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### ANNEX

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

#### **Exceptional Assistance Measure regarding Somalia**

### **1. IDENTIFICATION**

Action:	Support to climate-sensitive stabilisation in newly liberated areas in Somalia
Action Reference:	NDICI CR 2023 / 16
Cost:	EUR 5 000 000 (European Union (EU) contribution).
Budget Line:	14 02 03 10
Duration:	Maximum 18 months. The authorising officer responsible may decide to extend this period twice by a further period of up to six months, up to a total maximum duration of 30 months, under the conditions laid down in Article 23(6) of Regulation (EU) 2021/947.
Lead service:	FPI

### **2. ACTION SUMMARY**

Since the start of the popular uprising and security operations against al-Shabaab in Somalia in August 2022, more territory has been liberated than in the previous decade. At the same time, Somalia has been affected by the most severe drought in its history and recently by flash floods caused by heavy rains. This has led to mass displacement, malnutrition, the destruction or damage of critical infrastructure and loss of livelihoods. A second phase of the security operations is about to be launched in close cooperation with the neighbouring countries. There is an urgent need to swiftly stabilise conditions in newly liberated areas, consolidate peace, and increase confidence toward nascent governance structures. The Federal Government has made the rehabilitation of wells and infrastructure a priority for the first phase of rapid stabilisation in newly liberated areas. On 2 May 2023, the Federal Government of Somalia and the EU have launched a “Joint Operational Roadmap” which defines security and stabilisation as a priority and aims to deepen security cooperation between the EU and Somalia, including in the area of stabilisation in newly liberated areas. This measure will entail a rapid climate-oriented stabilisation response, focusing on basic water and food production in newly liberated areas.

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

#### **3.1 BACKGROUND**

In August 2022, an intensification of counter-insurgency operations against al-Shabaab started in central Somalia which has since resulted in more territorial gains than in the previous decade. The Federal Government of Somalia has also begun a multi-faceted campaign against al-Shabaab to degrade it through non-military means and is undertaking efforts to consolidate its gains in central Somalia and coordinate stabilisation efforts. A second phase of security operations is about to be launched in close cooperation with Somalia's neighbours. At the same time, following five consecutive poor rainy seasons, Somalia has been affected by the most severe drought in its history and recently by flash floods caused by heavy rains. The combination of this cluster of crises has led to mass displacement, malnutrition, the destruction or damage of critical infrastructure – particularly water wells – and loss of livelihoods. There is an urgent need to swiftly address priority needs in liberated communities, to stabilise conditions for people to return and restore a minimum functionality of local government and service delivery systems. This needs to take into account existing conflict dynamics and drivers, show local communities the benefits of working together and foster reconciliation. The Federal Government has outlined the rehabilitation of wells and infrastructure as its priority for the first phase of rapid stabilisation in newly liberated areas. Somalia is highly vulnerable to the impact of climatic changes, which are likely to become more frequent and severe in the future. Stabilisation activities in Somalia should therefore also increase community resiliency to future sudden climatic shocks.

On 2 May 2023, the Federal Government of Somalia and the EU have launched a “Joint Operational Roadmap” setting the path for a renewed focused engagement for the next two years. The roadmap defines security and stabilisation as one of the priorities and aims to deepen security cooperation between the EU and Somalia, including in the area of stabilisation in newly liberated areas. Rapid stabilisation support can fill a critical gap between the urgency of addressing priority needs quickly to consolidate peace and stabilise conditions, and the time it takes for required longer-term and more comprehensive support to communities to commence. This initiative will ensure a climate-sensitive first stabilisation response, focusing on basic water and food production in newly liberated areas. The measure is integrated into a broader EU approach to support the relief and stabilisation efforts in the country, particularly in newly recovered areas. It will constitute the initial response of a broader stabilisation programme, which will include local dispute resolution capacity, civic networks, transitional justice and education. Ensuring respect of civil-military guidelines and a clear distinction and coordination between stabilisation support and humanitarian aid will be essential.

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

Unprecedented amounts of liberated areas set against the backdrop of an extreme drought and flash floods and the start of a new phase of security operations in Somalia, constitute an exceptional and unforeseen situation in the sense of Article 4(4) (a) of the NDICI Regulation. An adequate response cannot be provided under any other European Union Instrument due to

the urgency with which the funds are required and due to available resources already being firmly committed.

Annex IV, paragraph 1, second paragraph, points (a), (f), (g), (o) and (p) of Regulation (EU) 2021/947 specifically provides for the use of the NDICI rapid response pillar to (a) support, through the provision of technical and logistical assistance, for the efforts undertaken by international, regional and local organisations and by State and civil society actors in promoting confidence-building, mediation, dialogue and reconciliation, transitional justice, women’s and youth empowerment, in particular with regard to community tensions and protracted conflicts; (f) support for reinforcement of State capacity - in the face of significant pressures to rapidly build, maintain or restore its core functions, and basic social and political cohesion; (g) support for measures necessary to start the rehabilitation and reconstruction of key infrastructure, housing, public buildings and economic assets, and essential productive capacity, as well as other measures for the re-starting of economic activity, the generation of employment and the establishment of the minimum conditions necessary for sustainable social development; (o) support for socio-economic measures to promote equitable access to, and transparent management of, natural resources in a situation of crisis or emerging crisis, including peacebuilding, and (p) support for measures to address the potential impact of sudden population movements with relevance to the political and security situation, including measures addressing the needs of host communities.

**3.3 RISKS AND ASSUMPTIONS**

Risks	High, medium, low	Mitigation
Access to affected areas is restricted due to active hostilities or land mines	High	Action to be implemented with a high degree of flexibility and adaptability to react to changes on the ground. Close coordination with Somali security forces.
Security situation endangers staff safety	High	Abide by security guidelines.
Additional displacement alters the population dynamics in the target location	High	Action to include scenario planning and work on preparedness. Close involvement of communities and local authorities as well as relief agencies.
Political instability and reshuffling of key government officials	Medium	Engage government entities/offices and institutions rather than individuals.
Sustainability of infrastructure projects due a lack of funds for running / maintenance	Medium	Cautious approach will be ensured regarding the budgetary impact of construction.

Lack of commitment of communities to participate or unrealistic expectations of the outcomes.	Low	Leverage existing community structures to ensure ownership and create awareness on objectives, outcomes and risks.
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## 4. OBJECTIVES

### 4.1 OVERALL OBJECTIVE

The overall objective of the action is to support climate-sensitive stabilisation in newly liberated areas in Somalia.

### 4.2 SPECIFIC OBJECTIVES

- 4.2.1 Support community-driven, government-led and ecologically viable public water infrastructure and services;
- 4.2.2 Support conflict-sensitive and sustainable natural resource management and inclusive economic development;
- 4.2.3 Support the dissemination of lessons learned and best practices.

## 5. ACTION COMPONENTS AND EXPECTED RESULTS

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

**Expected Result (1):** Local priorities for stabilisation projects are identified and implemented.

Activities (indicative):

- 5.1.1 Support inclusive community-driven planning of stabilisation priorities;
- 5.1.2 Support community dialogue on investment in and management of water resource infrastructure;
- 5.1.3 Construct or rehabilitate water supply infrastructure, groundwater recharge and rainwater harvesting mechanisms;
- 5.1.4 Map existing dispute resolution capacity and gaps;
- 5.1.5 Conduct training of existing community based dispute-resolution structures, including women-led programmes and of formal local governance institutions on mitigation of climate-induced conflict drivers.

**Expected Result (2):** Local socio-economic systems are rebuilt and natural resource management is improved.

Activities (indicative):

- 5.2.1 Invest in agricultural value chain infrastructure and scaling up of economic activity;
- 5.2.2 Support sustainable and diversified livelihoods, particularly for women and girls;
- 5.2.3 Support community-led reforestation and soil conservation;

- 5.2.4 Increase energy efficiency of public natural resource infrastructure;
- 5.2.5 Conduct training of existing community based dispute-resolution structures, including women-led programmes and of formal local governance institutions on natural resource management.

**Expected Result (3):** Research and lessons learned on climate-sensitive stabilisation are disseminated.

Activities (indicative):

- 5.3.1 Conduct analysis on the impact of the adaptation measures;
- 5.3.2 Produce and disseminate research and lessons learned;
- 5.3.3 Organise meetings and seminars with federal and local authorities, civil society and international partners on lessons learned and best practices.

## **6. IMPLEMENTATION**

### **6.1 IMPLEMENTATION MODALITIES**

The Commission will ensure that the appropriate EU rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures<sup>1</sup>.

#### **6.1.1 Indirect management with a pillar assessed entity**

This action may be implemented in indirect management with an entity which will be selected by the Commission's services using the following criteria: proven experience of methodological conflict-sensitive interventions addressing climate, environment and land issues combining direct engagement with government and community actors in Somalia's sensitive security and political context; strong field presence. The implementation by this entity entails the objectives outlined in 4.2.

#### Exception to the non-retroactivity of costs

The Commission authorises that the costs incurred may be recognised as eligible as of 1 July 2023 because of the urgency to address stabilisation needs in unprecedented amounts of liberated areas against the acute background of the impact of extreme weather events in Somalia.

### **6.2 INDICATIVE BUDGET**

The total European Union contribution under this Financing Decision **will not exceed EUR 5 000 000**. A breakdown among components is provided hereunder, and is indicative.

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<sup>1</sup> [www.sanctionsmap.eu](http://www.sanctionsmap.eu) Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website, it is the OJ version that prevails.

### **Indicative budget breakdown**

<b>Components</b>	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
Component 1: Climate sensitive stabilisation in newly recovered areas in Somalia		
6.1.1. – Indirect management	5 000 000	N.A.
Total	5 000 000	N.A.

### **6.3 ORGANISATIONAL SET-UP AND RESPONSIBILITIES**

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

The action will be closely coordinated with EU Member States and other international partners supporting stabilisation efforts in newly recovered areas in Somalia.

### **6.4 PERFORMANCE AND RESULTS MONITORING AND REPORTING**

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

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

### **6.5 EVALUATION**

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

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

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

## **6.6 AUDIT**

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

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

## **6.7 COMMUNICATION AND VISIBILITY**

The 2021-2027 programming cycle has adopted a new approach to pooling, programming and deploying strategic communication and public diplomacy resources.

It will remain a contractual obligation for all entities implementing EU-funded external actions to inform the relevant audiences of the Union's support for their work by displaying the EU emblem and a short funding statement as appropriate on all communication materials related to the actions concerned. This obligation will continue to apply equally, regardless of whether the actions concerned are implemented by the Commission, partner countries, service providers, grant beneficiaries or entrusted or delegated entities such as UN agencies, international financial institutions and agencies of EU member states.

The 2022 "Communicating and Raising EU Visibility: Guidance for external actions" reference document shall be used to establish the appropriate contractual obligations.

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

The action will complement other ongoing or planned stabilisation interventions in Somalia, notably ongoing EU support to rapid local stabilisation in newly recovered areas and support to the reduction of climate-induced conflict and to climate-sensitive reconciliation in Galmudug and Hirshabelle. Given the international interest in supporting Somalia's response to the significant stabilisation needs, particular emphasis will be given to ensure good coordination with other support initiatives by EU Member States and other donors. Coordination will be ensured with EU Member States' representations in Somalia through the EU Delegation in Somalia and the Service for Foreign Policy Instruments' Regional Team in Nairobi. A clear separation between the EU-funded stabilisation measures and the provision of humanitarian aid will be ensured, in order to safeguard humanitarian principles.