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### ANNEX

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

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

#### **1. IDENTIFICATION**

Action:	Inclusive Yemeni-Yemeni dialogue
Action Reference:	NDICI CR 2023/05
Cost:	EUR 500 000 (European Union (EU) contribution).
Budget Line:	14 02 03 10
Duration:	Maximum 18 months. The authorising officer responsible may decide to extend this period twice by a further period of up to six months, up to a total maximum duration of 30 months, under the conditions laid down in Article 23(6) of Regulation (EU) 2021/947.
Lead service:	FPI

#### **2. ACTION SUMMARY**

This measure will support inclusive and participatory Yemeni-Yemeni dialogue involving participants from all main groups in Yemeni society, notably women, youth, civil society actors, mediators and journalists as well as all political parties. The aim of this dialogue, which will gravitate around the 2023 Yemen International Forum in The Hague, is to facilitate discussions on potential ways forward and on agreements that can assist in avoiding a return to full-scale conflict and thereby mitigate the impact of the conflict on civilians. The action will be implemented in close cooperation with EU Member States which are supporting Yemeni-Yemeni dialogue and it will complement other EU support in the field of mediation and peacebuilding in Yemen.

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

##### **3.1 BACKGROUND**

Despite the reduction in hostilities in the country, the challenges Yemen face are massive. Military activity continues around the front line. More than 70% of the population is in need of humanitarian assistance with over half of the population facing acute food insecurity. Combined with divisive rhetoric, this creates a volatile situation where the risk of escalation of the conflict

remains an imminent threat. The UN Secretary-General’s Special Envoy for Yemen is focusing his efforts on influencing the trajectory of the conflict towards peace by advocating for a nationwide ceasefire and the resumption of a political process. Supporting these efforts has been identified as a priority by the EU as attested by the Council Conclusions from December 2022. In the conclusions, the EU reaffirms its full support to the UN peace and mediation efforts and reiterates its support to, among others, mediation and dialogue related initiatives.

The UN brokered temporary truce in 2022 was an important first step to de-escalate the war and to work towards building a more permanent ceasefire. The truce was not renewed after October, but the country has not seen a return to all-out war. The current lull in fighting provides a space for in-country, regional and international dialogue, with the aim to contribute to reaching a comprehensive agreement and a durable peace. In order for a political settlement between all key conflict parties to have the best likelihood of being sustainable, broad inclusion of civil society and buy-in from the population at large required. As the country shifts towards a transitional period, it is important to help build trust in the peace process by facilitating inclusive dialogue to help avoid a possible renewed outbreak of violence. The Yemen International Forum was first launched in 2022, hosted by Sweden in Stockholm. This year, it will be hosted by the Netherlands in The Hague.

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

The current conflict situation in Yemen constitutes an exceptional and unforeseen situation in the sense of Article 4(4)(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), (n), (o) and (q) 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; (n) support for measures to promote and defend respect for human rights and fundamental freedoms, democracy and the rule of law, and the related international instruments; (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 (q) support for measures to promote the development and organisation of civil society and its participation in the political process, including measures to enhance the role of women in such processes and measures to promote independent, pluralist and professional media.

**3.3 RISKS AND ASSUMPTIONS**

<b>Risk</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Mitigation measure</b>
The action, including the Yemeni International Forum (YIF), is perceived as biased toward a certain	Medium	High	Participants will be carefully selected based on predefined selection criteria to ensure

<p>group or conflict party, leading to less engagement of relevant actors in consultations and the conference.</p>			<p>inclusivity and representation. The action envisages a series of local, regional and international shuttle diplomacy trips to inform relevant political and security stakeholders about the action and the Forum, thereby securing endorsement and assurances for the safe travel, engagement of participants, inclusive process design and agenda-setting.</p>
<p>The security situation in Yemen hinders participants from traveling to the conference in The Hague. The desired quota for Yemeni participants coming from inside Yemen might not be achieved, thereby decreasing the image of the YIF as a locally led platform</p>	<p>Medium</p>	<p>High</p>	<p>Monitoring of the situation will be ensured on a daily basis to adapt the implementation plans to the changing security situation. The implementing partner will conduct a detailed security assessment with a set of scenarios in order to identify risks and mitigation strategies related to the travel of Yemeni participants.</p>
<p>Risks from bans that prevent women from travelling and similar restrictive rules, which constitute a form of gender-based discrimination, could prevent the participation of women to the event and undermine its inclusive nature, thereby affecting the quality of the debates.</p>	<p>Medium</p>	<p>Medium</p>	<p>The implementers will meet with the relevant country leadership to try to minimize the travel ban requirements for women traveling to and from the YIF. Furthermore, a list of travellers will be provided to the authorities, travel will be encouraged from areas which do not impose strict travel rules and bans, and funding might be allocated from the overall project cost to cover additional travellers where exceptions to travel bans are not provided.</p>

## **4. OBJECTIVES**

### **4.1 OVERALL OBJECTIVE**

The overall objective of the action is to support inclusive and participatory Yemeni-Yemeni dialogue.

### **4.2 SPECIFIC OBJECTIVES**

- 4.2.1 To facilitate discussion on potential ways forward in Yemen that can assist in avoiding a return to full-scale conflict;
- 4.2.2 To provide a platform for Yemeni citizens to input local knowledge in local, national and international peace efforts.

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

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

**Expected Result (1):** Inclusive peace dialogue with Yemeni, local and international experts strengthened.

Activities (indicative):

- 5.1.1 Organize in-person and online discussions on advancing practical solutions to challenges facing peacebuilding efforts in Yemen;
- 5.1.2 Conduct consultations and research with local and international Yemeni experts on identifying areas and topics of common interest across the divide;
- 5.1.3 Review successful community-based mediation efforts, in particular on water governance, and consider how to build on them.

**Expected Result (2):** Safe space for Yemeni-Yemeni inclusive dialogue provided.

Activities (indicative):

- 5.2.1 Facilitate in-person safe discussion between local Yemeni and international peacebuilders, political stakeholders, technical experts on topics such as, but not limited to, transitional justice, economic recovery, social cohesion, security sector reform;
- 5.2.2 Map out concrete proposals and ideas for a solid follow-up;
- 5.2.3 Ensure feedback on local needs and realities reaches relevant decision makers and the international community.

## 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 Grant: direct award (direct management)

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

Grants will be awarded for the achievement of the objectives and results as set out in the decision.

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

The potential applicants for funding are NGOs with extensive experience from previous work in relation to the Yemeni conflict and with technical and financial managerial capacities to operate and implement an EU project in such a complex and volatile environment.

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

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because **the action entails crisis management aid as referred to in Article 195(a) and as defined in Article 2(21) of the Financial Regulation** at the date of the Financing Decision.

##### (d) Exception to the non-retroactivity of costs

The Commission authorises that the costs incurred may be recognised as eligible as of 8 March 2023 because of the volatile situation which requires continuous engagement with the relevant actors.

### 6.2 INDICATIVE BUDGET

The total European Union contribution under this Financing Decision **will not exceed EUR 500 000**. A breakdown among components is provided hereunder, and is indicative.

#### Indicative budget breakdown

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
Component 1: Inclusive Yemeni-Yemeni dialogue		
6.1.1 – Direct grant (direct management)	500 000	2 000 000
Total	500 000	2 000 000

<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.

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

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

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

Overall, this initiative complements, supports and coordinates with ongoing initiatives by the UN Special Envoy to Yemen.