the action, co-ordination of possible follow-up activities with longer-term EU programming instruments, including those of Member States, is important. Moreover, coordination with international partners, in particular the UN and major donor countries will need to be further enhanced in order to allow for more efficient global programming on justice support. Close cooperation with the UN, notably the Special Rapporteur for the promotion of truth, justice, reparation and guarantees of non-repetition, as well as with the UN peace-building architecture, will be essential in this regard.

Implementation of envisaged action 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 Goals 5 and 16 focusing on gender equality and empowerment of women and girls and the promotion of just, peaceful and inclusive societies respectively.

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

The action will contribute to the implementation of UNSCR 1325 and 1888 and the improvement of gender mainstreaming in justice at institutional and operational levels, in line with the EU

Comprehensive approach on UNSCR 1325. This will include, *inter alia*: raising awareness of specific gender concerns and sensitising the target groups on the importance of mainstreaming gender; facilitating the inclusion of women's, youth's and children's groups representatives in constitutional reform, and formal and community based transitional justice processes.

The EU is committed to promoting and protecting human rights in its external actions. 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 EU is a key actor in the area of security sector reform and mediation. The action should complement these activities and should contribute to generating synergies between justice, security and mediation.

## **4. Description of the action**

### **4.1. Objectives/results**

The objective of the action is to support third countries' justice processes during conflict, post-conflict and transition periods through the provision of short-term policy and technical support particularly in the areas of constitution-making, restoration of justice for the population, formal and community-based transitional justice processes. Furthermore, the action is expected to support the EU in its design and implementation of longer-term justice actions.

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of SDG 16 Peace, Justice and Strong institutions, but also promotes progress towards Goal 5 Gender equality. The action should also contribute in the intermediate-term to the prevention of future violations.

### **4.2. Main activities**

- To provide access to short-term expertise, including the deployment of constitution, justice and transitional justice experts covering a wide range of thematic and geographic areas at short notice. Such policy and technical expert support could include activities such as supporting third parties, in different stages of constitution-making processes; restoration of criminal justice chains; assisting in the planning and design of context-specific programmes, policies and strategies with a view to addressing the structural factors for impunity; supporting the participation of victims in formal and informal justice processes, including the design of adequate victims and witness protection mechanisms; supporting documentation and truth seeking initiatives that are enabled to contribute to transitional justice objectives; and supporting formal as well as community-based initiatives related to reconciliation, education and outreach, media and memorialisation of the past.

- To provide access to short-term technical support through measures such as: a) training and capacity building; b) facilitation and/or organisation of events, platforms and consultations (e.g. thematic workshops, seminars or conferences); c) development of communications and knowledge management products; d) developments of context specific planning and mapping tools.

### **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. The restoration of justice for the population, Transitional justice processes and constitutional reforms are essential in contributing to overcoming political conflicts and in building trusted and inclusive institutions in divided societies. To strengthen civil society in the area of justice is a key component of this logic.

Supporting justice processes in conflict, post-conflict and transition periods must be based on democratic governance and on a people-centred approach to justice and security. It should be inclusive, participatory, sustainable and gender-sensitive, ensuring that gender concerns are fully met

throughout the process in order to meet the long term needs of sustainable development, 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 justice efforts in conflict, post-conflict and transition periods, if such expertise is 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 4.1 will be carried out and the corresponding contracts and agreements implemented, is 36 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 on constitutional reform, and formal and community based initiatives on transitional justice	Services	1	2017 Q2

### 5.4. Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

### 5.5. Indicative budget

	EU contribution (amount in EUR)
4.3.1. Procurement	2,000,000
<b>Total</b>	2,000,000

## **5.6. 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 and the EEAS.

The implementing partner is foreseen to set-up a Project Coordination Cell, which will centralise operational contacts with the EU.

## **5.7. 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).

## **5.8. Evaluation**

Having regard to the nature of the action, a mid-term and/or final evaluation(s) will 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), taking into account in particular the possible second phase of the 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.

The financing of the evaluation(s) shall be covered by the IcSP administrative budget line or by another measure constituting a financing decision.

## **5.9. 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.

#### **5.10. 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 0 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.

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	National authorities and civil society actors in conflict, post-conflict and transition countries have the capacity to carry out inclusive and participatory justice processes based on democratic principles and contributing to objectives reflected in the EU policy framework on TJ.	Indicators should be defined for each assignment separately taking into account lessons learned, complementarity and cross cutting issues (e.g. gender, SSR, mediation). They should be related to, e.g. justice services in place, violence reduction, introduction /amendment of constitutional provisions and processes, involvement and quality participation of civil society and victims groups, level of understanding of transitional justice mechanisms and policy development among stakeholders.	The baseline will be identified for each assignment.	The targets will be identified for each assignment.	The sources will be identified for each assignment (for example from human rights, justice and security sector reporting, Transitional Justice Institutions / Commissions reports and documentation)	

Specific objective(s): Outcome(s)	Effective and legitimate constitution-making, justice restored, formal and community based transitional justice processes developed and implemented in an inclusive, participatory and sustainable way based on the principles of the EU policy framework on TJ.	Indicators should be defined for each assignment separately, taking into account lessons learned, complementarity and cross cutting issues (e.g. gender, SSR, mediation). They should be related to, e.g. the capacity of national/international organizations, as well as civil society and victim organisations, the level of inclusiveness and participation (consultations), 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 targets will be identified for each assignment.	To be identified for each assignment.	The expected impact will not be achieved if the national authorities and civil society actors will not have the will and/or the capacity to implement the adopted policies.
Outputs	Context specific expert technical advice is put at the disposal of national authorities, civil society actors and EU entities to support justice processes, capacity building and training, as well as planning and mapping.	Indicator to be defined for each assignment, taking into account lessons learned, complementarity and cross cutting issues. (e.g. gender, SSR, mediation)	The starting point or current value of the indicator to be identified for each assignment.	The targets will be identified for each assignment.	To be identified for each assignment.	The expected impact will not be achieved if the national authorities and civil society actors will not have the will and/or the capacity to implement the adopted policies.



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**ANNEX VI**

of the Commission Implementing Decision on the Annual Action Programme 2017 for the Instrument contributing to Stability and Peace - Conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for "Preventing Violent Extremism: A Gender Sensitive Approach"**

<b>1. Title/basic act/ CRIS number</b>	Preventing Violent Extremism: A Gender Sensitive Approach CRIS number: IcSP/2017/40385 Financed under the Instrument contributing to Stability and Peace.	
<b>2. Zone benefiting from the action/location</b>	The action shall be carried out in two pilot countries in the following regions: Middle East North Africa and Asia.	
<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>	Priorities (a) and (d) under Art. 4.1 of IcSP Regulation: (a) promoting early warning and conflict-sensitive risk analysis in the policy-making and the implementation of policy; d) improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation;	DEV. Aid: YES
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,500,000 Total amount of EU budget contribution EUR 2,500,000	
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality Indirect management with UN Women	
<b>7 a) DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution 15180 - Ending violence against women and girls	

<b>b) Main Delivery Channel</b>	41000	United Nations Agency, Fund or Commission (UN)		
<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"/>	<b>X</b>
	Aid to environment	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input type="checkbox"/>	<b>X</b>
	Trade Development	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<b>X</b>	<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	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<b>X</b>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	N/A		
<b>10. SDGs</b>	Sustainable Development Goal (SDG) 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. SDG 5: Achieve gender equality and empower all women and girls			

## SUMMARY

Terrorism and violent extremism have become global peace and security threats with complex local, national and international inter-linkages. Violent extremism is putting countries and societies at risk of conflict notably by reinforcing divisions among social groups, by undermining the social contract between citizens and their state and by marginalising the forces of positive and constructive change. There are strong gender dynamics underpinning radicalisation and violent extremism: from propaganda to use of gender based violence through to roles that men and women play as supporters, mobilisers and fighters. Overall, violent extremism contributes to undo generations of progress on gender equality and women's rights and emphasise stereotypes of gender norms which are conducive to abuses and violence. This action is aiming to prevent the rise of violent extremism by strengthening capacities of local actors in two countries (in the Middle East and Asia regions) to address its gender dynamics. This will be achieved through the following specific objectives:

- . Expand and deepen a data-driven evidence base on the drivers of extremist violence and its impact on women and girls;
- . Enhance capacities of national and local authorities to understand and effectively respond to the gendered dynamics underpinning violent extremism;

. Strengthen women and women's groups involvement in efforts to prevent and counter terrorism and violent extremism.

The activities will revolve around the following components:

- 1) Research aiming further knowledge on the drivers of extremist violence and its specific impact on women and girls, on the roles of women in the promotion of terrorism and violent extremism and on the impact of counter terrorism laws and strategies (international, regional, national) on the rights of women and women's groups.
- 2) Initiatives to support in-country authorities and civil society organisations, including women's groups, in their engagement to prevent violent extremism in policy and planning, strategic communications, community engagement and support to victims of gender based violence.

## 1 CONTEXT

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

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

Terrorism and violent extremism have become global peace and security threats with complex local, national and international inter-linkages. Groups are now demonstrating an ability to mobilise and operate on a transnational level and exploit a range of structural factors including governance and development deficits, perceived injustices reinforced by socio-political marginalisation and exclusion, and the promotion of violent extremist narratives and ideologies to drum up recruits and support. Violent radicalisation extremism is putting countries and societies at risk of conflict notably by reinforcing divisions among social groups, by undermining the social contract between citizens and their state and by marginalising the forces of positive and constructive change.

There are strong gender dynamics underpinning radicalisation and violent extremism. "Gender-sensitive" propaganda distilling tailored messages to men/boys and to women/girls is a key push factor in recruitment processes, joining and embracing these groups' ideologies and agenda. The use of sexual and gender-based violence and crimes are also part of the strategic objectives of terrorist groups. UN-led investigations have uncovered a wide range of abuses, ranging from violations of women's fundamental rights to health, education, and engagement in public life to rape, forced marriage, abductions and sexual slavery. Overall, violent extremism contributes to undo generations of progress on gender equality and women's rights and emphasise stereotypes of gender norms which are conducive to abuses and violence.

The EU approach to tackling radicalisation and violent extremism is to focus on its different internal and external dimensions: at home in Europe as well as in third countries. The external dimension focus is meant to make internal European efforts more effective, but also stems from the perspective that these challenges are key conflict and security risks for state and societies abroad. In that respect, the *Global strategy* highlights that *"the EU will live up to its values internally and externally: this is the strongest antidote we have against violent extremism.* The *EU's comprehensive approach to external conflict and crises* emphasises that a preventive approach is a priority as it *"saves lives and reduces suffering, avoids the destruction of homes, businesses, infrastructure and the economy, and makes it easier to resolve underlying tensions, disputes and conditions conducive to violent radicalisation and*

terrorism." The *Communication on supporting the prevention of radicalisation leading to violent extremism* (2016)<sup>1</sup> sets out an ambitious agenda aiming to assist third countries through support to law enforcement and human rights compliant responses and to step up engagement in preventive action, tackling the root causes of certain forms of radicalisation that can lead to violent extremism.

As set out in the *Comprehensive approach to the EU implementation of the United Nations Security Council Resolutions 1325 and 1820 on women, peace and security* and the *EU Gender Action PLAN II 2016-2020*, and in line with the latest UN Security Council Resolution (UNSCR) 2242, as well as the UN's *Plan of Action to Prevent Violent Extremism*, the EU remains strongly committed to tackle violence against women in the context of violent extremism and to support a stronger role for women in preventing radicalisation and violent extremism strategies and processes.

### **1.1.2 Stakeholder analysis**

This action aims to support a wide range of international, national and local actors to tackle violent extremism from a gender perspective. UN Women, the lead implementing partner, is a forefront stakeholder in the promotion and implementation of the women, peace and security agenda. Through this action, the agency will pilot two projects in order to strengthen its own capacity to engage in the field of violent extremism. Lessons learned during that process will inform future engagement in that sector. National level actors, state authorities and civil society organisations (including women's groups) will benefit from the Action through capacity building on and support to on-going initiatives aiming to prevent violent extremism. Other stakeholders involved in this action will include think tanks, international non-governmental organisations, EU Headquarters services and Delegations and Member States where relevant.

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

This action is focusing on the gender dynamics underpinning violent extremism. Many terrorist and violent extremist groups are placing the control and subjugation of women and girls at the heart of their agendas, using gender stereotypes to radicalise and recruit, and undoing generations of progress on gender equality and women's rights. Sexual and gender based violence has become part of the strategic objectives of these groups, including as means to attract new recruits and control populations and territories. At the same time, women are also contributing to further the goals of these radical and violent extremist groups, for example as supporters of a cause, recruiters or fighters. There is a critical role for women to play in order to ensure that responses to violent extremism effectively take into account and address these dimensions. In that respect, the UNSCR 2242 highlights the necessity to build on the experiences and achievements made under the women, peace and security agenda and reaffirms the centrality of the role of women in building sustainable peace in changing global context of peace and security particularly affected by rising violent extremism. Approaching the challenges posed by violent extremism to peace and security from a gender perspective also implies to look at how men and boys, in addition to women and girls, are affected by and contribute to further, violent extremism. A preventive approach should also interrogate the gender norms that shape and perpetuate the underlying assumptions and perceptions fuelling and used to justify violent narratives, ideologies and actions.

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<sup>1</sup> [http://europa.eu/globalstrategy/sites/globalstrategy/files/pages/files/eugs\\_review\\_web\\_13.pdf](http://europa.eu/globalstrategy/sites/globalstrategy/files/pages/files/eugs_review_web_13.pdf)

While there is an increased recognition of the relevance to better understand the gender dynamics of violent extremism in order to design more comprehensive and effective responses, the links between the gender communities and the counter-terrorism/violent extremism are not systematic yet. This action is aiming to tackle this disconnection by supporting local, national and international stakeholders' initiatives to address specific gender dynamics contributing to or affected by violent extremism and to inform the other relevant stakeholders and initiatives to take into consideration and address those dynamics too.

**2 RISKS AND ASSUMPTIONS**

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Lack of political will at senior decision making levels within the national government.	M	<ul style="list-style-type: none"> <li>. UN Women has secured prior agreement from relevant authorities to work in the given country.</li> <li>. UN Women and other relevant UN field representations will utilise their Good Offices to lobby government counterparts and engage the UN system to support the goals of the project.</li> </ul>
Lack of capacity of women’s organisations to engage in efforts to prevent and counter extremist violence.	L	Capacity building of women’s organisations will be a priority area of intervention through the project. Strengthening partnerships with key stakeholders will also support this effort.
Lack of security and high levels of instability in focus countries.	M	UN Women field offices will consult closely with UN Department of Safety and Security and other security actors to ensure that project partners and beneficiaries minimize any potential security risk.
Security risks for women and girls involved in Preventing Violent Extremism (PVE) activities in some of the targeted areas.	M	Stakeholders involved in the design and implementation of activities will ask for guidance from, and/or will develop together with, women and local Civil society organisations (CSOs) the appropriate risk management frameworks, including on ways to label and communicate about their PVE activities and to anticipate and respond to security threats.
Lack of cooperation and agreement among relevant partners on the project's strategic approach, design and implementation of activities.	L	UN Women, as lead partner and coordinator of the action, sets up the appropriate mechanisms in-country to ensure an effective coordination and collaboration among all partners involved.

## Assumptions

- . The political and security situation in each pilot country allows the implementation of the activities as per the foreseen modalities and does not require substantial redesign.
- . All stakeholders involved have the necessary prior authorisations to work in the chosen pilot countries.
- . Relevant authorities agree to engage in project activities in which their participation has been envisaged.
- . UN Women, as lead partner and coordinator of this project, has formalised the appropriate agreements with each involved partners in each country to secure and guide their role in the project, as well as allowing their participation in decision-making.

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

#### 3.1 Lessons learnt

UN Women's *Global Study on the Implementation of United Nations Security Council resolution 1325* highlights that while progress has been made at global policy, institutional, political and funding levels, since the adoption of the UNSCR 1325 in 2000, obstacles and challenges to its systematic implementation still persist. Nevertheless, the study provides a number of lessons outlining the centrality of the women, peace and security agenda in achieving sustainable peace. It notably stresses that supporting women peace builders and respecting their autonomy is one important way to counter violent extremism. There is now a consensus that terrorism and violent extremism are complex multi-faceted phenomenon requiring comprehensive responses at all levels. In that respect, civil society organisations and women groups have key role to play in order to ensure that local, national and international efforts are effective in taking into account and tackling the whole range of factors driving violent extremism, as well as its effects on women's rights and security.

#### 3.2 Complementarity, synergy and donor coordination

This Action will be fully complementary with all EU external instruments being mobilised to support structural actions to prevent and counter terrorism and violent extremism under the Development Cooperation Instrument<sup>2</sup>, and European Neighbourhood Instrument<sup>3</sup> as well as with relevant measures and actions under European Instrument for Democracy and Human Rights<sup>4</sup> and IcSP (Articles 3, 4 and 5) focusing respectively on the role of civil society in promoting dialogue and cooperation on conflict prevention and peace-building/governance at both local and national levels and the role of international cooperative networks to structurally address global and trans-regional threats. The action will also contribute to meeting the objectives pursued in the comprehensive approach to the EU's implementation of UN Security Council resolution 1325 and 1820, the Gender Action Plan 2016-2020.

The action will be fully integrated into UN Women global activities and strategic planning to advance the implementation of the women, peace and security agenda in the Sustainable Development Goals framework and as regards the issue of preventing and countering terrorism and violent extremism. The action will coordinate with the activities of other UN

<sup>2</sup> Regulation (EU) No 233/2014, OJ L 077, 15 March 2014

<sup>3</sup> Regulation (EU) No 232/2014, OJ L 077, 15 March 2014

<sup>4</sup> Regulation (EU) No 235/2014, OJ L 077, 15 March 2014

agencies working to support and advance international efforts to combat terrorism and violent extremism and advance the broader peace and security agenda including that of the sustainable development goals, including the United Nations Development Programme (UNDP), the Office of the United Nations High Commissioner for Human Rights (OHCHR), the United Nations Office on Drugs and Crime (UNODC), the Counter-Terrorism Implementation Task Force (CTITF) and the United Nations Security Council Counter-Terrorism Committee (CTED).

A Programme Steering Committee will be formed and comprised of representatives from the EU, UN Women, and project partners. The Steering Committee will meet semi-annually to exchange on the project progress and learning. At these meetings, project focal points will provide an update on programme implementation, highlighting key results and challenges. At country level, engagement between UN Women and the EU Delegation will inform these discussions.

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

In line with Article 2 (4) of the IcSP Regulation, the following cross cutting issues will be mainstreamed in the project design and implementation:

. Promotion of democracy and good governance: the Action will contribute to establish and strengthen accountability mechanisms between authorities, civil society organisations and communities, as well as inclusive decision making whereby civil society organisations, including women's groups, will have a greater role in the design and implementation of policies, strategies and initiatives in the field of prevention of violent extremism.

. Human rights and humanitarian law, including children's rights and the rights of indigenous peoples: the Action will support specific groups, notably women organisations, to advocate for their own rights to be respected and protected by responsible authorities. Depending on the contexts, activities will seek to ensure that rights are upheld rather than undermined.

. Gender equality and the empowerment of women: This Action will aim to improve Gender equality and empowerment of women in the countries of implementation through their greater involvement in the prevention of violent extremism frameworks. These are implicit objectives of this Action, in line with the EU Comprehensive approach to the EU implementation of the United Nations Security Council Resolutions 1325 and 1820 on women, peace and security and the EU Gender Action PLAN II 2016-2020.

. Conflict prevention and conflict-sensitivity: Implementing partners will take the necessary steps to ensure that activities undertaken in the framework of this Action do not cause any harm and maximise opportunities to address underlying tensions in the countries where the Action will be implemented.

## 4 DESCRIPTION OF THE ACTION

### 4.1 Objectives/results

The **overall goal** of the action is to prevent the rise of violent extremism by strengthening capacities of local actors from two countries (one in the Middle East and one in Asia<sup>5</sup>) to address its gender dynamics. This will be achieved through the following **specific objectives**:

- . Expand and deepen a data-driven evidence base on the drivers of extremist violence and its impact on women and girls;
- . Enhance capacities of national and local authorities to understand and effectively respond to the gendered dynamics underpinning violent extremism;
- . Strengthen women and women's groups involvement in efforts to prevent and counter terrorism and violent extremism.

Capturing and learning lessons on understanding gender dynamics underpinning violent extremism and on best practices to strengthen capacities to address these dynamics will be cross-cutting objective of this Action.

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of SDG 16 (Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels) as well as SDG 5 (Achieve gender equality and empower all women and girls). This does not imply a commitment by the countries benefiting from this programme.

### 4.2 Main activities

#### 1) Research component

In partnership with key research institutes and civil society organisations, thorough research will be undertaken, including through consultations and dialogues in-country to produce new analysis and further knowledge on:

- The drivers of extremist violence and its specific impact on women and girls;
- The roles of women in the promotion of terrorism and violent extremism;
- The impact of counter terrorism laws and strategies (international, regional, national) on the rights of women and women's groups.

The activities under this component will aim to advance knowledge and understanding of the gender dynamics underpinning violent extremism, a dimension which has been overlooked so far. Implementing partners will undertake gender sensitive research on the drivers of extremist violence, the push and pull factors that motivate women and men to join extremist groups, including the use and manipulation of gender stereotypes in efforts to radicalise and recruit. Deepening our collective understanding of the roles women can play as supporters, mobilisers, recruiters, fighters in violent extremist networks or as interlocutors and consumers of violent extremist propaganda will also constitute a core aspect of the research to be undertaken. This component will also focus on the resilience factors, and especially the

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<sup>5</sup> To be determined in agreement with UN Women.

critical role that women and women groups play in preventing and countering violent extremism in communities but also how this role and impact could be maximised. In that respect, an analysis of the impact of terrorism and counterterrorism frameworks (national and international) on women and women's groups will be particularly useful to better understand how collective responses can be more effective at supporting the forces of positive change within the societies affected by violent extremism.

Particular attention will be given to the research methodology in each country where the action will take place to ensure a broad coverage of perspectives and experiences, but also taking into account and managing the security risks and sensitivities surrounding these issues. Innovative approaches such as dialogues and consultations will also be considered to create platforms for the exchange of ideas, experiences, and knowledge, and to identify areas for further research and data collection.

## **2) Action component**

Building on the research findings and based on the needs identified during an inception phase, the following initiatives will be undertaken to support in-country authorities and civil society organisations, including women's groups, in their engagement to prevent violent extremism in the following areas:

- National level Policy and Planning: Participation of women's civil society organisations and networks in the development of national level policies and action planning on counter terrorism/ preventing and countering violent extremism and women, peace and security.
- Communications & counter-narratives: capacity building of women's civil society organisations to engage with the media and contribute to communication strategies that counter radical and violent narratives.
- Community engagement: support specific initiatives aiming to strengthen youth (women and men) resilience against violent extremism narratives and radical group recruitment.
- Support to victims: Address sexual and gender based violence caused by terrorist and violent extremist groups through assistance and protection to victims, as well as through victims' engagement in prevention initiatives.

Under this component, activities will aim to strengthen capacities in-country to address the gender dimensions of violent extremism. This includes engagement on national level policy and planning processes such as 1325 Action Plans so they take into account the terrorism and violent extremism as an emerging peace and security issue as well as plans of action to prevent violent extremism to take into account gender related dynamics. It is critical to promote opportunities for women to provide inputs, inform content and offer evaluations and information regarding impact.

Another area of engagement will focus on communications and counter narratives. Results of the research conducted in component 1 will inform the design of initiatives aiming to counter violent extremist narratives and promote gender equality as an alternative, which could involve trainings on social media advocacy techniques and strategies, engagement with media practitioners on gender-sensitive reporting that recognises the particular impacts of terrorism and violent extremism on women and girls' rights, development of codes of conduct for print, broadcasting and radio, and engagement in strategic communications initiatives.

Capacity development to support and enhance the role of women and girls in preventing violent extremism at the community level and amplify their voices will be a core component of this initiative. Community engagement programming could include awareness raising and gender sensitisation workshops for local actors and security actors; youth leadership and engagement workshops for girls and boys; forums for dialogue and exchange within and between communities; educational and skills development opportunities. These would be developed with a view to supporting communities in early identification and responses to violent extremism and building resilience.

The action will also aim to support to victims of conflict-related sexual and gender based violence through providing essential services including health and access to justice. These efforts can draw on the extensive work undertaken by UN commissions of inquiry and fact-finding missions in contexts of violent extremism. Gender experts deployed to these bodies by UN Women in partnership with the intergovernmental body Justice Rapid Response have worked to highlight the nature and extent of sexual and gender based violence. This work will continue to be supported under this programme.

A cross-cutting lessons learning component will extract lessons during the course of the implementation, as part of the project monitoring and evaluation framework. Specific learning activities will be designed and undertaken to ensure valuable lessons are effectively captured and reported.

### **4.3 Intervention logic**

The project intervention is based on an underlying theory of change that if we strengthen in-country capacities to better understand and address the gender aspects of and dynamics underpinning violent extremism, then decision making and responses to violent extremism at local and national levels will be more effective because integrating a gender dimension will enhance the quality of risk and threat analyses, and the intervention opportunities to prevent and respond, by taking a more comprehensive and inclusive approach that includes women's and girls' inputs.

## **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**

#### **5.3.1.1 Indirect management with an international organisation**

This action may be implemented in indirect management with UN Women in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012. This implementation entails all activities as described under section 4 above. This implementation is justified because of the technical expertise that UN Women brings to this Action. Being the global leading organisation on the Women, Peace and Security agenda, UN Women will be able to build on its expertise in engaging the security sector and support the role of women groups therein to take forward this action on prevention of violent extremism. Its presence in-country through field offices, its links and partnerships with key actors in the area such as civil society organisations, think tanks, governments will be fundamental to establish the necessary connections between different stakeholders in-country. As a UN agency, UN Women will be well placed to also involve other relevant UN actors in this Action. EU support to UN Women on such a project is fully in line with the EU-UN strategic partnership and dialogue on conflict prevention and counter-terrorism and more particularly the EU – UN Women strategic partnership established in 2012.

The entrusted entity would carry out the following budget-implementation tasks: procurement with service providers, conclusion of grants and contracts, operational and financial management of the activities, and any other relevant transactions.

### **5.4 Scope of geographical eligibility for procurement and grants**

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

## 5.5 Indicative budget

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
5.4.2.2. – Indirect management with UN Women	2,500,000	
Totals	2,500,000	

## 5.6 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 ECHO, DG DEVCO, DG NEAR and DG EAC) as well as the European External Action Service (EEAS).

The Action will be implemented by UN Women field offices in the countries selected for the Action, with overall coordination by the Peace and Security Section at UN Women Headquarters. The HQ programme manager is responsible for the development of the project work plans and the day to day coordination of the activities under the supervision of the Chief Advisor, Peace and Security Section, including strategic outreach. During a six-month inception phase, detailed country work plans will be prepared by UN Women in consultation with partners and in collaboration with EU HQ and Delegations.

A Programme Steering Committee will be formed and comprised of representatives from the EU, UN Women, and project partners. The Steering Committee will meet semi-annually to exchange on the project progress and learning. At these meetings, project focal points will provide an update on programme implementation, highlighting key results and challenges. At country level, engagement between UN Women and the EU Delegation will inform these discussions.

## 5.7 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).

## **5.8 Evaluation**

Having regard to the importance of the action, a final evaluation will be carried out for this action or its components 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 this is an innovative action with pilot activities being tested under its different components.

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 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.

## **5.9 Audit and verifications**

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 and/or expenditure verifications shall be covered by another measure constituting a financing decision.

## **5.10 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 5.5 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>6</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>	Prevent the rise of violent extremism by strengthening capacities of local actors from two countries (one in the Middle East and one in Asia) to address its gender dynamics.	Number of terrorism related death in each country.  Gender disaggregated perceptions of security and safety	Ideally, to be drawn from the partner's strategy, on national gender equality policies in targeted countries, and on gender-based violence statistics	Ideally, to be drawn from the partner's strategy	To be drawn from the partner's strategy.	
<b>Specific objective(s): Outcome(s)</b>	1. Expand and deepen a data-driven evidence base on the drivers of extremist violence and its impact on women and girls; 2. Enhance capacities of national and local authorities to understand and effectively respond to the gendered dynamics underpinning violent extremism; 3. Strengthen women and women's organisations involvement in efforts to prevent and counter terrorism and violent extremism.	1.1 Two research report (one from each chosen country) setting out country based analysis and data are produced and disseminated.  2.1% of decisions and initiatives by relevant authorities taking into account and addressing gender related issues and dynamics.	The starting point or current value of the indicator.	The intended value of the indicator.	Sources of information and methods used to collect and report (including who and when/how frequently).	Factors outside project management's control that may impact on the outcome-impact linkage.

<sup>6</sup> Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'.

		3. # of civil society, including women's organisations, initiatives and collaborations to tackle gender related aspects of violent extremism.				
<b>Outputs</b>	<p>1.1 Two country reports (one for each chosen country)</p> <p>1.2 Dissemination and outreach events</p> <p>2.1 Trainings, coaching and other types of engagement, depending on the activities to be designed in each country.</p> <p>2.2 Decisions taken and initiatives launched by authorities in each chosen country.</p> <p>3.1 Own Initiatives launched by women organisations, to be defined in each country.</p> <p>3.2 Partnerships and collaborations between women organisations and other relevant stakeholders.</p>		Idem as above for the corresponding indicator.	Idem as above for the corresponding indicator.	Idem as above for the corresponding indicator.	Factors outside project management's control that may impact on the output-outcome linkage.



EN

**ANNEX VII**

of the Commission Implementing Decision on the Annual Action Programme 2017 for the Instrument contributing to Stability and Peace – Conflict prevention, peace-building and crisis preparedness component (Article 4)

**Action Document for Education Planning for Conflict Prevention and Crisis Preparedness**

<b>1. Title/basic act/ CRIS number</b>	Education planning for conflict prevention and crisis preparedness (CRIS number: 040-385) financed under Instrument contributing to Stability and Peace (IcSP)			
<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 (a) under Art. 4.1 of IcSP Regulation: promoting early warning and conflict-sensitive risk analysis in the policy-making and the implementation of policy.			
<b>5. Amounts concerned</b>	Total estimated cost: EUR 2,300,000 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 300,000.			
<b>6. Aid modality and implementation modality</b>	Project Modality Indirect management with IIEP UNESCO			
<b>7. a) DAC code(s)</b>	15220 - Civilian peace building, conflict prevention and resolution			
<b>b) Main Delivery Channel</b>	41000 United Nations Agency, Fund or Commission			
<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			
<b>10. SDGs</b>	Sustainable Development Goal (SDG) 4. Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all			

## SUMMARY

The right to education is highly important, also in crisis situations, yet it remains an underfunded and de-prioritised aspect of crisis response. Educational planning which is sensitive to the causes and triggers of conflict, and which addresses potential natural hazards, can reduce – and potentially even prevent – the effects of conflict and disasters on education, saving lives in the process.

The objective of this action is to increase equitable access to quality education for children and youth in crisis situations by supporting the education sector in fragile and crisis-affected countries in planning for and thereby reducing risks of conflict and disaster. It will do so by strengthening the capacities of key national and international actors in planning education systems through a crisis-sensitive approach; by strengthening country-level coordination and collaboration between education actors to effectively reduce education sector risks and vulnerability to crises, and to manage refugee influxes; and by strengthening the evidence base on how governments and humanitarian and development partners can work together to improve the performance of education systems in situations of crisis, and ensure knowledge sharing at a global level.

## 1 CONTEXT

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

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

Some of the most glaring violations of the right to education around the world occur in contexts of conflict, natural disaster and other crises, such as health epidemics. Crises pose a

serious threat to prospects of achieving the new Sustainable Development Goal 4 on education, which calls to ensure inclusive and equitable quality education and promote lifelong learning opportunities for all. Emergencies and protracted crises currently disrupt and destroy education opportunities and quality for more than 80 million children and young people aged 3-18 around the world, violating their rights, increasing risk of marginalisation and raising psychosocial and protection concerns. Children and youth are among the hardest to reach, and frequently live in or are displaced to contexts where governments cannot – or will not – provide them with education services. To date, national and international responses have not been enough to adequately address education needs for crisis-affected children and young people.

Many countries, and particularly those in protracted crises, often face multiple risks: conflict and insecurity, political instability, corruption, ethnic divisions, economic shocks, displaced populations, and natural hazards, among others. Risks are often mutually reinforcing (such as drought leading to migration leading to resource conflicts of land and water), and all impact on planning, management and service delivery. Often the root causes of conflict are inequitable service delivery, violence in schools, or politicised education content and infrastructure that makes education vulnerable to attack. Education also has the potential to exacerbate conflict i.e. it can be a driver of conflict, including uneven access to education between ethnic, religious or regional groups; the denial of education, the manipulation of the curriculum – especially history teaching - for political purposes; and the use of a pedagogic style which discourages critical thinking and open debate.

The field of education in emergencies emerged in 2000, with the founding of the Inter-Agency Network for Education in Emergencies (INEE), and the publication of the INEE Minimum Standards in 2002.

The European Commission has increasingly acknowledged the importance of education in emergencies since the run-up to the World Humanitarian Summit (WHS) in Istanbul in 2016. The EU is one of the largest global development donors and humanitarian actors for education in crises. 60% of the EU's bilateral aid for education already goes to fragile and conflict affected states (representing EUR 1.6 billion). The EU is the biggest donor (EUR 375 million) to the Global Partnership of Education which increasingly focuses on education in fragile and crisis environments. The EU also supports (EUR 5 million) the Education Cannot Wait Fund whose mandate is to "generate greater shared political, financial and operational commitment to meet the educational needs of millions of children and young people affected by crises". Education is a priority in the EU's response to the Syria crisis and a main component of the EU Regional Trust Fund in Response to the Syrian Crisis. EUR 544 million have been mobilised so far to support education. Education in emergencies is a key priority for EU humanitarian aid as well. The EU dedicated over 4% of its humanitarian aid budget to education in emergencies in 2016 and is increasing its funding target to 6% in 2017. Despite the EU's efforts, the magnitude and complexity of the educational needs of millions of children and young people affected by crisis around the world calls for further ambitious action and coordination.

The Communication '[A Special Place for Children in EU External Action](#)<sup>1</sup>' (COM) (2008) outlines the framework for a comprehensive EU approach towards the promotion of children's

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<sup>1</sup> COM (2008) 'A Special Place for Children': <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2008:0055:FIN:EN:PDF>

rights in third countries, especially those affected by crises. It aims to prevent state fragility and ensure long-term sustainable development, social cohesion, stability and human security at national, regional and global levels.

The Communication Staff Working Document 'EU's Action Plan on Children's Rights in External Action'<sup>2</sup> (CSWD) (2008) counts with education as one of the EU main sectors to mainstream children's rights, particularly in armed conflict. It also includes vocational training and specific attention to girls' needs.

The Commission Staff Working Document on Children in Emergencies and Crisis Situations<sup>3</sup> (CSWD) (2008), linked to the 'EU Action Plan on Children's Rights in External Action'<sup>4</sup> (2008), addresses the specific vulnerabilities and protection needs of children, and the promotion of their rights in third countries. In order to do so, the CSWD defines a general framework for community humanitarian actions covering education in emergencies.

The European Agenda on Security<sup>5</sup> (2015) establishes how the EU can promote security to Member States. Specific actions in education are related to tackling terrorism and preventing radicalisation with a strong component of youth participation and support to mobility of teachers, youth workers, school cooperation platforms and strategic partnerships in the field of education and youth policy.

The 'EU Communication on Forced Displacement and Development'<sup>6</sup> (2016) covers education as a sector focus, concretely quality education at all levels –early childhood, primary, secondary, vocational and higher education- for both forcibly displaced people and host communities affected by emergencies and crises.

The Communication 'The Protection of Children in Migration'<sup>7</sup> (2017) sets out actions to reinforce the protection of all migrant children at all stages of the process, including adequate reception conditions for children such as access to legal assistance, healthcare, psychosocial support and education.

All actors accept that the current landscape of crises demand more complex responses, and attention to crisis prevention and preparedness in order to reduce the likelihood of future crises. Yet, the established sharp division of labor and responsibilities is difficult to overcome. The UN Secretary-General's Report for the WHS 2016, One Humanity: Shared Responsibility<sup>8</sup>, under Core Responsibility 4, calls for a reform of the humanitarian aid architecture, stipulating the need to change the focus “from delivering aid to ending need”.

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<sup>2</sup> CSWD (2008) EU's Action Plan on Children's Rights in External Action, p.6,8:

[http://ec.europa.eu/echo/files/policies/sectoral/children\\_2008\\_EU\\_Action\\_Plan.pdf](http://ec.europa.eu/echo/files/policies/sectoral/children_2008_EU_Action_Plan.pdf)

<sup>3</sup> CSWD (2008) 'Children in Emergencies and Crisis Situations':

[http://ec.europa.eu/echo/files/policies/sectoral/children\\_2008\\_Emergency\\_Crisis\\_Situations\\_en.pdf](http://ec.europa.eu/echo/files/policies/sectoral/children_2008_Emergency_Crisis_Situations_en.pdf)

<sup>4</sup> CSWD (2008) 'EU Action Plan on Children's Rights in External Action':

[http://ec.europa.eu/echo/files/policies/sectoral/children\\_2008\\_EU\\_Action\\_Plan.pdf](http://ec.europa.eu/echo/files/policies/sectoral/children_2008_EU_Action_Plan.pdf)

<sup>5</sup> COM (2015) 'European Agenda on Security': [http://ec.europa.eu/dgs/home-affairs/e-library/documents/basic-documents/docs/eu\\_agenda\\_on\\_security\\_en.pdf](http://ec.europa.eu/dgs/home-affairs/e-library/documents/basic-documents/docs/eu_agenda_on_security_en.pdf)

<sup>6</sup> COM (2016) 'Lives in Dignity: from Aid Dependence to Self-Reliance. Forced Displacement and Development', p. 10-11.

<sup>7</sup> COM(2017) 211 final: [https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20170412\\_communication\\_on\\_the\\_protection\\_of\\_children\\_in\\_migration\\_en.pdf](https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20170412_communication_on_the_protection_of_children_in_migration_en.pdf)

<sup>8</sup> [http://reliefweb.int/sites/reliefweb.int/files/resources/Secretary-General%27s\\_Report\\_for\\_WHS\\_2016\\_%28Advance\\_Unedited\\_Draft%29.pdf](http://reliefweb.int/sites/reliefweb.int/files/resources/Secretary-General%27s_Report_for_WHS_2016_%28Advance_Unedited_Draft%29.pdf)

The report indicates that “success must be measured by how people's vulnerability and risk are reduced”, not by how needs are met year after year. It calls for the reinforcement of national systems, the anticipation of crises, and highlights the need to transcend the humanitarian-development divide.

**1.1.2 Stakeholder analysis**

The proposed capacity development initiative aims to take a new approach that emphasises coordination and collaboration across different target groups, including Ministry of Education (MoE) staff, and humanitarian and development education stakeholders. Where appropriate, the initiative will also engage with other line ministries, responsible for addressing conflict and natural disasters at policy and planning level. While ministries of education will be the primary beneficiary, the proposed activities will also strengthen individual, organisational, and institutional capacities of humanitarian and development agencies. This will provide a shared understanding for collaboration and the coordination of activities between the different stakeholders.

Learners, teachers and communities including from refugee and Internally Displaced Persons (IDP) populations, are the final beneficiaries of the proposed activities. As a result of improved planning for crises at central and decentralised levels, including at school level, education stakeholders will develop strategies to prevent, prepare for and respond to crises in a context-based and participatory manner, and access to quality education, even in times of crisis, will be maintained.

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

The proposed activities herein support the crisis prevention and preparedness efforts in the education sector, contributing to the current shift beyond the traditional parameters of humanitarian and development work, capitalising on strategies that are being utilised in both areas. Specifically, this action proposes to support ministries of education and humanitarian and development actors to bridge the gap between short-term quick responses and long term durable solutions through a capacity development initiative on planning for prevention and preparedness. The initiative consists of a series of activities that aim to strengthen country-level capacities to effectively integrate preparedness, prevention and influxes of refugees and IDPs in national education sector planning mechanisms and documents.

**2 RISKS AND ASSUMPTIONS**

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Difficulty in ensuring all relevant partners agree on approaches and way forward for implementation.	Low	<ul style="list-style-type: none"> <li>• Implementation workshop to address this issue to be conducted as the first activity.</li> <li>• Continuous exchange with all relevant partners on technical and management issues to ensure shared vision of programme objectives and approaches.</li> </ul>
Difficulty to ensure that training leads to change in work practice.	Medium	<ul style="list-style-type: none"> <li>• Training will include discussions and jointly developed strategies for after-</li> </ul>

		<p>training implementation.</p> <ul style="list-style-type: none"> <li>• Training approach focuses on teams and their after-training collaboration.</li> <li>• Establish clear profiles of eligible participants, including policy-makers, planners and practitioners.</li> </ul>
Socio-political unrest in the selected countries so severe that proposed activities cannot be implemented.	Medium	<ul style="list-style-type: none"> <li>• Monitor early warning signs to respond/re-orient activities as required based on UN early warning and assessment information.</li> <li>• Identification of alternative modes of implementation (e.g. with workshops elsewhere, with more distance support).</li> </ul>
Limited political will by the various education actors to adopt integrated approaches to crisis-sensitive planning including education delivery for displaced populations.	Medium	<ul style="list-style-type: none"> <li>• Provide and support advocacy for crisis-sensitive planning, including for planning education for displaced populations in collaboration with global and local partners.</li> <li>• Include activities focused on policy-makers.</li> </ul>
Certain conflict and crisis-affected populations, including refugees and IDPs not catered for or neglected in the interventions.	Low	<ul style="list-style-type: none"> <li>• Monitoring and evaluation mechanisms established to ensure all affected populations are catered for, including displaced populations</li> </ul>
MoE participants in training activities are not properly selected and made available for training workshops and on-the-job activities.	Low	<ul style="list-style-type: none"> <li>• Establish clear profiles of eligible participants.</li> </ul>
A sudden onset of crisis (conflict or natural) which creates new needs.	Medium	<ul style="list-style-type: none"> <li>• Strong communication and collaboration with humanitarian and development partners to support first response and planning capacities.</li> <li>• Flexibility in choice of countries for implementation.</li> </ul>
MoEs and other education stakeholders do not apply knowledge and tools produced to their situations.	Medium	<ul style="list-style-type: none"> <li>• Development of user-friendly, pragmatic policy guidance tools based on local needs and on demand of government and partner agencies rather than theoretical or conceptual documents.</li> </ul>
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>• The overall security and political situation allows the implementation of the activities as per the foreseen modalities and does not require redesign.</li> <li>• Senior MoE officials support the institutionalisation of crisis-sensitive planning and work to establish linkages and lead Education Cluster and other networks.</li> <li>• Regional and district-level female MoE staff are willing and able to participate in country-level training.</li> </ul>		

- The international community continues to provide adequate funding for education programmes.

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

#### **3.1 Lessons learnt**

Education is highly valued by children, youth, and adults living in crisis situations, yet it remains an underfunded and de-prioritised aspect of crisis response. While the EU has recognised the importance of this field in stepping up its humanitarian aid targeting education in emergencies, as well as increasing financing via its long term instruments to address growing needs, the crisis preparedness, conflict prevention and peacebuilding angle of the issue of education needs to be strengthened.

It is increasingly recognised the importance of strengthening the capacity of countries to plan and manage their education systems, including in times of crisis and that crisis-sensitive planning can save lives and money. Education protects learners and their communities by providing life-saving advice in cases of emergency. Good planning can save the cost of rebuilding or repairing expensive infrastructure. Over the long term crisis-sensitive planning strengthens resilience of education systems and communities to overcome the vulnerabilities and risks facing learners and education institutions.

The International Institute for Educational Planning (IIEP) has been and continues to be the standard setter for crisis-sensitive planning. The Institute has shaped global dialogue in working with international networks, including the Inter-Agency Network for Education in Emergencies (INEE), the Global Education Cluster and the Global Alliance for Disaster Risk Reduction and Resilience in the Education Sector and with global funds such as the Global partnership for Education (GPE) and the emerging Education Cannot Wait fund (ECW).

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

The planning process must be a participatory process, led by government, and specifically the respective ministry of education (MoE). This means that all relevant stakeholders, including civil society, relevant line ministries, UN agencies, INGOs, education development partners such as the Global Partnership for Education and donor organisations should be involved through the process. Planning is also a capacity development exercise, which means that the process, and the ministry capacity developed through that process, is as important as the actual product.

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

##### **Gender**

In all activities mentioned herein, a gender-responsive policy will be adopted. Whenever female MoE staff members are available to participate in capacity development activities, they will be given priority, so as to assist in redressing the imbalance between males and females among staff at all levels within many MoEs. IIEP will advocate for gender to be mainstreamed in all strategy documents supported by the project.

##### **Inclusion/equal opportunities**

Crisis situations have a negative impact primarily on disadvantaged population groups, including refugees and internally displaced people. They live in areas which are more prone to

natural hazards or where they are more vulnerable to their impact. Their social and economic disadvantages further weaken their capacity to protect themselves from civil conflict. The action will ensure that more attention is given to the impact of crises on these groups, which will contribute to improving their educational and wider socio-economic position. As possible, it will also include representation of refugee groups in the capacity development activities.

### **Rights of minorities**

Education systems have at times helped discriminate against minorities, either through inequality in provision or through the content and culture they transmit. This action pays careful attention to the role of education in causing crisis and the possible discrimination of minorities, and aims at building education systems which are non-discriminatory in nature and respectful of the rights of minorities.

### **Sustainability of the action**

The long-term and systemic nature of planning means there is sufficient time for prevention and preparedness measures to be embedded in planning processes. The increasing complexity of protracted crises, together with the rising occurrence of both conflict and disaster means that short term humanitarian quick fixes are no longer sufficient. By adopting crisis-sensitive planning techniques, ministries of education can be the change agents for sustainable prevention of crises.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The **overall objective** of this action is to increase equitable access to quality education for children and youth in crisis situations by supporting the education sector in fragile and crisis-affected countries in planning for and thereby reducing risks of conflict and disaster.

Specifically, this project aims to (1) strengthen capacities of key national and international actors in planning education systems through a crisis-sensitive approach; (2) strengthen country-level coordination and collaboration between Ministries of Education (MoEs), humanitarian and development partners to effectively reduce education sector risks and vulnerability to crises, and to manage refugee influxes; and (3) strengthen the evidence base on how governments and humanitarian and development partners can work together to improve the performance of education systems in situations of crisis, and ensure knowledge sharing at a global level.

The countries to be selected for this programme will be chosen from a selection of countries that are prone to crisis from three regions. These regions include Eastern and Southern Africa (ESAR), West and Central Africa (WCAR), and the Middle East and North Africa. In the ESAR region, participating countries may include Kenya, Uganda, Ethiopia, South Sudan and Somalia. In the WCAR region, Chad, Niger, Mali, Côte d'Ivoire and Burkina Faso may be relevant countries. Finally in the Middle East, countries such as Jordan, Lebanon, Turkey and Syria may be prioritised. It is expected that two countries will be selected at the outset of programme implementation and that a third country will be selected during the course of the first year of this programme.

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of SDG 4 (Ensure inclusive and equitable quality education and promote lifelong

learning opportunities for all), but also promotes progress towards SDG 16 (Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all). This does not imply a commitment by the countries benefiting from this programme.

## **4.2 Main activities**

### **Component 1: Crisis-sensitive training**

MoE staff, together with humanitarian and development education partners in participating countries, plan and manage prevention and preparedness measures for crisis situations (natural hazards, armed conflict, pandemics, refugee and IDP influxes) in the education sector

1. Develop a modular training programme on crisis-sensitive educational planning, that responds to the needs of governments and development and humanitarian partners and that will be made available to national and international training providers.
2. Train a critical mass of MoE staff and humanitarian and development partners in crisis-sensitive planning, including the country level partners of the Global Partnership for Education, as part of the IIEP's training programme.
3. Train a critical mass of Education Cluster Coordinators and UNHCR education staff in crisis-sensitive planning, as part of the standard Global Education Cluster and UNHCR training programmes.

### **Component 2: Country-level capacity development in three countries**

MoEs have integrated risk reduction measures in their education sector plans and national education budgets and will demonstrate leadership of crisis prevention, mitigation and response efforts in the education sector, including on providing quality education for refugees

1. Country coordination team training and mentoring in crisis-sensitive education planning.
2. Training and mentoring of MoE and partner staff on planning education for refugees.

### **Component 3: Knowledge production and policy advocacy**

Governments and humanitarian and development partners apply knowledge on improving the performance of education systems in situations of crisis, based on an improved evidence base

1. Development of analytical studies and thematic researches. These analytical studies may look at, for example, the bi-directional relationship between education and conflict or natural hazards in select countries. They may include analysis which shed light on how education can either exacerbate or mitigate the risk of conflict, and on the influence of education (or the lack of education opportunities) on migratory processes. The thematic studies may focus on specific areas where there is a lack of evidence, including government engagement in risk reduction or teacher management of teachers of refugees.
2. Development of policy briefs that highlight good practices and put forward policy guidance on preparedness and prevention as well as effective coordination between humanitarian and development partners.
3. Development of good practice guide to support refugee populations engage in education.

4. Policy advocacy through participation in INEE, Global Education Cluster meetings, Education Cannot Wait and other international for a.

### **4.3 Intervention logic**

#### ***Addressing crisis through conflict-sensitive and risk-informed planning***

Educational planning which is sensitive to the causes and triggers of conflict, and which addresses potential natural hazards, can reduce – and potentially even prevent – the effects of conflict and disasters on education, saving lives in the process. In addition, conflict-sensitive and risk-informed planning can be cost efficient, protecting investments in infrastructure, equipment, and supplies. Crisis-sensitive planning considers how conflict and disaster can themselves be interrelated (e.g. when a drought increases social tensions between groups). Given this complexity, crises and risks should be considered at every step of the planning process, from analysis to monitoring and evaluation.

IIEP's extensive experience in crisis-sensitive planning indicates that capacities are required at all levels, in order to effectively institutionalize crisis prevention practice within ministries of education:

1. Institutional capacities, such as the political will to formulate education policies that support prevention and preparedness initiatives; MoE leadership in design and coordination of crisis-sensitive education programs, and the adoption of international frameworks and mechanisms.
2. Organisational capacities, such as organisational mechanisms and/or technical working groups with a clear mandate for crisis prevention and response.
3. Individual capacities, such as technical planning and management skills for key education ministry officials, and advocates for crisis-sensitive planning.

IIEP's initiatives take place at all three levels, through an integrated capacity development approach, combining 1) training, 2) technical cooperation, and 3) knowledge generation.

## **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 the 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 *Indirect management with an international organisation*

This action may be implemented in indirect management with UNESCO International Institute for Educational Planning (IIEP) in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012. This implementation entails all activities as described under section 4 above. This implementation is justified for several reasons outlined here below:

UNESCO – International Institute for Educational Planning (IIEP) has helped shape the education in emergencies agenda from the beginning, providing specific support to planning such as in its Guidebook for Planning Education in Emergencies (2006). The focus of these early efforts was on effectively *responding* to crises and ensuring the provision of quality education to children and youth in emergency situations. Humanitarian work – in all sectors including education – is coordinated through the Cluster Approach, which aims to strengthen system-wide preparedness and technical capacity to respond to humanitarian emergencies, and provide clear leadership and accountability in the main areas of humanitarian response. UNESCO-IIEP has strongly advocated that Ministries of Education (MoEs) take on a leadership role in country-level education clusters; and that cooperation be strengthened between the humanitarian Education Cluster and the education sector working groups (ESWGs) at the development side of the spectrum. This is paramount to ensure sustainability, and alignment between the aid system and government priorities.

IIEP’s three-tier capacity development approach including training, technical cooperation and knowledge generation have all provided inputs to this global advocacy work.

IIEP has developed tools, resources and methodologies to help ministries of education and their partners to mainstream crisis-sensitivity in education planning and curricula. IIEP’s much-in-demand planning and curriculum resource kits provide practical guidance on addressing safety, resilience and social cohesion in planning and in curriculum design, review and implementation. The developed methodology and guidance address a series of conflict and disaster risks through and in education, including sudden-onset disasters, armed conflicts and pandemics, but also slow-onset crises, such as climate-related crises (drought, floods, etc.) and structural crises emanating from global challenges (including the food and financial crises and migration resulting in refugee and IDP influxes).

IIEP’s comparative advantage in the field of crisis-sensitive educational planning is based on (1) its access to ministries of education in third countries and relationships of trust, and (2) its focus on prevention and preparedness – and not just responding to conflict and disaster. IIEP, as a UNESCO Category 1 Institute with a 53-year old history of support to member states, enjoys privileged access to ministry decision-makers including Ministers and Directors of Planning. IIEP’s work is facilitated by UNESCO Field and Regional offices, and with UNESCO National Commissions. Ministries tend to perceive IIEP as a “critical friend”, and IIEP has a proven track record of serving as an honest broker in Local Education Groups, including in conflict-affected countries and with political sensitivities such as South Sudan, Afghanistan, Angola, and Ethiopia. Through its alumni network, IIEP has built trusting relationships with ministries. In IIEP’s experience, this trust is all-the-more crucial when collaborating with conflict-affected countries.

## 5.4 Indicative budget

	<b>EU contribution (EUR)</b>	<b>Indicative third party contribution (EUR)</b>
5.3.1 – Indirect management with an international organisation	2,000,000	300,000
Totals	2,000,000	300,000

## 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 ECHO, DG DEVCO, DG NEAR and DG EAC) 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 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). 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 final evaluation will be carried out for this action or its components 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 this is an innovative 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.

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.

	<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>	The education sector in crisis-affected countries reduces risks of conflict and disaster and increases equitable access to quality education for children and youth in crisis situations.	Increased access to education for children and youth in crisis situations. Children's, teachers' and education staff's exposure to risk of conflict and disaster is decreased. Improved quality in education for children and youth in crisis situations.	<i>Ideally, to be drawn from the partner's strategy</i>	<i>Ideally, to be drawn from the partner's strategy</i>	<i>To be drawn from the partner's strategy.</i>	
<b>Specific objective(s): Outcome(s)</b>	(1) Strengthened capacities of key national and international actors in planning education systems through a crisis-sensitive approach;  (2) Strengthened country-level coordination and collaboration between Ministries of Education (MoEs), humanitarian and development partners to effectively reduce education sector risks and vulnerability to crises, and to manage refugee influxes;  (3) Strengthen evidence base on how governments and humanitarian and development partners can work together to improve the performance of education systems in situations of crisis, and ensure knowledge sharing at a global level.	% of trained MoE and partner staff demonstrating increased competencies in crisis-sensitive planning # of actions taken by government and/or partner organizations to address issues raised during training. # of Education sector planning and policy documents and national education budgets developed, revised, endorsed and/or implemented that contain risk reduction measures. % of key stakeholders reached that report increased knowledge about crisis-sensitive planning approaches and their application in target countries.	The starting point or current value of the indicator.	The intended value of the indicator.	Sources of information and methods used to collect and report (including who and when/how frequently).	Factors outside project management's control that may impact on the outcome-impact linkage.

<b>Outputs</b>	<p><b>Component 1. Global Training</b> <i>Modular training programme for MoEs, humanitarian and development actors developed and implemented</i></p> <p><b>Component 2. Country-level capacity development in three countries</b> <i>Country-level technical cooperation implemented in three participating countries</i></p> <p><b>Component 3. Knowledge production and policy advocacy</b> <i>Research and advocacy documents on crisis-sensitive education aspects in target countries produced and disseminated</i></p>	<p>1.1. Modular training programme developed. # MoE and partner staff trained in crisis-sensitive planning of which female 20%.</p> <p>1.2. # humanitarian agency staff trained in crisis-sensitive planning of which female 40%.</p> <p>2.1. # MoE and partner staff trained at country level of which female 20%.</p> <p>2.2. # MoE and partner staff mentored of which female 20%.</p> <p>3.1. # research studies developed / # of stakeholders receiving documents. # policy briefs developed / # of stakeholders receiving documents .</p> <p>3.2. good practice guide developed / # of stakeholders receiving document.</p>	Idem as above for the corresponding indicator.	Idem as above for the corresponding indicator.	Idem as above for the corresponding indicator.	Factors outside project management's control that may impact on the output-outcome linkage.
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