

## **Draft Annual Action Programme 2021 for Regional SSA**

### **Action Document for Regional dimension and management of the Team Europe Initiative (TEI) on Manufacturing and Access to Vaccines, Medicines and Health Technologies (MAV+) in Africa**

#### **1.1. Summary of the Action**

The multiannual indicative programme (MIP) for Sub-Saharan Africa 2021-2027 includes human development as its first priority area. Within this priority, the specific objective 1 is strengthening “the African health security architecture, pharmaceutical systems and public health capacity, contributing to stronger health systems and improved health outcomes”. More specifically, result 1.2 refers to reinforcing “the African pharmaceutical systems and the regional manufacturing capacity for vaccines and other medical products and technologies” to increase “quality, safe and equitable access”. This result will contribute to lay the foundation for an innovative pharmaceutical and health care industrial sector in Africa integrated into the global health architecture. It will underpin the health and well-being of future generations. The right to health sets the stage for the right to an adequate standard of living, because good health is key to securing and maintaining a job. Supporting local manufacturing and access to all essential health products and technologies represents an opportunity to target several development objectives and geo-political priorities shared by both the EU and the African Union (AU), stimulate growth and decent jobs, facilitate trade, diversify global value chains, engage with the private sector, mobilizing its technical expertise and financial power, and reinforce our scientific and diplomatic ties with partner countries while advancing universal health coverage (UHC) and human development.

This regional action is an integral part of the Team Europe Initiative (TEI) on Manufacturing and Access to Vaccines, Medicines and Health Technologies in Africa (MAV+), which also encompasses interventions at country level (for fiscal year 2021 concrete actions are foreseen in Senegal, Rwanda and South Africa, and dialogue is ongoing on possible actions in Ghana, Nigeria, Ethiopia, Kenya, Botswana or Guinea). National actions complement the regional actions by focusing on production and manufacturing plants, removal of barriers and strengthening national pharmaceutical sector. This action will also benefit from the EU influence in main global health initiatives: Gavi, COVAX (COVID-19 Vaccines Global Access) –and its Manufacturing Task Force– and The Global Fund to Fight AIDS, Tuberculosis and Malaria. This action represents an initial step to advance this agenda and allows for better coordination, enhanced technical assistance and a reinforced stewardship of the TEI.

This action document covers a first allocation of EUR 40 million, which will be followed by other actions. It aims to establish the the European Union as a reliable partner for Africa, build on bilateral initiatives of EU Member States, and enhance the reach and coherence of the interventions by other actors such as the European Investment Bank (EIB) and the European Medicines Agency (EMA).

These new partnerships around the TEI MAV+ will link and unfold synergies with other AU-EU partnerships and initiatives established in relevant domains, such as health research and innovation, public health and digital transformation, e.g. the European and Developing Countries Clinical Trials Partnership (EDCTP), the AU-EU High Level Policy Dialogue (HLPD) on Science, Technology and Innovation, the Policy and Regulation Initiative for Digital Africa (PRIDA) or partnerships paving the way “Towards a comprehensive strategy with Africa” (trade, industry, technological innovation, AEIP project, inequalities, other health).

It recognises the political imperative of supporting progress on vaccine manufacturing and access to COVID-19 vaccines, and it seeks to differentiate the European Union from other partners in two ways, first, through establishing its credentials in support of the broader agenda on access to medicines, access to innovation and strengthening systems and, secondly, through helping African actors and solutions deliver for Africa’s challenges. It lays the basis on which the EU’s strategy in support of local pharmaceutical production in Africa can be refined and implemented.

This action will provide direct and indirect support to African initiatives and mechanisms, notably the AU-led Partnerships for African Vaccine Manufacturing (PAVM) launched in April 2021, and is being programmed in anticipation of the AU-EU Summit taking place on 17-18 February and the associated AU-EU Business Forum (EABF) that will provide an opportunity for detailed deliberations with the private sector.

The intervention logic of this regional action will focus on four objectives (further detailed in section 3):

1. Advance regulatory convergence, harmonisation and use of reliance mechanisms between regulatory authorities from both continents.
2. Initiate technology transfer and innovation for local production.
3. Improved platforms for demand consolidation and strategic purchasing.
4. Enhanced coordination, leadership and programme governance.

The present action will be complemented by a separate regional intervention aiming at enhancing the safe delivery of pharmaceutical and biotech goods, including across borders through improved digital supply chain management. A global trust repository (GTR) initially for COVID-19 vaccines is under development as a tool to ensure supply chain integrity and combat counterfeit and falsified vaccines and medicines.

Furthermore, under EU and AU leadership, and in partnership with the private sector, European, African and International financing institutions, private banks and investment funds, jointly or individually, the EU will nurture financing opportunities and vehicles to fund the establishment or expansion of companies and entrepreneurs in the biotech, pharma or health care technology sectors in Africa. Considering the overarching goal of strengthening health systems and pursuing universal health coverage, the EFSD+ investment windows could incentivise and de-risk investments and promote public-private partnerships in the pharmaceutical and biotechnology sectors.

In alignment with the Commission's health policies in partner countries, the overarching SDG target being pursued is SDG 3.8: "achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality and affordable essential medicines and vaccines for all." Other connected SDGs are SDG 8 (economic growth), SDG 9 (industry and innovation), SDG 10 (reduce inequality between and among countries), SDG 16 (good governance) and SDG 17 (partnerships).

Consequently, the concerned DAC codes are related to health (12110, health policy and administrative management; 12181, medical education/training; 12250, Infectious disease control; COVID-19 control) and industry (32168, pharmaceutical production).

## 1. RATIONALE

### 2.1. Context

Development aid to pharmaceutical systems and developing manufacturing capacity for vaccines and other medical products represents an opportunity to open a new chapter in Africa's industrial development, stimulate growth and create novel jobs with decent work standards and accessibility by workers with disabilities, boost trade, diversify global value chains, engage with the private sector, and reinforce EU's scientific and diplomatic ties with partner countries.

From the perspective of internal dynamics and policy coherence, the broader initiative and this action in particular are a presidential priority aligned with and complementary to Horizon Europe, the EU research and innovation framework programme and its partnerships (e.g. Global Health European and Developing Countries Clinical Trials Partnership 3 –EDCTP3-Joint Undertaking); the new EU4Health initiative; and the Pharmaceutical Strategy for Europe adopted in November 2020.

Both the current health and economic crises have highlighted a number of critical issues that need to be addressed to improve preparedness, health security and health outcomes globally and particularly in Africa. As of August 2021, Africa is in the midst of a third wave of COVID-19 infections and has been unable to achieve significant COVID-19 vaccination coverage, to a great extent due to the continent's reliance on highly constrained international manufacturing capacity at a time of high global demand. There is an imperative to increase vaccination rates way beyond the current 5%, requiring that more doses become available for the continent in the near future. It is vital that global vaccine manufacturing capacity is expanded and diversified. This opens opportunities for Africa to develop its pharmaceutical sector and to ensure that, moving forward, the continent has secure sources of supply for its priority vaccines, also in the event of future pandemics. Pharmaceutical companies have responsibilities regarding the realization of the right to health, in particular relation to access to medicines and vaccines. AU Member States and

regional organizations should work to protect the health of their citizens, while pursuing public health objectives, and provide access to medicines for all, in particular for groups living in vulnerable situations (people living with disabilities, women, elderly, children and those living in fragile contexts). Access to medicines and vaccines is an important building block of health systems strengthening. .

Amongst the international community there is currently a strong focus on expanding vaccine manufacturing capacity for COVID-19 vaccines in Africa. Development Financing Institutions (DFIs), bilateral and multilateral donors are supporting the few existing vaccine manufacturers such as Institut Pasteur in Senegal and Biovac in South Africa to build manufacturing capacity that could be utilised for production of COVID-19 vaccines. International manufacturers have also taken bilateral initiatives to expand COVID-19 vaccine manufacturing in Africa, such as the Johnson&Johnson (J&J) agreement with Aspen and the Pfizer-BioNTech deal with Biovac, both of which are for downstream manufacturing activities and are expected to lead to a combined capacity of 500 million doses per annum by end of 2022. This expansion is essential to respond to current needs of covid-19 vaccines, and should be considered as a first step into ensuring future local production of other routine vaccines. Women are essential in the health workforce but are not adequately represented in vaccine manufactures or decision making forums.

The objectives and activities of this action will have strong development, commercial and political impact. The EU is not only Africa's neighbour, but also its primary commercial partner. Likewise, the initiative responds to the call of African leaders. In April 2021, the African Union, under the leadership of the Africa Centre for Disease Control and Prevention (CDC), launched the Partnerships for African Vaccine Manufacturing (PAVM) laying the foundations for the development of a biotech industry integrated into global supply chains. The AU has firmly put forward a vision of strengthening vaccine manufacturing in Africa so that 60% (versus current 1%) of vaccine needs can be met from Africa sources by 2040. To achieve this end, it is seeking support from international donors, technical agencies and others. The Africa CDC together with AUDA-NEPAD (Africa Union Development Agency - New Partnership for Africa's Development) are two of the main regional actors pursuing this agenda together with private operators active in African market(s). The Commission is preparing a joint roadmap and deliverables for the AU-EU Summit in 2022 and a number of EU Member States are already working hand in hand with these institutions.

The COVAX Manufacturing Task Force is also looking at vaccine manufacturing capacity constraints in low and middle income countries (LMICs) and with an initial focus on COVID-19 vaccines. It has established a technology transfer hub model, and in conjunction with partners (e.g. Medicines Patent Pool –MPP-, Afrigen, Biovac, South African Medical Research Council –SAMRC-, Africa CDC), World Health Organisation (WHO) has announced in June 2021 that the first hub focussing on mRNA vaccines will be established in Cape Town, South Africa.

As well as the area of vaccines, the pandemic has also highlighted the importance of local production of other health products such as therapeutics, diagnostics or personal protective equipment (PPE). It is estimated that 2 billion people do not have access to safe and effective essential medicines, many of whom are living in Africa. Increased global demand and the transport delays that were particularly debilitating for global trade during the earlier phases of the pandemic led to supply disruptions for essential medicines, compounding an already tragic situation. Whilst Africa has in the order of 600 manufacturers of small molecule therapeutics, it still imports the vast majority of finished products (over 90%) and is reliant on other regions for virtually all inputs (e.g. active pharmaceutical ingredients – APIs, excipients, bottling, packaging) for local production. To a greater or lesser extent nearly all countries on the continent are subject to significant penetration of substandard and falsified (SF) pharmaceuticals. Strengthening the pharmaceutical manufacturing industry, its supply chain logistics and monitoring on the continent could help address the SF challenge, increase availability of essential medicines, and through regionalising value chains increase health security in the event of future pandemics or other crises. On the other side, combating SF through other means, e.g. facilitating the establishing a Global Trust Repository (GTR) and of a true traceability system in Africa –through a complementary action-, will increase the trust of private companies, investors and consumers, thus acting in synergy with the Initiative on manufacturing to creating an enabling environment for production and use of health products.

The pandemic has reignited the fierce debate on intellectual property (IP), patents and access to medicines, with an application for a waiver of certain provisions of the Agreement on Trade-Related Aspects of Intellectual Property Rights (known as TRIPS ) being made to the TRIPS Council at the World Trade Organization (WTO) by India and South Africa. Whilst it is widely acknowledged that the patent system has been instrumental in enabling development of COVID-19 vaccines so rapidly, that is of little comfort to many countries in the Global South who are unable to source these innovative products for their citizens. Existing mechanisms and flexibilities in the TRIPS agreement provide already a good basis for accelerating access to innovation to meet public health priorities, but realising these

opportunities requires a concerted effort to develop productive capacities, establish regional value chains for health products, and incentivise technology transfer. Intellectual property on vaccines goes far beyond patents on the final compound: manufacture of the drug product usually draws on a range of patents and licensing agreements covering excipients, adjuvants, genetic expression systems, etc. Besides, securing patent rights does not in itself enable successful production of a comparable vaccine. This requires access to cell banks, lipids and plasmids, specifications and analytical methods, as well as detailed process knowledge. These are not only proprietary, they are project specific and they form a highly complex body of know-how. The specialised literature has revealed the existence of numerous barriers to access ranging from poor regulatory frameworks to lack of skilled personnel or deficient public and private financing and pricing policies, to name a few. The action document is conceived to tackle the root causes of those barriers and generate the right incentives.

## 2.2. Problem Analysis

The African continent is today home to 1.3 billion people. By 2050, the population is expected to have reached at least 2 billion people. It accounts currently for 25% of the global disease burden but much of its population has limited access to the safe and effective medical products they need. The risk of poor-quality medicines remains a major threat to patients and economies. The ongoing COVID-19 pandemic has highlighted the vulnerabilities of existing global supply chains for all vaccines, medicines, health technologies, and products for sexual and reproductive health, and the fact that much of Africa relies on international imports. Both local manufacturing –targeted by this initiative- and the need for broadening and diversifying global value chains opens opportunities for Africa's industrial development and contributes to improve access to the essential health products. Gender-related barriers must be addressed in the planning and rollout of vaccine distribution to reach everyone. Women face limited mobility to reach health facilities or vaccination sites, restricted decision-making power in their health seeking as well as limited access to and control over resources needed for advancing their health, including information about vaccines and vaccine safety. Also people living with disabilities and in fragile settings (like conflict areas or internally displaced) face increased difficulties in having access to safe vaccines and medicines, including the COVID-19 vaccine. Africa currently imports 99% of its vaccines and more than 90% of all medicines and health technologies. Therefore, strengthening local manufacturing of and thereby improving access to quality vaccines, medicines and medical technologies is a priority for our African partners. It represents an opportunity not only to enhance health outcomes, but also for the EU to partner strongly with Africa and support the continent to leapfrog into sustainable innovation, and support governments and regional organisations to put in place policies and enforcement measures to organize the sector (decent work conditions in local manufacturing, right to health for all even for groups living in vulnerable situations, business ethics). The local manufacturing also provides an opportunity to promote gender equality and inclusion of persons with disabilities to employment.

To help address the many barriers, the broader Team Europe Initiative (TEI) will leverage resources from the European Commission, European financing institutions and EU Member States. An integrated, multi-layered and comprehensive support package will tackle barriers to manufacturing and access to health products and technologies in Africa from different angles, and will place the continent's own actors and institutions at its heart. It will encompass support under 3 dimensions: 1) **supply side**, 2) **demand side** and the 3) **enabling environment** health and pharmaceutical systems. Based on the overall TEI, which follows a 360-degree approach, specific actions will be envisaged around:

### 1) The **supply side**

- Industrial development
- Financing manufacturing (establishing financing vehicles and instruments de-risking private investments).
- Technology transfer.
- Quality assurance system throughout the supply process to address the constraints that negatively impact the availability, affordability and acceptability of essential medicines and vaccines, and a modern mix of quality-assured SRH-commodities.

### 2) The **demand side**

- Market shaping, demand defragmentation and consolidation, business plans, and addressing market failures for medicines and health products.
- Health promotion and risk communication for the final users or communities.

- Building trust and confidence of local communities in locally manufactured health products.
- 3) The **enabling environment and pharmaceutical systems**
- Improving regulation and governance of health products, including coherent national policies that provide the right incentives and ensuring that essential medicine lists include key commodities, including SRH commodities.
  - Promoting human capital development.
  - Supply chain management and integrity.
  - Trade facilitation (reduce tariff and non-tariff trade barriers for the movement of raw materials and finished products across the continent). Research and innovation capacity and regulatory progress.

This agenda involves numerous stakeholders at multiple levels across multiple different domains. Achieving the health objectives requires coordinated action on related issues such as trade, industrial development and finance.

At a continental level, the main organs of the African Union (AU) that will be critical for MAV+ are: the AU Commission (AUC), the Africa Centres for Disease Control and Prevention (Africa CDC) and the African Union Development Agency - New Partnership for Africa's Development (AUDA-NEPAD). The AUC provides the crucial political link to the continent's leadership, while the Africa CDC has a vital role in driving the public health and pandemic preparedness dimensions and, very specifically in this context, in providing the secretariat for the PAVM. AUDA-NEPAD has a broad developmental mandate, including a track record in supporting regulatory harmonisation. The AU can also help expand the Commission's engagement with Regional Economic Communities (RECs) and ensure that AU Member States are actively engaged to ensure that different perspectives and ambitions are reflected as a basis for inclusive and sustainable progress according with the UN Guiding principles on Business and Human Rights. As duty bearers, regional organizations and AU Member States have to develop a general framework of the sector as well as the protection of public health risks (right to privacy, personal data...).

Likewise, the international community has a pivotal role to play. WHO is a key enabler given its role as global normative health agency with a regional and national mandate and structure in Africa. This action will strengthen WHO's leading role in the COVAX Manufacturing Task Force and as co-chair of the AMRH secretariat. Other international public health entities with critical mandates include Gavi, UNICEF (United Nations Children's Fund), and the Global Fund which have substantial influence. The World Bank and its private arm –the International Financial Corporation (IFC)–, the World Trade Organization (WTO), the United Nations Conference on Trade and Development (UNCTAD), or the United Nations Industrial Development Organization (UNIDO) are also pursuing this agenda. Bilateral donors like the United States have demonstrated and increasing appetite for health industry development, as have a number of private foundations, particularly the Gates Foundation.

Key stakeholders include the European Medicines Agency (EMA), which is responsible for the scientific evaluation, supervision and safety monitoring of medicines in the EU. Its mandate includes international activities and, as it is globally the only regional medicines regulatory agency it is a model for the upcoming African Medicine Agency (AMA). In this regard, EU financing support under this Action plan for manufacturing and access to vaccines, medicines and health technologies in Africa should take in consideration EMA's approval of effective and safe products. Support through the EMA will be foreseen in 2022. EU Member States and financing institutions such as the European Investment Bank (EIB), Proparco, Bio or KfW are embarking on operations in this domain.

The private sector, in its many different guises needs to be engaged to deliver the requisite progress. African pharma companies, med-tech manufacturers, private sector investors, international research & development based manufacturers, generics and med tech companies can all play a critical role and through its broad range of coordinated engagement, MAV+ will leverage the role of private sector to deliver sustainable impact. Growth of the sector should guarantee access to decent jobs opportunities according with the ILO fundamental Conventions banning forced labour, offering minimum labour age, ending discrimination, supporting freedom of organization, supporting equal remuneration, etc.

Patients, civil society and youth organisations, and product development partnerships (PDPs) are activists in the access to medicines context. They provide an important voice that needs to be heard and capabilities that can be leveraged particularly in discussing future priority diseases and in the promotion of the right to health.

## 2. DESCRIPTION OF THE ACTION

### 3.1 Objectives and Expected Outputs

The **Overall Objective (Impact)** of this action is to facilitate **equitable access to safe, effective, quality and affordable essential vaccines, medicines and health technologies for all Africans**. This objective pursues SDG 3.8 and promotes ultimately universal health coverage (UHC). Its attainment requires reinforcing African pharmaceutical systems and the regional manufacturing capacity.

The **Specific Objectives (Outcomes)** of this action, as mentioned in section 1.2, are the following four:

1. Advance regulatory convergence, harmonisation and use of reliance mechanisms between regulatory authorities.
2. Initiate technology transfer and innovation for local production.
3. Improve governance for demand consolidation and strategic purchasing.
4. Enhance coordination, leadership and programme governance (implementation unit) to strengthen African pharmaceutical systems.

The four objectives are of high strategic importance to underpin the continental dimension of the TEI on manufacturing and access to vaccines, medicines and health technologies (MAV+), which aims to provide comprehensive support (a “360° package”) to tackle barriers to manufacturing and access to health products and technologies in Africa. It is conceptualised around 3 dimensions: 1) supply side (manufacturing), 2) demand side and 3) enabling environment. Therefore, the first three objectives are directly linked to (and at the core of) these dimensions and will cover activities that the private sector, financing institutions, governments and civil society alone cannot accomplish; activities that need to be incentivized through grants and strong multi-stakeholder policy dialogue. The fourth dimension is vital to mobilise and coordinate resources and make the most of the broader TEI.

1. The expected **Output under Specific Objective (Outcome) 1** (advance regulatory convergence, harmonisation and use of reliance mechanisms between regulatory authorities from both continents to address regulatory bottlenecks) are:

- The African Medicines Agency (AMA) is established and through it regulatory convergence, harmonisation and use of reliance mechanisms are promoted across National Regulatory Agencies (NRAs) and Regional Economic Communities (RECs).

2. The expected **Output under Specific Objective (Outcome) 2** (initiate technology transfer and innovation for local production, including skills development) is:

- An mRNA technology transfer hub (or any similar structure promoting health technology transfer ecosystems) is established and adequately coordinates and operationalises technology transfer across Africa, supporting gender-sensitive skills development programmes.

3. The **Outputs** to be delivered by this action contributing to the **Specific Objective (Outcome) 3** (improved platforms for demand consolidation and strategic purchasing) are:

- 3.1. Platforms for African partners to engage in strategic purchasing and demand consolidation for healthcare products (e.g. the PAVM is setting up a market design and demand intelligence pillar) are developed.
- 3.2. Demand and pricing dynamics of critical products across the value chain are better known, incentivising European partners to responsibly invest in Africa (e.g. through the analytical work and market shaping activities being conducted by the WHO-backed mRNA technology transfer hub, and in line with the UN Guiding Principles on Business and Human Rights).

4. The **Outputs to be delivered by this action contributing to the Specific Objective (Outcome) 4** (enhanced coordination, leadership and programme governance) are:

- 4.1. Enhanced support structure for all work streams under the TEI to help underpin the global leadership role of the EU, which will ensure that the EU delivers on its objectives.
- 4.2. The PAVM Secretariat and the work streams of its strategy are fully operational and in synergy with the TEI.

### 3.2 Indicative Activities

#### Activities related to Output 1

- 1.1. Provide technical support to AUDA-NEPADs AMRH through its RECs MRH programmes and AMRHs Technical Committees (Continental Technical Working Groups), specifically:
  - a) African Vaccines Regulators Forum (AVAREF) – for regulation of clinical trials;
  - b) African Medical Devices Forum (AMDF) – for regulation of medical devices (including in-vitro diagnostics);
  - c) African Medicines Quality Forum (AMQF)– for market surveillance of medicines;
  - d) African Blood Regulators Forum (ABRF) – for regulation of blood and blood products;
  - e) Africa Pharmacovigilance (PV) Advisory Group (APAG) –to coordinate many fragmented PV initiatives on the continent and the development of a coherent framework for PV in Africa, including establishment of a regional network of sentinel sites for the active safety surveillance of new priority medicines and vaccines.
- 1.2. Accelerate the formal establishment of AMA by providing technical assistance based on WHO and EU policies, standards and guidelines for regulation and registration of key medical products (medicines, vaccines, SRH products);
- 1.3. Facilitate knowledge and assets transfer from the secretariat of AMRH at AUDA-NEPAD to AMA to support a smooth transition.
- 1.4. Support setting up of regulatory infrastructure for AMA, including e.g. regulatory information management systems (RIMS) for information sharing across NRAs and RECs across the continent.
- 1.5. Support regulatory functions with special regional importance (e.g. inspections or strengthen regional post marketing surveillance programmes).
- 1.6. Develop human resource capacity for regulatory systems strengthening in Africa, including e.g. developing a human resource and capacity development plan (gender-sensitive and inclusive of persons with disabilities), facilitate the establishment of the AMA Secretariat, guarantee standards on decent work, facilitate institutional and organisation gender analyses and develop gender policies, etc.
- 1.7. Support the establishment of sustainable financing policy for AMA, together with other partners.
- 1.8. Support for the implementation of institutional developments plans (IDPs) of NRAs following benchmarking using the WHO GBT<sup>1</sup> in priority countries and support to regulatory functions relevant for regional collaboration and work-sharing.

#### Activities related to Output 2:

- 2.1. Support technology selection, negotiate, secure and manage licences. This will follow a balanced approach inclusive of mRNA technology but not limited to it.
- 2.2. Engage with originators of existing SRA and EMA-approved vaccines pursuing bilateral technology transfer agreements, and define with industry the type of deals that would be acceptable for technology transfer. Other products could be considered (e.g. biosimilars or some generics whose formulation is complex or where bio-equivalence is difficult to demonstrate).
- 2.3. Cost options, develop business plans and market shaping strategy.
- 2.4. Define governance.
- 2.5. Identify and select appropriate territories, number of spokes and technology recipients.
- 2.6. Develop and implement appropriate tools and technical operations, including e.g. the design of incentives to the industry to promote technology transfer, or a gender-sensitive and inclusive human resource development strategy to train and retain the required manpower in cooperation with universities and vocational training institutions.

<sup>1</sup> <https://www.who.int/tools/global-benchmarking-tools>

- 2.7. Practical training for analytical, operating and technical staff.
- 2.8. Together with other activities under output 1, advance good manufacturing practices (GMPs) and ensure regulatory approval, which requires demonstrating the comparability of the product.
- 2.9. Support adequate intellectual property management prioritising voluntary deals.
- 2.10. Support the establishment of local production by removing tariff and non-tariff barriers affecting inputs necessary for the production of the pharmaceutical products for relevant research and technology transfer.

**Activities related to Output 3.1:** (primarily through the PAVM)

- 3.1.1 Encourage more African companies to prequalify priority products, thus opening up significant donor funded markets for leading local manufacturers (in connection to action 1.2.3).
- 3.1.2. Technical assistance to the market design and demand intelligence working group under the PAVM (gender experts and representative of CSOs will be involved).
- 3.1.3. Promote health technology assessment (HTA) tools.
- 3.1.4. Facilitate the engagement between African leaders and the Global Fund, UNFPA, UNICEF and other pooled funds to explore how their procurement activities can have a greater pull effect on investment in international standard manufacturing capacity in Africa, in line with the UN Guiding Principles on Business and Human Rights.
- 3.1.5. Engage with the AU, ACDC, AUDA-NEPAD and the RECs to explore mechanisms by which greater market transparency can be achieved, leveraging the work of partners such as the market data initiative by the Medicines for Malaria Venture.
- 3.1.6. Promotion of acquisition of quality-assured products.
- 3.1.7. Promotion of reduction of tariff and non-tariff barriers across the African continent to the acquisition of pharmaceutical raw materials and trade of finished goods produced in Africa.

**Activities related to Output 3.2:** (primarily through the COVAX Manufacturing Task Force)

- 3.2.1. Active EU participation in the dialogue promoted by the ACT-A and COVAX Manufacturing Task Force, notably under the mRNA technology transfer hub.

**Activities related to Output 4.1:**

- 4.1.1. Multi-country support building on lessons learned and experiences, particularly to EU Delegations.
- 4.1.2. Support the coordination and knowledge exchange across line DGs (technically and logistically): with NEAR, ECHO, EEAS, RTD, JRC, GROW, TRADE, SANTE.
- 4.1.3. Facilitation the planning for joint programming and other forms of collaboration with EU Member States.
- 4.1.4. Better engagement with the private sector.
- 4.1.5. Technical inputs for political dialogue in the context of international initiatives (e.g. ACT-A and COVAX Manufacturing Task Force) and the PAVM.
- 4.1.5. Inputs for strategic communication strategies (including information and sensitisation of women, groups at risk and persons with disabilities about access to affordable, accessible to medicines and vaccines in a diversity of accessible formats with use of accessible technologies).
- 4.1.6. Support to monitor progress of the initiative.

**Activities related to Output 4.2:**

- 4.2.1. Support the staffing of the PAVM Secretariat and strengthen its organisational capacity to deliver across all work streams of its strategy.

On a final note, EU Member States are starting to contribute to this agenda with several activities and the European Commission will ensure alignment of efforts under the TEI.

*The commitment of the EU's contribution to the Team Europe Initiative foreseen under this annual action plan will be complemented by other contributions from Team Europe partners. It is subject to the formal confirmation of each respective partners' meaningful contribution as early as possible. In the event that the TEIs and/or these contributions do not materialise the EU action may continue outside a TEI framework.*



### 3.3 Mainstreaming

#### **Environmental Protection & Climate Change**

N/A

Given the nature of the Action, there is no need to undertake an SEA screening, EIA (Environmental Impact Assessment) screening or a CRA (Climate Risk Assessment) screening.

Nevertheless, on March 2019, the Commission adopted a strategic approach to pharmaceuticals in the environment as required by Article 8c of Directive 2008/105/EC as amended by Directive 2013/39/EU. The approach covers all phases of the lifecycle of pharmaceuticals, from design and production through use to disposal. This will guide the exchanges with partners on these matters.

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#### **Gender equality and empowerment of women and girls**

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G1.

At all stages gender-responsive human rights-based approach principles participation, non-discrimination/equality, accountability and transparency applying to all rights will guide the planning and implementation of the Action.

Gender is an important factor influencing caregiving as well as demand, access and use of health services including immunisation services for woman and their children particular in times of scarcity and in fragile settings, with weak health systems. Reducing scarcity of crucial health products like currently the COVID-19 vaccine and other routine vaccines as often occurs in Africa, has thus a direct impacts on women's and children's lives. Likewise, women are a significant majority among first line healthcare workers that are involved in the fight against COVID-19 pandemic, and their role in biochemistry, immunology, genetics, pharmacy, biochemical engineering and engineering generally is growing. As such, they will be part of the leaders promoting the manufacturing and access to health products agenda. In settings where cultural barriers prevent women from accessing jobs in these sectors, initiatives to increase the number of female workers, technicians, service providers and leaders can be supported. The action contributes to the Gender Action Plan III (GAP III, 2021-2025), more specifically area "promoting economic and social rights and empowering girls and women".

Many guidelines and documents on how to integrate the gender dimension and the rights-based approach into the COVID-19 responses are developed by international organizations (UN Women, UNDP, WHO...) and can be helpful during implementation of the action.

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#### **Human Rights**

Access to safe and effective medicines and vaccines is a human right. Human rights principles will be central in the implementation of the action. Vulnerable and fragile groups, often excluded from access to health care, are also going to profit from the outcomes of this action, as one of the overarching objectives is equitable access to health products and technologies. Analyses and assessments will be conducted to incorporate specific work on Business and Human Rights and mainstream the rights-based approach and responsible business conduct. New policies and action plans will be transparent and communication campaigns will support transparency and participation for all. Special supports from gender and human rights experts will be included during the implementation phase for analyses and studies. Particular attention will be paid to ensuring full respect for human rights and equal treatment of all.

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#### **Disability**

Persons with disabilities and pre-existing conditions (particularly in rural areas and the elderly) are considered as particular vulnerable for COVID-19 and other infectious diseases. Additionally, they are at greater risk due to inaccessible information about vaccination and access to vaccination sites or other supply chains limitations. The European Commission will work with national and international partners to ensure that nobody is left behind in future vaccination programs. As per OECD Disability DAC codes identified in section 1.1, this action as D1. The action will pay particular attention to facilitate participation of persons with disabilities in the skills building, training activities, and consultations and in created employment. Accessibility to information and buildings (universal design) will be promoted and reasonable accommodation will be provided for participants and staff with individual needs.

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#### **Democracy**

The action does not tackle democratic processes. However, it will contribute to build better institutions (e.g. African Medicines Agency –AMA– and indirectly to integrate patients groups in those institutions. By enhancing regulatory frameworks the action supports good governance and the environment that facilitates access to quality, affordable, safe health products. Good governance will also involve dialogue with patients groups. Patients, civil society and youth organisations, products development partnerships, and health and pharmaceutical industries, welcomed the (AMA Treaty and actively participate in existing international dialogues and platforms. In February 2021, these organisations have called all AU Heads of State to ratify the AMA treaty. WHO and the EU will play an instrumental role, through component 1 of this proposal, to make the AMA a reality. In April 2021, during the preparatory phase, the Commission presented the main features of the initiative to CSOs who welcomed it.

### **Conflict sensitivity, peace and resilience**

The action will promote health systems resilience, pandemic preparedness and global health security. An ongoing complementary action (Special measure in favour of contributing to the availability and equitable access to COVID-19 vaccines in low and lower-middle income countries through the COVAX Facility) takes into account the conflict sensitivity and reconciliation efforts in partner regions. Populations in territories with unresolved and/or ongoing conflicts, asylum seekers and refugees are disproportionately affected by the current health crisis due to restrictions in movements, limited humanitarian aid and limited access to and lack of proper health care services. Secured by COVAX AMC donor funding, the COVAX Facility foresees the distribution of at least 100 million doses through its Humanitarian Buffer to those regions and territories most in need.

### **Disaster Risk Reduction**

COVID-19 pandemic has created incredible damage to societies and economies globally. Preventing the further spread of this infection and the development of new pathogen variants is a prerequisite for returning to normality. Vaccination is the only proven and efficacious prevention method, which requires great quantities of vaccines over a longer period of time equally distributed throughout the world. This measure will contribute to this global goal directly by scaling up local production of COVID-19 vaccines (and other products). In addition, enhancing access to safe, effective, quality and affordable essential vaccines, medicines and health technologies will necessarily improve health outcomes, can enhance response capacity and diminish the risk posed by the many epidemics that recurrently affect the African continent.

### **Other considerations if relevant**

Human health is a fundamental value and an investment in economic growth and social cohesion. Healthy individuals are more likely to be employed and less likely to be socially excluded. A healthy workforce is more productive, and healthcare services and health industries (pharmaceuticals, medical devices, and health research) are an important knowledge-intensive economic sector that enables people to maintain and improve their health and creates a steady demand for workers.

## **3.4 Risks and Lessons Learnt**

<b>Category</b>	<b>Risks</b>	<b>Likelihood (High/ Medium/ Low)</b>	<b>Impact (High/ Medium/ Low)</b>	<b>Mitigating measures</b>
External environment	Risk 1: - Numerous initiatives focusing on vaccine production and broadly in the pharmaceutical sector can lead to overlaps, duplication of efforts and	<b>Medium</b>	<b>Medium</b>	Objective 4, which will promote strong coordination of European initiatives through a Team Europe approach with the AUs PAVM, starting with information sharing and coordination with the other Commission services through an existing ad hoc project team; coordination with key donors and partners (e.g. US, World Bank, UK, Gates Foundation), which is already happening through platforms such as the

	inefficiencies in the support provided.			COVAX Vaccine Manufacturing Working Group.
External environment	Risk 2: - Overlapping institutional mandates (between AU and other regional organisations – RECs-, Africa CDC, AUDA-NEPAD and WHO etc.) can lead to undesired fragmentation and inefficiencies.	<b>Medium</b>	<b>Medium</b>	EU to leverage the strategic dialogue organised alongside the capacity building work to mitigate the issue of overlapping mandates. Alignment around the main continental strategies (PAVM, AMRH) will prevent a narrow sub-regional or project focus.
	Risk 3: - Risk aversion of private sector and financial institutions limiting investments in health and the pharmaceutical sector.	<b>Medium</b>	<b>High</b>	Promotion of DFI consortia and the incorporation of blending and guarantees to reduce financial risks on lending, and the use of technical assistance tools.
Planning, processes and systems	Risk 4: High level of complexity given for example the array of different issues, stakeholders and partners. This could hamper strategy implementation and the realisation of impact.	<b>High</b>	<b>High</b>	The overarching strategy for the TEI will focus on the key levers that can be used to affect change, will empower African ownership and institutional development, will identify our comparative advantage, and will establish a coordination and governance initiative to monitor internal and external developments and recommend course corrections as the need arises. The specifics of follow up actions will be informed by the collective learnings of the TEI.
People and the organization	Reduction in the current level of political interest in this agenda could hamper coordination across TEI in the longer term.	<b>High</b>	<b>High</b>	Momentum and enthusiasm amongst partners in the Team Europe Initiative will be built and harnessed through communications and awareness raising. The strategy will be developed on the basis of our full range of capabilities, whilst ensuring that different components can deliver impact in their own right.
Communication and information	-Communication methods and channels; - Quality and timeliness of information. Risk of low visibility inherent in supporting a multilateral/UN organisation levels.	<b>Medium</b>	<b>Low</b>	It will be mitigated by actively engaging with implementing partners to ensure the EU has a primary role in policy dialogue at HQ and EUD/country, notably on the promotion of EU interest when it comes to technology transfer and innovation for local production.

Planning, processes and systems	The high level of complexity with many stakeholders (governments/institutions, services providers, local manufacturing...) developing the sector introduce risks of corruption and/or conflict of interest	<b>Medium/high</b>	<b>High</b>	Regional organisations and governments should be developing legal framework promoting transparencies, responsible sale, affordable and accessible medicines but also protecting the sector against counterfeit medicines and vaccines. Legal framework has to be developed further according with experiences from WHO, UNICEF, UNFPA and EU in line with the UN Guiding Principles on Business and Human Rights
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## Lessons Learnt:

### *General EC experience*

The Commission has a track record of supporting pharmaceutical systems in Africa. The Commission provided EUR 25 million to finance the EU/ACP/WHO Partnership on Pharmaceutical Policies over the period 2004-2010, with a second program in the period 2011-2017 of EUR 10 million contributing to the EU/ACP/WHO Renewed Partnership to strengthen Pharmaceutical Systems in 15 Sub-Saharan countries. The results of the evaluation of the latter have been taken into account to define this new action, being more targeted than previous ones. The new action being proposed now also looks at the specific value of the EU as a regional entity itself and in comparison to other donors active in this space (e.g. USAID), and intends to complement the solutions and resources offered by international/development financing institutions.

Currently, the EU-WHO Health Systems Strengthening for Universal Health Coverage Partnership Programme incorporates an access to medicines, vaccines and health products component focusing on regulatory functions, procurement capacity, review and assessment in particular examining quality, availability, pricing and expenditure and rational prescribing. Likewise, the Commission has provided financial support to the WHO *Global Strategy and Plan of Action on Public Health, Innovation and Intellectual Property*. Current support focuses on encouraging innovation and improving access to essential medicines and health technologies, supporting the WHO Global Observatory on Health R&D innovation and improving delivery and access to quality medical products. The next steps will build on these experiences and the knowledge and evidence generated by them, while adding new dimensions.

This action will also seek synergies with ongoing country level actions (starting with Senegal, Rwanda and South Africa), ongoing regional actions (SIPS), and with EU-funded global health initiatives such as COVAX, Gavi and The Global Fund. In particular, the Support to Industrialization and the Productive Sector (SIPS) initiative was launched in 2019. It aims at 1) improving the policy, regulatory and operational environment at national and regional level for the development of regional value chains and related services in the SADC region in agro-processing and pharmaceutical sectors and 2) enhanced participation of the private sector in those value chains, for example by enhancing local manufacturing. The programme has an allocation of EUR 18 million and is implemented through indirect management by SADC (component 1) and GIZ (component 2).

The participation of the private sector, both from the African and the European continent, is also critical in a context of globalized supply chains. The African Health Diagnostics Platform (AHDP) was created by the end of 2018 as a partnership between the Bill and Melinda Gates Foundation, the European Investment Bank and the European Commission. The aim of the AHDP is to significantly improve access and quality of laboratory and diagnostic services for low-income populations in sub-Saharan Africa, contributing to better clinical decision-making, treatment decisions, and quality of care. The AHDP has now been expanded and rebranded as European Health Platform and includes guarantees for both diagnostics and vaccines procured through COVAX. It is also envisaged to support private sector investment in pharmaceutical production under the EFSD+.

### *Existing African initiatives (PMPA, AMRH, AMA)*

The African Union and its Member States have prioritised the pharmaceutical industry over the last 20 years. The Pharmaceutical Manufacturing Plan for Africa (PMPA) endorsed by the AU Heads of State and Government Summit

in 2007 identified the importance of strengthening the industry and provided a basis for a raft of different initiatives that have been implemented since to address this complex agenda. The importance of regulatory strengthening and harmonisation was highlighted in the original document and is an area where the most progress has been made. The African Medicines Regulatory Harmonisation initiative (AMRH) launched in 2009 has escorted significant developments on regulatory harmonisation at the REC level and has been the precursor to the envisaged African Medicines Agency (AMA), the treaty for which has now been ratified. Further strengthening and harmonisation of regulatory systems will be essential for increasing access to affordable, effective, safe, quality essential medicines. Europe's experience in building a regional regulatory agency can be invaluable in guiding the process and building the technical capacity for its implementation. The AMRH has been implemented by the African Union Development Agency (AUDA-NEPAD) in collaboration with the national regulatory agencies (NRAs), regional economic communities (RECs), AUC, Pan African Parliament (PAP), the World Health Organization (WHO), the Bill and Melinda Gates Foundation (BMGF), UK Department for International Development (DFID), Clinton Health Access Initiative (CHAI) as a mechanism to address the fragmented regulatory systems as part of PMPA policy framework. It is being implemented in 5 RECs namely, East African Community (EAC), Southern African Development Community (SADC), the Economic Community of West African States (ECOWAS), the Economic Community of Central African States (ECCAS) and, the Intergovernmental Authority for Development (IGAD). Through joint review of dossiers and inspection of manufacturing sites under the AMRH initiative, some regions have witnessed a 50% reduction of timeliness for marketing authorization of medical products. 11 Regional Centres of Regulatory Excellence (RCOREs) have been designated to serve as sustainable structures for increasing regulatory workforce in Africa using existing academic institutions and NRAs. In response to COVID-19 medical supply disruptions, the AMRH Steering Committee endorsed guidelines for regulatory approval, importations and procurement of COVID-19 medical devices, in-vitro diagnostics, and personal protective equipment (PPEs) for use by the AU Member States. The AUDA-NEPAD and WHO as AMRH Joint Secretariat in collaboration with Africa-CDC Initiative composed the Africa Regulatory Task Force (ARTF) to address regulatory barriers on access to COVID-19 vaccine.

In January 2015, the AU Executive Council recognised the AMRH Initiatives as the foundation for establishment of the African Medicines Agency (AMA) in advancing development of the pharmaceutical industry through the PMPA policy framework. The AMA Treaty was subsequently adopted by the AU Summit in 2019 as a Specialized Agency to improve access to quality, safe and efficacious medical products in Africa. The Treaty is expected to come into force now that 15 Member States have ratified and deposited the instruments of ratification. As of 10.08.2021, 9 countries (Algeria, Burkina Faso, Ghana, Guinea, Mali, Namibia, Rwanda, Seychelles, Sierra Leone) have done so while 6 others (Benin, Cameroon, Gabon, Morocco, Niger, Tunisia) have ratified but not yet deposited the documentation with the AU. 9 other countries have at least signed the treaty already (Burundi, Chad, Egypt, Republic of Congo, Madagascar, Saharawi Arab Democratic Republic, Senegal, Tanzania, Zimbabwe). Whilst there has been universal support for the AMA, the process of ratification has taken significant time and has been achieved in part through the engagement of the AU's special envoy for the AMA, Michel Sidibé's activities at the political level. This points to the importance of engaging at the political level to facilitate progress at the technical and institutional levels.

Closer regulatory harmonisation at the REC level has been achieved through the AMRH and this and the advent of the AMA provide a good basis for market defragmentation and investment in the pharmaceutical sector. However, progress on the industry side is lagging that in the regulatory domain, demonstrating that there are other issues that need to be addressed to support development of the sector. The MAV+ initiative will help address non-regulatory barriers to trade in pharmaceuticals and other aspects of the enabling environment in order to support strengthening of the pharmaceutical industry on the continent.

#### *Vaccine development and manufacturing in Africa (PAVM)*

The COVID-19 Vaccine Development and Access Strategy endorsed by the AU in August 2020 provides a framework to guide partners' efforts in support of Africa's ambitions. The continental strategy aims to accelerate African involvement in COVID-19 vaccine clinical trials to test safety and efficacy, while strengthening Africa's capacity for running high quality clinical trials. Secondly, the strategy aims to ensure Africa's access to sufficient vaccine supply through financing, procurement and scale-up of vaccine manufacturing. Thirdly, it aims to prepare for at-scale delivery of the vaccine in Africa (including facilitating rapid regulatory decisions and ongoing safety monitoring).

In April 2021, the African Union and Africa CDC launched the Partnerships for African Vaccine Manufacturing (PAVM). In July this year the Africa CDC presented the main strategic lines of the Vaccine Manufacturing Framework for Action in the context of the Agenda 2063 and the African Union's New Public Health Order. PAVM wants to

foster the emergence of a local vaccine manufacturing industry in Africa with the aim that 60% of routine and outbreak immunization vaccines will be produced locally and sustainably by 2040. The PAVM bodies are a Task Force, a Secretariat, Work Streams, and an Advisory Group. The main topics for support are: market design and demand intelligence, regulatory strengthening, access to finance, technology and intellectual property, R&D, hubs and talent development, and infrastructure.

### 3.5 The Intervention Logic

The underlying intervention logic for this action is the following:

#### **1. Advance regulatory convergence, harmonisation and use of reliance mechanisms between regulatory authorities from both continents to address regulatory bottlenecks.**

National regulatory authorities (NRAs) play a key role in promoting research and development and local pharmaceutical production whilst controlling the proliferation of falsified and substandard medicines circulating in their respective markets. While supporting national authorities is key, there is a need for regional interventions, particularly in light of facilitating trade of health commodities across countries.

Regulatory convergence represents a process whereby the regulatory requirements across countries become aligned due to the gradual adoption of internationally recognised technical guidance documents, standards and scientific principles, common or similar practices and procedures. The WHO has a mandate to work on regulatory convergence and is currently supporting the existing African Medicines Regulatory Harmonization (AMRH) initiative led by AUDA-NEPAD. This support is critical for the AMRH to evolve in due course into the envisaged African Medicines Agency (AMA), which will operate as a network of national regulatory authorities (NRAs) and regional secretariats in Regional Economic Communities –RECs- (e.g. EAC, WAHO, IGAD, SADC...). The objectives of the AMRH/AMA include joint assessments for granting market authorisation of new or non-registered products, facilitate joint inspections of manufacturing sites, or ensure quality control in production, distribution, marketing and use. Joint work ensures quality and reduces time to perform regulatory functions. The AMRH has relied in funding from the Gates Foundation and a World Bank Trust Fund so far, meaning that support actions should also tackle the financial sustainability of the future AMA.

The expected **Output under Specific Objective (Outcome) 1** are:

1. The African Medicines Agency (AMA) is established and through it regulatory convergence, harmonisation and use of reliance mechanisms are promoted across National Regulatory Agencies (NRAs) and Regional Economic Communities (RECs).

#### **2. Initiate technology transfer and innovation for local production.**

Co-led by Gavi, the Vaccine Alliance, the Coalition for Epidemic Preparedness Innovations (CEPI), and the World Health Organization (WHO), and supported by UNICEF and the Gates foundation, COVAX is one of the pillars of the Access to COVID-19 Tools Accelerator, a ground-breaking framework for collaboration that brings together governments, health organisations, scientists, businesses, civil society, and philanthropists to speed up efforts to end the pandemic by supporting the development and equitable distribution of the vaccines, diagnostics and treatments the world needs. The initial goal was to secure and deliver 2 billion vaccine doses by the end of 2021, including 1.3 billion vaccine doses for 92 low and middle-income countries. The latter goal was recently raised to 1.8 billion doses, allowing vaccinated population coverage to increase from 20% to 30%. The European Union is one of the main supporters, while the total Team Europe contribution amounted to over € 3 billion.

COVAX has set up a Supply Chain & Manufacturing Task Force. Within it, WHO is establishing COVID-19 mRNA vaccine technology transfer hubs in collaboration with the private sector, academia and entities like the Medicines Patent Pool (MPP). With political support from France and expressed interest by Germany and Belgium, WHO is working with a South African consortium to establish the first hub. The Secretariat or overall coordination and governance structure is yet to be finalised, but a provisional concept and budget has been prepared as a basis for urgent action.

While this objective will build on the opportunities offered by the early stages of the above-mentioned mRNA technology transfer hub, it will be open to the RNA technology but not limited to it exclusively. New technological options may emerge or be considered. Likewise, in principle it will not be limited to SAR-Cov2 vaccines but other products that may get approval from a Stringent Regulatory Authority (SRA) like the EMA in the coming months or years. Although the mRNA technology transfer hub is a key initiative, bilateral deals on mRNA or other technologies fitting the needs and capabilities of African plants may take place beyond that framework. Support to those may be needed and would logically serve to the overall purpose of the action.

The expected **Output under Specific Objective (Outcome) 2** is:

2. The mRNA technology transfer hub (or any similar structure promoting health technology transfer ecosystems) is established and adequately coordinates and operationalises technology transfer across Africa.

### **3. Improved platforms for demand consolidation and strategic purchasing.**

Strengthened and expanded vaccine manufacturing capacity in Africa is required to enable the continent's response to the COVID-19 pandemic in the short-medium term and, to increase vaccine security given the recurrent disease outbreaks facing the continent, and in the event of another pandemic or any other potential crises moving forward, in the long term. Uncertainty about the future needs/demand and the resultant risks are a major impediment for investors and point to a range of different scenarios for which the continent must be better prepared in the future. The inherent uncertainties include what volumes of COVID-19 vaccine will be required over what timeframe to bring the current pandemic under control, and what level (if any) of ongoing vaccination against COVID-19 will be warranted moving forward, and utilising which technologies. The timing of a future pandemic cannot be known, nor can the specific technologies and the surge demand required for any future priority vaccine(s). On the other hand, demand for routine vaccinations is more predictable and could provide a lever to encourage investment in and development of enhanced capacity.

The African Union has established the African Vaccine Acquisition Task Force (AVATT) –and the Africa Medical Supplies Platform (AMSP)–, COVAX and its associated Manufacturing Task Force is being co-led by Gavi, CEPI and WHO, and Gavi currently supports, likewise, the majority of the market for priority routine vaccines, primarily for children. The Partnership for African Vaccine Manufacturing (PAVM) includes these stakeholders and has a specific work stream on demand and market intelligence. The monopsonistic nature of the vaccine market in Africa provides opportunities for a deliberate, coordinated approach to market shaping. However, it is a highly complex undertaking that needs to be aligned with other aspects of the continental strategy such as “push” incentives, technology transfer, and access to finance and removal of trade barriers.

Under Specific Objective 3, the European Commission will support the market demand workstream of the PAVM and the market shaping activities of the COVAX Manufacturing Task Force. It will also actively engage in the ongoing processes to provide its inputs and additional support, whether financial, political or technical, as the need arises.

Demand consolidation and strategic procurement can play an important role for the strengthening of other target industries in Africa, though the market dynamics are very different to vaccines. For essential medicines there are an estimated 600 manufacturers in Africa with virtually all producing finished formulations from imported inputs. Most manufacturers operate in a relatively small range of therapeutic areas, producing generic versions of off-patent products. Many manufacturers need to invest in their manufacturing facilities and systems as well as in product development/acquisition in order to meet requisite international standards. They are hampered from doing so due to a number of systemic challenges including lack of access to affordable finance and the perception that quality is not a commercially successful proposition, as well as fragmented and opaque markets.

Multi-lateral procurement funds such as the Global Fund command significant volumes for specific products against HIV/AIDS, tuberculosis and malaria. Assurance of international quality standards is a prerequisite for supplying such markets, and WHO prequalification of a product is one of the main regulatory mechanisms by which manufacturers can access these markets. Only two companies in Africa have WHO prequalified products so the vast majority of companies cannot supply the international donor funded markets.

Together with pursuing the Specific Objectives 1 and 2, there is a need to defragment markets to facilitate affordable, timely access to quality products. There is also a need for greater market transparency to inform investment decisions. Demand from procurement funds (global health initiatives) can be a means to support leading companies and demonstrate that international standard production is a commercially successful business proposition.

This component builds a solid foundation for the long-term success of a local industry and ensures that locally produced vaccines, medicines and health technologies can enter local markets with competitive pricing models and convincing branding (e.g. to ensure rational use and adherence to treatments).

The **Outputs** to be delivered by this action contributing to the Specific Objective (Outcome) 3 are:

- 3.1. Facilitate platforms for African partners to engage in strategic purchasing and demand consolidation for healthcare products (e.g. the PAVM is setting up a market design and demand intelligence pillar).
- 3.2. Better understand the demand and pricing dynamics of critical products across the value chain and incentivise European partners to responsibly invest in Africa (e.g. through the analytical work and market shaping activities being conducted by the WHO-backed mRNA technology transfer hub).

#### **4. Enhanced coordination, leadership and programme governance.**

Under the leadership and steer of the Commission, this objective aims at ensuring the coherent articulation of all components comprised in this action and future actions in the overall TEI, and will mobilise technical and managerial expertise for capacity development and key support activities (strategic communication and public diplomacy, knowledge management, monitoring, results and impact), including technical support to EU Delegations and better collaboration with the private sector.

Through the coordination objective the Commission will work with stakeholders and partners within the European Union, in Africa and across the international development community to elaborate the approach for strengthening the industry sectors and identify the areas that Team Europe -the EU and its Member States- will support given its comparative advantages versus other donors and partners. The Commission being active in Development, Humanitarian response, Industry, Health, Education and Research and Innovation should be in a unique position to canvas industry views, build consensus, develop policies and define innovative deal-making models to develop pharmaceutical manufacturing in Africa and vaccines in particular. This dialogue work would form an important component of the overall initiative.

The **Outputs** to be delivered by this action contributing to the Specific Objective (Outcome) 4 are:

- 4.1. Enhanced coordination of all work streams under the TEI (including both national and regional activities) and support to underpin the global leadership role of the EU through a programme support structure which will ensure the EU delivers on its objectives.
- 4.2. The PAVM Secretariat and the work streams of its strategy are fully operational and in synergy with the TEI.

Further details on the specific activities pursued are provided in section 3.2.

The four Specific Objectives combined are critical interventions to ensure the broader goal of reinforcing African pharmaceutical systems and the regional manufacturing capacity to facilitate access to safe, effective, quality and affordable essential vaccines, medicines and health technologies for all, in alignment with SDG 3.8 and in the context of promoting universal health coverage (UHC). These four components will also underpin the regional dimension of the related TEI and its 360° approach.



### 3.6 Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

Results	Results chain: Main expected results	Indicators	Baselines 2021	Targets 2026	Sources of data	Assumptions
<b>Impact</b>	To facilitate access to safe, effective, quality and affordable essential vaccines, medicines and health technologies for all, in alignment with SDG 3.8 and in the context of promoting universal health coverage (UHC).	1. UHC index 2. % of population in Africa with access to essential vaccines / medicines (disaggregated by product, country, location and gender)	To be set by the programme support structure once operative	5% increase (depending on product)	1. WHO Global Health Observatory. 2. World Bank databank. 3. AU 4. Gavi/COVAX.	<i>Not applicable</i>
<b>Outcome 1</b>	1. Regulatory convergence, harmonisation and use of reliance mechanisms between regulatory authorities from both continents to address regulatory bottlenecks has been advanced.	1.1. Status of the African Medicines Agency (AMA). 1.2. Number of joint inspections 1.3. Number of manufacturing sites having received Good Manufacturing Practice (GMP) certificates. 1.4. Number of sites having received Good Laboratory Practice (GLP) certificates.	1.1 Not established 1.2 Not established 1.3 - 0 1.4 - 0	1.1 Established 1.2 - 10 1.3 - 3 1.4 - 3	1.1 AU 1.2 WHO / World Bank / AU-PAVM 1.3 AUDA-NEPAD 1.4. TEI structure 1.5. WHO/ AU	
<b>Outcome 2</b>	2. Technology transfer and innovation for local production has been initiated.	2.1. Number of technology transfer hubs operative in SSA 2.2. Number of new technologies introduced	2.1 - 0 2.2 - 0	2.1 - 2 2.2 - 1	2.1 WHO/AU-PAVM 2.2 WHO/AU-PAVM	
<b>Outcome 3</b>	3. Improved platforms for demand consolidation and strategic purchasing.	3.1. Number of locally produced health goods (e.g. vaccines) being procured by African or international funds (with EU support)	3.1. - 0	3.1. TBD (e.g. 200 million)	3.1. AU-PAVM	
<b>Outcome 4</b>	4. Enhanced coordination, leadership and programme governance.	4.1. Number of key EU organisations (line DGs, EU MS, etc.) and other initiatives such as PAVM or the COVAX manufacturing task force who are jointly programming or coordinating efforts.	4.1. - 0	4.1. - 3	4.1. TEI implementation structure	
<b>Output 1 related to Outcome 1</b>	1.1 The African Medicines Agency (AMA) has been established and through it regulatory convergence, harmonisation and use of reliance	1.1. Number of manufacturing sites having received current Good Manufacturing Practice (GMP) certificates, including decent work standards applied to the pharmaceutical sector.	1.1 - 0 1.2. 0	1.1. - TBD 1.2. TBD	1.1. AU/AUDA-NEPAD/AMA/WHO	

	mechanisms are promoted across NRAs and RECs.	1.2. Proportion of manufacturing sites and administration meeting accessibility standards.				
<b>Output 1 related to Outcome 2</b>	2.1 The Secretariat of the mRNA technology transfer hub (and other similar structures promoting health technology transfer ecosystems) has adequately coordinated and operationalised technology transfer across Africa in the pharma and biotech sectors.	2.1.1 Number of people being trained (disaggregated by sex, age and disability if possible) 2.1.2 Number of African organisations receiving know-how	2.1.1 - 0 2.1.2 - 0	2.1.1 20 2.1.2 2	2.1 WHO/AU-PAVM 2.2 WHO/AU-PAVM	
<b>Output 1 related to Outcome 3</b>	3.1 Platforms for African partners to start engaging in strategic purchasing and demand consolidation for healthcare products have been facilitated.	3.1.1 Increased quality of the transactions (e.g. by volume of goods procured by pooled procurement)	3.1.1 TBD	3.1.1 TBD	3.1.1 AU	
<b>Output 2 related to Outcome 3</b>	3.2 The demand dynamics of all/critical products are understood and European partners are incentivised to invest in Africa.	3.2.1 Number of EU companies initiating operations to manufacture pharmaceutical products locally in Africa	3.3.1 0	3.2.1 2	3.2.1 WHO – AU/PAVM	
<b>Output 1 related to Outcome 4</b>	4.1 Team Europe coordination and global leadership has been enhanced through the creation of a technical programme support structure to deliver on the objectives of the TEI in Africa.	4.1.1 Number of EU Member States jointly programming with the European Commission.	4.1.1 0	4.1.1 3	4.1.1 TEI implementation structure	
<b>Output 2 related to Outcome 4</b>	4.2. The PAVM Secretariat and the African strategy for vaccine manufacturing have been set up, are fully operational and can realise synergies with the TEI.	4.2.1 Number of working groups of the PAVM in which the EU is actively engaged.	4.2.1 0	4.2.1 3	4.2.1 AU/PAVM	

### 3. IMPLEMENTATION ARRANGEMENTS

#### 4.1 Financing Agreement

In order to implement this action, it is envisaged to conclude a simplified financing agreement with the African Union Commission.

#### 4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 2 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the entry into force of the simplified Financing Agreement..

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

#### 4.3 Implementation Modalities

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

##### 4.3.1 Direct Management (Grant)

**(a) Purpose of the grant**

Together with mobilising an international organisation, specific objective 1 will be supported by an African entity.

**(b) Type of Applicant targeted**

The Grant is intended as a direct award to AUDA-NEPAD

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

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposal to AUDA-NEPAD in compliance with Article 195(f) of the Financing Regulations due to the level of specialisation of AUDA-NEPAD in this domain. The objective of the existing African Medicines Regulatory Harmonization (AMRH) initiative is to ensure that African people have access to essential medical products and technologies. AMRH is a programme of the African Union (AU) implemented by AUDA NEPAD as part of the Pharmaceutical Manufacturing Plan for Africa (PMPA). The AMRH Secretariat is co-led by AUDA NEPAD and WHO. Gradually the African leadership and ownership should be strengthened. There is no other entity with the same experience and mandate. AUDA-NEPAD is currently in the process of being pillar-assessed and might be eligible for indirect management from early 2022.

##### 4.3.2 Direct Management (Procurement)

The specific objectives mentioned in sections 3.1, 4.1 and 4.2 will be implemented through the procurement of services contracts directly managed by the European Commission. . Objective 4.1 aims at ensuring the coherent articulation of all components under this action and related work streams in the overall TEI, and will mobilise technical and managerial expertise for capacity development and key support activities (communication, EU visibility, knowledge management, monitoring, results and impact), including technical support to EU Delegations and better collaboration with the private sector. The objectives 4.2 and 3.1 will mainly support the PAVM and also help advance our understanding of demand and market dynamics..

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

#### 4.3.3 Indirect Management with international organisations.

A part of this action may be implemented in indirect management with an entity which will be selected by the Commission's services using the following criteria: multilateral or regional organisations with sound experience and a mandate to work on regulatory strengthening, sound experience and global leadership in technology transfer in the healthcare context, and convening power. The implementation by this entity concerns specific objective 1, specific objective 2, and specific objective 3.2. This entity will have been fully pillar-assessed before undertaking the responsibilities of indirect management. Section 4.5 on the indicative budget provides a tentative breakdown.

#### 4.3.4 Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances (one alternative second option)

If, due to reasons outside the control of the Commission, the implementation modality foreseen in section 4.3.1 is not possible (direct grant), the expected financing could be implemented through indirect management whose details would be further elaborated. Likewise, AUDA-NEPAD is currently in the process of being pillar-assessed and might be eligible for indirect management in the coming months. If this happens, indirect management might be pursued.

If the implementation modality foreseen in section 4.3.2 (procurement) is not possible, indirect management with a Member State or an international organisation could be foreseen.

#### 4.4 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, subject to the following provisions.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

#### 4.5 Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)	Third-party contribution, in currency identified
<b>Implementation modalities – cf. section 4.3</b>		
<b>Objective 1: Advance regulatory convergence, harmonisation and use of reliance mechanisms between regulatory authorities from both continents to address regulatory bottlenecks, composed of</b>	<b>16 500 000</b>	
Indirect management with - An international organisation	11 500 000	
Grant (direct management) with - An entity of the African Union in charge of implementing regulatory harmonisation (AUDA NEPAD)	5 000 000	

<b>Objective 2: Initiate technology transfer and innovation for local production, including skills development,</b> consisting of	<b>12 000 000</b>	
- Indirect management with an international organisation.	12 000 000	
<b>Objective 3: Improved platforms for demand consolidation and strategic purchasing,</b>	<b>1 500 000</b>	
Procurement (direct management)	500 000	
Indirect management with - An international organisation	1 000 000	
<b>Objective 4: Enhanced coordination, leadership and programme governance,</b> composed of	<b>10 000 000</b>	
Procurement (direct management) – cf. section 4.3.2	10 000 000	
<b>Evaluation</b> – cf. section 5.2 <b>Audit</b> – cf. section 5.3	It will be covered by another decision	N.A.
<b>Totals</b>	<b>40 000 000</b>	

#### 4.6 Organisational Set-up and Responsibilities

The programme support structure under Objective 4 will provide technical and logistical support to enhance the governance structure led by the Commission and to implement this action and future ones.

The European Commission being a regional institution itself is uniquely positioned to lead and coordinate the collaborative and complex effort as envisaged in the TEI MAV+. The TEI proposes a concentric circles model whereby people and partner countries are at the centre. At the core of this initiative is also the Commission services (including INTPA and services partaking in an ad hoc project team –SANTE, RTD, JRC, GROW, TRADE, EEAS-), accompanied by Member States (also coordinated through and a Commission-led taskforce) and in coordination with the industry and international partners.

A steering committee gathering representatives from the European Commission, the African Union and EU Member States and partners involved in the implementation of the different components of the action will be set-up and will meet twice a year and advise a smaller executive committee that meets regularly, at least quarterly. Both committees will be supported by programme support structure that will ensure the coordination with other EU and AU actions, notably at national level.

The Commission will also participate in the following taskforces to coordinate the action:

- The PAVM, an important organizational set-up to which this action will contribute. It is supported by a Task Force, a Secretariat, by an Advisory Group in which the European Commission is represented, and has for the time being created 6 working groups.
- COVAX has set up a Manufacturing Task Force.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

## 4. PERFORMANCE MEASUREMENT

### 5.1 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 partners 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 from a gender and human rights approach, 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.

Likewise, Commission services in collaboration with the EU Delegations supported by a technical support facility, will be in constant exchange and communication with all project implementing partners to ensure timely implementation of activities and political steering. Commission services shall also assess how the action is contributing to the realization of human rights and the Agenda 2030, and contributing to gender equality, for which SDGs and GAP III indicators will be privileged.

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 external reviews).

## 5.2 Evaluation

Having regard to the nature of the action, a mid-term and a final external evaluation will be carried out for this action and its components via independent consultants contracted by the Commission. Additional funding from technical assistance facilities will be used.

It will be carried out for problem solving, accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that several innovative approaches will be tested in the evolving landscape of African pharmaceutical regulation and production which will produce valuable lessons learnt for the way forward. This evaluation will be undertaken in close collaboration with participating Members States in the TEI

The Commission shall inform the implementing partner at least 60 days in advance of the dates envisaged for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with partner countries 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 evaluation will be gender and human rights sensitive, assess gender equality and human rights results and implementation of rights-based approach working principles (participation, non-discrimination, accountability and transparency).

## 5.3 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 audit or verification assignments for one or several contracts or agreements.

## 5. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt 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.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations or Headquarters to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

Working draft



# Action document for Accelerating the COVID-19 response and strengthening health systems through digital health tools

## 5.1. Summary of the Action

*The Action aims to support the COVID-19 vaccination efforts, strengthen health systems in sub-Saharan Africa through the deployment of digital health tools and relaunch the mobility and trade exchanges in the region and across the EU and the African Union (AU). This action will complement EU's Global Response to COVID-19, including its commitments to Vaccine pillar of the Access to Covid-19 Tools Accelerator (ACT-A) and to local manufacturing in Africa while it will also promote EU Standards and strengthen the external dimension of the EU's digital agenda. The action is envisaged to:*

**1. Support the external dimension of the EU Digital COVID Certificate (DCC).** *An increasing number of requests from partner countries in Africa is being received for the deployment and scale up of a system that can authenticate COVID-19 vaccination, recovery and test certificate status and that is interoperable with pre-existing tools at regional and at national level. In the absence of such tool at a global level, the EU faces an unprecedented window of opportunity to be seized for the scale-up and deployment of the EU DCC in Africa, while increasing EU visibility and promoting EU standards, policies and priorities. This action will support the establishment of country platforms and facilitate the request and establishments of adequacy decisions with the EU DCC. A continental agreement with the Africa Centre for Disease Control for a reciprocal Trust Interchange system will be established through this action to pool the adequacy decision request from partner countries and sub-regions in Africa through a single harmonised channel.*

**2. Upscale digital health tools for vaccine counterfeit detection.** *The scarcity of COVID-19 vaccines has led to the proliferation of counterfeit COVID-19 vaccines. Through this action, we propose to support the digitalisation of counterfeit medicine detection systems, through country/regional deployment of a 'Global Trust Repository for authenticity verification'. This tool, currently under development by UN agencies consists of two components: a) a global database centralising all vaccine serial numbers, and b) country systems to scan and verify the vaccines authenticity as they are administered. This action will aim to support the second component, covering the detection of counterfeit COVID-19 vaccines in the short term and in view of expanding the scope to detect a broader range of counterfeit medicines and other health products in the long term, thus supporting strengthening health systems in the region.*

## 1. RATIONALE

### 5.2. Context

The COVID-19 pandemic has exposed several global challenges and new important political priorities have emerged in 2020, as expressed in the Joint Communication on the global EU response to COVID-19 and the Communication establishing a European Health Union. With disruptions to essential health services, to pharmaceutical supply chains and the availability of essential health products, the strain on health care workers, disruptions to mobility across continents and its economic impact, COVID-19 has transformed health into a global, European and African priority.

The pandemic in the presence of other endemic diseases (such as Ebola, TB, Malaria or HIV) has once more underlined the urgent need to strengthen Africa's public health systems as prerequisite to a sustainable development. At continental level, the AU has long had political traction and convening power, and it now also has, with the Africa Centres for Disease Control and Prevention (and the new African Medicines Agency), a vision for a new public health order in Africa and growing operational capacity to advance this vision, coordinate continental and sub-regional responses and turn health systems strengthening (HSS), local manufacturing of vaccines and therapeutics, health workforce development, into a pillar of the EU-Africa partnership.

The Commission digital strategy has consistently maintained health as a priority. The 2030 Digital Compass Communication identifies health as a key ecosystem for digital transformation and recalls the window of opportunity brought by the COVID-19 pandemic, showing the "...potential and paving the way for generalised use of innovative telemedicine [...]. Digital technologies can empower citizens to monitor their health status [...] prevent non-communicable diseases, and bring efficiency to health and care providers and health systems'.

The digital ambitions for the EU partnership with Africa highlight health as a priority. The Joint Communication to the European Parliament and the Council “Towards a Comprehensive Strategy With Africa”, emphasizes that access to safe and affordable digital services need to be ensured for all, including improving access to health services in remote areas and by facilitating diagnostics and treatments. The Digital Transformation Strategy For Africa (2020-2030) and the New Africa-Europe Digital Economy Partnership report, both highlight the potential of digital investments in Africa to transform and improve access to quality basic services, including healthcare.

With significant commitments to the purchase of vaccines through the COVAX (COVID-19 Vaccines Global Access) Facility, the EU is one of the lead donor and strong advocate for equitable vaccine access. Ensuring equity and efficiency of vaccine distribution and certification of vaccinated citizens are two of the most pressing needs.

The EU has developed the EU Digital COVID Certificate with the aim of facilitating free movement inside the EU. The EU Digital COVID Certificate covers Covid-19 vaccination, test and recovery. It is a tool allowing for the gradual lifting of travel restrictions and the resumption of safe free movement within the EU ahead of the summer period and, as such, aims to contribute to overall recovery.

This action is in line with the Union’s and Member States’ priorities and commitments to the COVAX Facility. Similarly, it will build upon the regional action for pharmaceutical systems in Africa, which aims to ramp-up local production and ensure quality of health products in Africa. The action contributes to two priority area of the Multi-Annual Indicative Programme for Sub-Saharan Africa (SSA) RIP 2021-2027: human development (Priority Area 1) and digitalisation (Priority Area 4) and aims to support and accelerate the COVID-19 response through digital health tools in the short term and to strengthen health systems in the long term. In a context where a multiplicity of digital tools is under development for the deployment of COVID-19 digital health tools, and the objectives to scale-up vaccination to 60% by mid-2022 globally, it will be important that the EU urgently invests and promotes digital health tools following the EU values and standards of inclusivity, scalability, interoperability, data protection and privacy, equality and equity, non-discrimination, cybersecurity and trust with strong political support. Collaboration on this topic with EU Member States is being explored through a Global Team Europe initiative.

This action is in line with the 2030 Digital Compass Communication, the Joint Communication to the European Parliament and the Council “Towards a Comprehensive Strategy with Africa”, as well as with the Digital Transformation Strategy for Africa (2020-2030), which all identify health as a key ecosystem of digitalisation.

Finally, this action will enhance both EC’s commitment to sustainable and human-centred digitalisation and to bringing the pandemic to an end. Beyond vaccine purchase and sharing, this action extends the ongoing EC’s action by supporting the vaccination chain continuum through digital tools and includes tracing vaccine doses as well as digital certification of vaccination status. As the first operational tool at regional scale, the EU digital COVID Certificate has the potential of being the main global vaccine certificate, which would send a strong signal of the EU’s commitment to global health and digitalisation. In the same way, the European Medicines Verification Organisation (EMVO) has been used as a model to the set-up of the Global Trust Repository for authenticity verification. An EU commitment to the GTR would promote the EU’s engagement to fight counterfeit medicines and allow to shape this nascent tool from inside through the integration of its steering committee. This would be key to promote and upscale existing European structures and networks (MEDICRIME, EMVO, MHRA, EMA...<sup>3</sup>) from the onset of the tool development.

### 5.3. Problem Analysis

With over 200 million EU vaccines to be shared by the end of 2021 and more than EUR 3 billion Team Europe pledge to COVAX, the EU is one of the lead donor and strong advocate for equitable vaccine access. However, the high inequalities raising from the current distribution of COVID-19 vaccines and other COVID technologies such as diagnostics and therapeutics widens social inequities and disparities, and the reversal of gains toward gender equality, going against the EU’s value of equity and leading to unintended consequences to be urgently tackled.

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3 MEDICRIME (Council of Europe Convention on the Counterfeiting of Medical Products and Similar Crimes involving Threats to Public Health), EMVO (European Medicines Verification Organisation), MHRA (Medicines and Healthcare products Regulatory Agency), EMA (European Medicines Agency)

Cross-border travel are depending on tests or vaccine certificates, which increases inequalities, both in health and free movement. The current status of non-recognition of the EU DCC and certificates produced in the African region risks to create a significant obstacle for the mobility of people, goods and services, with the consequence, that the EU's investment in to the economic strengthening of sub-Saharan Africa would be severely jeopardized. Therefore, the current roll-out of the EU Digital Green Certificate within Europe calls for the development of a strong international dimension, particularly with Africa.

For instance, the scarcity of vaccine doses leads to an increased reporting of counterfeit COVID-19 vaccines. The 2020 report from the Organisation for Economic Co-operation and Development and the European Union Intellectual Property Office on 'Trade in Counterfeit Pharmaceutical Products' finding that trade in falsified medicine reached USD 4.4 billion in 2016, threatening public health and safety. Africa with the highest prevalence (18.7 per cent) of falsified and substandard medicines is particularly at risk from counterfeit medical supplies and fake coronavirus 'cures'. The Global Trust Repository (GTR), promoted by international donors and UN organisations is currently developed to be a universal tool based on a unified standard. The GTR aims at enabling participating countries to manage the risk of falsified COVID 19 vaccines in their national supply chains, while setting the foundation for the establishment of national traceability systems in the long term. Thus, with the help of the GTR, countries can assess and use for verifying the validity of COVID-19 vaccines. The wider significance of the GTR and rationale for the EU to support the availability of this tool is that in future apart from tracing initially data from COVID-19 vaccine manufacturers, all medicines manufacturers can be traced and thus the quality of medicines. The EU in pursuing its strategic partnership with Africa (and also with other third countries) will need to include support to the GTR, to ensure no one is left behind.

In comparison to the substantial commitments to COVAX or to local production capacity, relatively modest financial commitments in digital health tools can enhance the result of the above mentioned programs and strengthen the Commissions' engagement of leaving no one behind.

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

**For the support to the Digital COVID Certificate external action** the main stakeholders will be the European Commission (EC), the African Union, partner countries and organisations responsible of the operationalisation of the certificate. Collaboration on this topic with EU Member States is ongoing through a Team Europe initiative, jointly set-up by the EC and Member States (through the D4D Hub – Digitalisation for Development Hub).

**For the Global Trust Repository for authenticity verification**, the main stakeholders will involve the EC, Member States (Sweden), potential participation, through the steering committee, of the European Investment Bank, the World Bank Group, UNICEF (United Nations Children's Fund), the African Union, Africa CDC (Centre for Disease Control and Prevention), Regional Economic Communities (REC), the private sector.

This action will be coordinated with other global donors programs through the 'Digital Donor Coordination for COVID' group (Global Fund, Gavi, Bill and Melinda Gates Foundation, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Foreign Commonwealth and Development Office, United Kingdom (FCDO), United States Agency for International Development (USAID) World Health Organisation (WHO), United Nations Children's Fund (UNICEF).

## 2. DESCRIPTION OF THE ACTION

### 4. Objectives and Expected Outputs

The Overall Objective (Impact) of this action is to contribute to strengthening African health systems through the availability of safe and quality COVID-19 tools.

The Specific Objectives [SO] (Outcomes) of this action are to:

1. External dimension of the DCC: Enhance certification of COVID-19 vaccination, testing and recovery status that is interoperable across regional and national systems in the AU and the EU;

2. Global Trust Repository: Strengthen authenticity and verification of non-counterfeit health products in Africa.

The Direct Outputs [DO] are:

### **Contributing to Outcome 1:**

- 1.1 Enhanced capacity of EU compliant DCC at national level in Africa
- 1.2 Strengthened capacity for EU compliant national/sub-regional systems across continental Africa harmonised

### **Contributing to Outcome 2:**

- 2.1. Enhanced capacity of the Global Trust Repository for authenticity verification to detect counterfeit COVID-19 vaccines
- 2.2 Capacity for detection of counterfeit medicines and other health products in the long term at country/regional level enhanced

## **5.4. Indicative Activities**

### **Activities related to Output 1.1**

- Conduct gender-sensitive assessment of pre-existing national systems recording data on vaccination, testing and recovery from covid-19 status.
- Funding technical assistance for the deployment of EU DCC systems at national level.
- Funding establishment of EU DCC system at multi-country level, as necessary.

### **Activities related to Output 1.2**

- Conduct gender-sensitive assessment of harmonisation needs for pre-existing and new national systems recording data on vaccination, testing and recovery status at sub-regional/regional level.
- Establish close coordination mechanisms with Africa CDC to deploy EU compliant interoperable DCC system at sub-regional/regional level

### **Activities related to Output 1.3**

- Establishment of Reciprocal Trust Exchange mechanism between EU and AU

### **Activities related to Output 2.1:**

- Establish close coordination mechanism with GTR Steering Committee
- Conduct gender-sensitive assessment of pre-existing national logistics management and information (LMIS) systems

### **Activities related to Output 2.2:**

- Conduct assessment of needs and pre-existing systems for detection of counterfeit medicines and other health products
- Establish coordination mechanism with the COVID-19 Digital Health Centre for Excellence (DICE) for the provision of technical assistance
- Support establishment of national system for detection of counterfeit medicines and other health products
- Support interoperability of pre-existing systems with GTR at multi-country level.

The commitment of the EU's contribution to the Team Europe Initiative foreseen under this annual action plan will be complemented by other contributions from Team Europe partners. It is subject to the formal confirmation of each respective partners' meaningful contribution as early as possible. In the event that the TEIs and/or these contributions do not materialise the EU action may continue outside a TEI framework.

## 5.5. Mainstreaming

Mainstreaming in AAP is very general and provided possibly before the mandatory analysis at action level are realised. This sections is based on the mainstreaming annex. We suggest to keep it.

### Environmental Protection & Climate Change

**Outcomes of the SEA screening** –no further action was required.

**Outcomes of the EIA (Environmental Impact Assessment) screening** Category C (no need for further assessment).

**Outcome of the CRA (Climate Risk Assessment) screening** No or low risk (no need for further assessment).

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### Gender equality and empowerment of women and girls

This action is labelled as G0 as this action is oriented mainly to create or improve online platforms. However, the action will still be gender sensitive, to ensure it avoids worsening gender differences, with the aim to exclude potential biases from digital design. Assessments will be gender sensitive and integrate the Human Rights Based Approach to ensure at least a “do not harm approach”.

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### Human Rights

This action will systematically, in particular through gender sensitive and from a human based approach assessment, seek to contribute to reduce the divide across societal categories and geographic dimensions. It will provide new tools for inclusive and equitable growth and overall improvement of human rights, including for women, youth and people with disabilities. Right to privacy, cyber-security should also be upheld. EU Standards (GDPR) will be followed.

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### Disability

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0 (not targeted).

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### Democracy

Attention will be paid to ensure democratic values are upheld.

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### Conflict sensitivity, peace and resilience

Not addressed by the action.

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### Disaster Risk Reduction

The action directly contributes to minimising hazards of falsified and counterfeit medicines and spread of infectious disease, thus reducing the risk of outbreaks, epidemics and antimicrobial resistance.

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### Other considerations if relevant

N/A

## 5.6. Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
Project management: Regional approach related to the DCC	Diversity of country regulations not harmonized at country/regional level	low	medium	Countries need to comply to the EU DCC standards and regulations. Adequacy decision will not be granted if standards are not align.

Inequalities: Exclusively digitised vaccine registration systems could risk perpetuating exclusion of vulnerable populations	Gaps in digital literacy and those with limited access to digital infrastructure or smartphones are not able to obtain their DCC	<b>medium</b>	<b>medium</b>	The DCC will include a paper-based option that will enable vulnerable populations with limited access to digital resources to obtain their certificate.
EU standards: Vaccine acceptance by EU vis a vis vaccines used in Africa	Vaccines applied in SSA not being recognized by EU	<b>medium</b>	<b>medium</b>	Issues in mutual recognition of vaccines used in Africa will be addressed and solved between stakeholders including EU institutions (EMA, ECDC)
EU Standards: Verification certificate and trust repository	Setting up EU repository risking non-compliance with third country platforms	<b>low</b>	<b>medium</b>	Through negotiations in the GTR Steering Committee and other for a and with the involvement of EU institutions, non-compliance issues will be resolved

#### **Lessons Learnt:**

The EU Digital Covid Certificate (EU DCC) is ongoing since the first half of 2021 and the lessons to be learned related to the EU DCC may address the need of a necessary close cooperation between the EU and third countries, several of whom have already approached the EU for the validation of their vaccination certificates. It will be imperative to explore modalities of a standardized and mutually recognized EU DCC to enhance global public health, economic recovery and free movement of people in the post Covid era.

Vaccines against COVID-19 have been introduced not even a year ago, and lessons learned are slowly emerging and lessons to be learned in future are becoming very clear related to the production of counterfeit medicines. In March 2021, the World Health Organisation issued a strong warning against counterfeit vaccines sold on the dark web and urged people to buy vaccines only from government-run programs, as “any vaccine outside these programs may be substandard or falsified, with the potential to cause serious harm,”<sup>4</sup> As the COVID vaccine market is worth at least USD 150 billion, countries all over the world are reporting the sale of fake, or misleadingly labelled, vaccines. Counterfeit COVID vaccines are part of the rapidly increasing worldwide trade in fake medicines that poses a grave threat to health. The highest risk – according to UNICEF<sup>5</sup> - for the distribution of counterfeit vaccines is in low- and middle-income countries national supply chains, where governance structures and traceability systems are non-existent or not fully mature, and tools and technical capacity to ensure good practices in manufacturing, quality control and monitoring of distribution chains is limited.

In December 2020 the OECD published an editorial, highlighting that even before the COVID-19 pandemic, “... global illicit trade was already booming from an array of trafficking and smuggling crimes. COVID-19 has accelerated illicit trade across the Internet on social media, e-commerce platforms, and online marketplaces, alarming law enforcement and broader communities in many parts of the world.”<sup>6</sup>

### 5.7. The Intervention Logic

<sup>4</sup> <https://www.cnn.com/2021/03/26/who-warns-against-sales-of-counterfeit-covid-vaccines-on-the-dark-web.html>

<sup>5</sup> [file:///C:/Users/Mein%20PC/Downloads/Annex%20B\\_Global%20Trust%20Repository%20-%20ToR%20\(1\).pdf](file:///C:/Users/Mein%20PC/Downloads/Annex%20B_Global%20Trust%20Repository%20-%20ToR%20(1).pdf)

<sup>6</sup> <https://www.oecd.org/gov/illicit-trade/summary-note-covid-19-vaccine-and-the-threat-of-illicit-trade.pdf>

The underlying intervention logic for this action is confirming the EU commitment to tackle the COVID-19 pandemic and strengthen the health systems in sub-Saharan Africa, with actions ranging from securing and sharing vaccine doses, detecting counterfeit vaccines to inclusively registering vaccine, test or recovery status of citizen through an open source global public good. This action constitutes a first concrete deliverable on the 4th pillar of external dimension of the Digital Compass communication, through the Digital Health Team Europe Initiative, with a joint contribution to the Global Trust repository for authenticity verification, together with Sweden and a potential contribution of the EIB.

The Digital COVID Certificate will provide the unique opportunity and strong signal of the EU's engagement in digital health at global level. It will allow to set EU based standards and tools as global standards in all partner countries, while at the same time ensuring technical assistance and interoperability to countries which may choose different verification certificates. Thus, this action will support the operationalization of the external dimension of the EU DCC. It will also enhance the capacity of countries in sub-Saharan Africa to deploy EU compliant DCC at national level. By this scale-up of the EU DCC and enhancing its interoperability in Sub-Saharan Africa will also enable the political, economic and cultural cooperation between the EU and the AU to gain a sustainable momentum.

Through the provision of technical assistance and financial support to the establishment of EU compliant country platforms and certification, this action will enhance the establishment of COVID status certification in Africa, increase and facilitate the interoperability of the tools with the EU DCC, hence re-establish mobility and trade across countries in Africa and between the EU and the AU, whilst limiting cross-border transmission of the virus. Moreover, this action could be a first building block for the innovative use of digital technologies for health thus contributing to the health systems digitalisation and strengthening - a priority under the EU – Africa partnership.

The Global Trust Repository for authenticity verification (GTR), based on the European Medicine Verification Organisation standards, will support a system for the detection of counterfeit vaccines, both for COVID-19 vaccine deployment in the short term and for the European Union's goal to increase local production and ensure quality of medical products in the medium to long term. This action will enhance the capacity of the GTR and expand its capacity for the detection of vaccines and also other health products at multi-country/regional levels.

Through the provision of capacity and financial support for the development of country platforms for the detection of counterfeit medicines, this action will enhance the connectivity and interoperability of national detection systems with the global trust repository. The action will contribute to the digital transformation of healthcare, to the regulatory system strengthening and will be synergistic with the actions facilitating health products manufacturing and effective use.

## 5.8. Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.



Results	Results chain (@): Main expected results (maximum 10)	Indicators (@): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
Impact	African health systems are strengthened through the availability of safe and quality COVID-19 tools.	Incidence of COVID-19 infections in Sub-Saharan African countries (average per region) (gender disaggregated)	1 - TBD	1 – X decreased COVID-19 incidence by x% over 2 years	1 Reports from Africa CDC 'ACDC)	Not applicable
Outcome 1	1.1 External dimension of the Digital COVID-19 Certificate (DCC): The certification of COVID-19 vaccination, testing and recovery status that is interoperable across regional and national systems in the AU and the EU is enhanced	1.1 Number of countries with an interoperable DCC  1.2 Number of DCC's scanned in EU and AU countries participating  1.3 Number of national DCC platforms connected to African Union Digital Certificate (AU DC)  1.4 Level of functionality of Coordination mechanism with Africa CDC established	1.1- 0  1.2 - 0  1.3-0  1.4 -0	1.1 – X countries with DCC deployed (tbd during inception)  1.2 TBD during Inception, disaggregated by sex  1.3 X national DCC platforms connected to AU DCC  1.4 X agreements/Memoranda of Understanding (MoUs) with ACDC	1.1 Country progress reports  1.2 Internal commission data through the EU DCC Functional Mail Box  1.3 Reports from ACDC  1.4 Country progress reports	Countries and regions are prepared to adjust their laws and regulations to enable the adaptation process of respective platforms to the DCC and report regularly on the roll-out of the programme.
Outcome 2	2. The Global Trust Repository: Authenticity and verification of non-counterfeit health products in Africa are strengthened.	2.1 Number of additional countries with established detection system from the onset of the action  2.2 Number of countries connected to the GTR  2.3 Proportion of non-counterfeit medical products in partner countries	2.1 - 0  2.2 – 0  2.3 - 0	2.1 X countries established a national detection system  2.2 X countries connected to the GTR  2.3 increase of X % of non-falsified medical products within 2 yrs	2.1 Annual reports from implementing partner  2.2 Annual reports from implementing partner  2.3 Reports from national medicines agencies	Access to all health products is ensured and countries and regional bodies are closely cooperating and coordinating and sharing their relevant data.

<b>Output 1 related to Outcome 1</b>	1.1 Enhanced capacity for deployment of EU compliant DCC and gender-sensitive at national level in Africa	1.1.1 Number of national DCC platforms established/operational attributed to this action (gender-sensitive)	1.1.1 - 0	1.1.1 X national DCC platforms funded	1.1.1 Bi-annual report of implementing partner	National institutions have adjusted their regulatory frameworks to deploy EU compliant DCC and have upgraded their institutional capacities to ensure harmonization and interoperability. Countries and sub-regional systems are closely cooperating.
	1.2 Strengthened capacity for harmonisation and interoperability of national/sub-regional systems across continental Africa with EU DCC	1.2.1. Number of countries receiving technical assistance for deployment of DCC at national level attributed to this action	1.2.1 - 0	1.2.1 X countries connected to the EU Gateway	1.2.1 Internal EC data/ implementing partner reports	
	1.3 Adequacy decisions for EU compliance as necessary are established	1.3.1 Number of EU adequacy decisions drafted with support of the EU-funded intervention	1.3.1 - 0	1.3.1 - X positive adequacy decisions	1.3.1- Internal EC data	
	1.4 Level of functionality of Coordination mechanism with Africa CDC established	1.4.1 Approved coordination mechanism by the EU and the AU	1.4.1 - Draft proposal	1.4.1 Coordination mechanism with Africa CDC established	1.4 Internal EC/ACDC data	
<b>Output 1 related to Outcome 2</b>	2.1 The capacity of the 'Global Trust Repository (GTR) for authenticity verification' to detect counterfeit COVID-19 vaccines that is interoperable is enhanced.	2.1.1 Number of countries receiving technical assistance for deployment of GTR	2.1.1 X countries receiving technical assistance for deployment of GTR	2.1.1 - TBD in Inception	2.2.1 - Country progress reports, Reports from implementing partner	Countries and regions have adapted their regulatory systems and are willing to share data on counterfeit products. Countries and regions have strengthened their medicine regulatory agencies/institutions to enable comprehensive medical product registration and reporting
	2.2 The capacity for the detection of counterfeit medicines and other health products (serving the needs of both girls/women and boys/men) in the long term at multi-country/regional levels is enhanced.	2.2.1 The number of counterfeit health products (vaccines, medicines) in partners countries detected.	2.2.1 - TBD	2.2.1 - TBD in Inception	2.2.2 - Country progress reports, Reports from ACDC	

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### 3. IMPLEMENTATION ARRANGEMENTS

#### 5.9. Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement.

#### 5.10. Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 2 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of the adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

#### 5.11. Implementation of the Budget Support component

N/A

#### 5.12. Implementation Modalities [applicable for Project modality or for complementary support to a BS]

The Commission will ensure that the EU appropriate 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>7</sup>.

##### 5.12.1. Direct Management (Procurement)

###### **Service contract:**

**(a) Purpose of the service contract(s):** The service contract will contribute to the deployment of the EU DCC and ensure the external dimension of the tool is strengthened.

The contract will contribute to achieving the set-up of COVID certificate in partner countries, ensure interoperability of pre-existing country systems in Africa where possible and streamline the equivalence decision requests through regional channels.

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

The applicants targeted are ICT companies with experience in the deployment of digital certificates and trust gateways.

##### 5.12.2. Indirect Management with an international organisation.

A part of this action (Specific Objective 2: Global Trust Repository) may be implemented in indirect management with an International Organisation, which will be selected by the Commission's services using the following criteria: full five pillar assessment, regional outreach, operational capacity to deliver the project at regional level with relevant health and ICT competences, engagement in the fight against counterfeit medicines.

The implementation by this entity entails the completion of assessment of needs and pre-existing systems for detection of counterfeit medicines and other health product; establishing coordination mechanism with the COVID-19 Digital Health Centre for Excellence (DICE) for the provision of technical assistance; supporting the establishment of national system for detection of counterfeit medicines and other health products and supporting interoperability of pre-existing systems with GTR at multi-country level.

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<sup>7</sup> The list of EU restrictive measure (sanctions) is reflected in the [www.sanctionsmap.eu](http://www.sanctionsmap.eu). Note that the sanctions map is an IT tool for identifying the sanctions regimes. The Official Journal of the European Union is the official source of European Union law and, in case of conflict, its content prevails over that of the Sanctions Map.

5.12.3. Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances (one alternative second option)

If, due to reasons outside the control of the Commission, the implementation modality foreseen in section 4.4.1 is not possible (procurement), the expected financing could be implemented through a possible indirect management with a pillar assessed organisation or with an EU MS.

If the implementation modality foreseen in section 4.4.2 (Indirect management with an international organisation) is not possible, indirect management will be set-up with another pillar assessed entity.

5.13. 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, subject to the following provision.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

5.14. Indicative Budget

Indicative Budget components <sup>14</sup>	EU contribution (amount in EUR)
<b>Implementation modalities</b> – cf. section 4.4	
<b>Objective 1 External dimension of the EU DCC</b> composed of	
Procurement (direct management) – cf. section 4.4.1	15 000 000
<b>Objective 2 Global Trust Repository</b> composed of	
Indirect management with International Organisation – cf. section 4.4.2)	2 000 000
<b>Evaluation</b> – cf. section 5.2	will be covered by another Decision
<b>Audit</b> – cf. section 5.3	
<b>Communication and visibility</b> – cf. section 6	0
<b>Contingencies</b>	0
<b>Totals</b>	17 000 000
<i>(Direct Management: total envelope under section 4.4.1: EUR 15 000 000)</i>	
<i>(IM: total envelope under section 4.4.2: EUR 2 000 000 )</i>	

## 5.15. Organisational Set-up and Responsibilities

The African countries and Regional authorities' request to link to the EU DCC external dimension will be managed through the pre-established functional mailbox and committee and will process the requests for equivalence decision. The contracted provider will ensure the deployment of the digital tool in partner countries. To do so, they will be responsible of liaising with relevant EU and AU stakeholders at continental, regional and national level. They will be responsible of setting-up relevant platforms at regional and country level and make the system accessible and user friendly for end-users. They will be responsible of testing the interoperability of the AU-EU tools and monitor and guarantee the safety, the cybersecurity and functionality of the tool.

As part of its support to the Global Trust Repository, the EC expects to take a seat in the GTR Steering Committee, where key governance decisions related to the implementation of the tool will be taken. At this stage, Sweden is part of the GTR, steering committee. The international organisation will be responsible for the deployment of the digital tool at multi-country level ensuring interoperability with the Global Trust Repository. The international organisation will also ensure interoperability is established between the GTR and the pre-existing national systems. The international organisation will be in charge of liaising with relevant stakeholders in country and at regional and global level.

Relevant regional bodies will be consulted for the two actions and relevant accountability frameworks will be discussed/established where relevant.

This action will be coordinated through the pre-established weekly 'Digital Donor Coordination for COVID' working group (Global Fund, Gavi, Bill and Melinda Gates Foundation, GIZ, FCDO, USAID, WHO, UNICEF).

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

## 4. PERFORMANCE MEASUREMENT

### 5.16. Monitoring and Reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (Outputs and direct Outcomes) as measured by corresponding indicators, using as reference the logframe matrix.

The 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).

Roles and responsibilities for data collection, analysis and monitoring:

The reporting will be done by the implementing partners for the DCC and the GTR. In the case that the implementing partner cannot undertake the monitoring and reporting, ROM will perform the relevant data collection and reporting, which will be covered in another decision.

Regular meetings with implementing partners will be organised to ensure the milestones are met and stakeholders' needs are taken into account and objectives fulfilled.

For the external dimension of the DCC, monthly updates will be organised with the contractor to ensure milestones are met and troubleshooting is ensured.

For the GTR, monthly meetings through the steering committee will allow to follow the programme development and implementation. In addition, monthly calls with the international organisation will be organised with relevant counterpart in Africa to ensure the smooth deployment of the tool and its uptake.

During the inception phase, baselines and targets will be reassessed and/or developed.

### 5.17. 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, taking into account in particular the fact that the action will be implemented at the level of the AU, regional and country level.

The Commission shall inform the implementing partner at least 60 days in advance of the dates envisaged for the evaluation activities. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner countries and other key stakeholders following the best practice of evaluation dissemination<sup>8</sup>. 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

### 5.18. ● 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 audit or verification assignments for one or several contracts or agreements.

## 6. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt 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.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

<sup>8</sup> See best [practice of evaluation dissemination](#)

*Working draft*



## **Action Document for Investments in Regional Infrastructure**

### **a. Summary of the Action**

The overall objective of the action is to contribute to sustainable and inclusive economic development and regional economic integration in Sub-Saharan Africa, by leveraging financing for investment projects in sustainable infrastructure. The action will support key investments in the energy, digital and transport sectors, thereby improving regional interconnection, basic infrastructure services, and, ultimately contributing to reduce the price paid by consumers for basic sectors' services.

Overall, the action concurs with the objective of boosting strategic investments as foreseen by the new Africa-Europe Alliance for Sustainable Investment and Jobs<sup>9</sup> as the programme should encourage investments from private actors in core sectors for economic growth and decent job creation. It will aim at the same time at implementing the Green Deal in its external dimension for what concerns the decarbonization of energy production and transport operations, together with the safeguard of African environment and biodiversity.

In the area of sustainable energy, the action will support the green energy transition with a focus on blending investments in the areas of renewable energy generation, energy distribution, energy market integration and access.

In the area of digital transformation, the action will support investments in digital infrastructure, including resilient and secure connectivity networks as well as advanced regional data infrastructure with a view to narrow the persisting digital divide between countries and regions in Africa as well as increasing the continent's connections to the international internet backbone and to Europe.

In the area of sustainable transport and mobility, the move towards integrated, sustainable, smart and safe multi-modal transport corridor development along priority trade corridors that can best maximise EU-Africa and intra-Africa interlinkages will be supported by the action. It will entail investment and governance actions to ensure both quantity and quality dimensions according to the G20 agenda on quality infrastructure investment. In particular part of the action foresees the continuation of EU support to the ongoing Africa Transport Policy Programme (SSATP).

The action will mainly be implemented through a contribution to the European Fund for Sustainable Development Plus, through the envisaged Africa Investment Platform (EFSD+ AIP), to support blending infrastructure investments. Individual projects will be implemented in indirect management with the recognised Lead Finance Institutions.

The proposed methodology for the identification of investments will take climate, environmental and biodiversity elements as the strategic planning elements, as well as the most accurate information on risk of conflict and natural disasters. Those elements, together with economic, social and technical data, will inform all strategic decisions since the inception of the action. The criteria guiding those decisions will include environmental sustainability, climate neutrality, fair and equitable economic growth, fragility and resilience as well as democratic principles and human rights in the mutual African and European interests.

In projects identified by the European Commission (e.g.: infrastructure lying on continental corridors) that are not necessarily on the priority list of international financial institutions (IFIs) or in other ad-hoc cases, it is proposed to foresee a budget allocation for feasibility and preparatory studies which will not be subject to the approval circuits used by blending facilities. These studies will be implemented in indirect management via contribution agreements with selected IFIs.

This implementation shall guarantee bankable interventions attracting further investments in alignment with European and African interest, thus preventing unsustainable exploitation of African resources..

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<sup>9</sup> COM/2018/643 final

## • RATIONALE

### b. Context

Africa has been recording a steady economic growth over recent years. However, a number of challenges persist including political instability, conflicts and security issues, recurrent and protracted food crises, climate change, environmental degradation and biodiversity loss, as well the detrimental impact of the COVID pandemic. Almost 400 million people live below the poverty line across the continent and lack access to basic health, education and nutrition services, while inequality and governance challenges have not allowed for an inclusive growth. Rapid and continuous population growth puts additional pressure on natural resources, the labour market and service delivery.

The EU calls for a strategic partnership with Africa to tackle together these emerging challenges and to pursue common interests. The Multi-Annual Indicative Programme for Sub-Saharan Africa (regional MIP) will contribute to this objective, in full coherence with the United Nations 2030 Sustainable Development Agenda.

By contributing to the development of resilient continental/inter-regional infrastructure for energy networks (including production, transmission and distribution), digital networks (resilient and secure connectivity as well as advanced regional data infrastructure) and transport multimodal networks, the action will foster the critical role of infrastructure in supporting the aspirations of the African Union Agenda 2063. It has a particular relevance for the continental integration process and the implementation of the African Continental Free Trade Agreement, the regional economic integration processes and the promotion of the European Partnership Agreements.

It will notably contribute to the objectives of the Programme for Infrastructure Development in Africa (PIDA) by supporting the development of Africa's productive basic infrastructure, using projects identified by the Priority Action Program n 2 (PAP2) as reference where possible while not being constrained by them when European Commission methodology suggests otherwise.

In the energy sector, the action will contribute to the creation of a coherent continental energy transition framework compatible with the African Single Electricity Market, the ongoing Continental Electricity Transmission Masterplan of the African Union Development Agency-New Partnership for Africa's Development (AUDA-NEPAD), countries' NDCs (Nationally Determined Contributions) and the Green Deal principles encompassing energy market reforms and regulation towards energy transition and a more conducive business environment for energy investments. It will strengthen supra-national electricity markets, provide the necessary infrastructure and enable renewable generation capacity in wind, solar, hydropower, etc., combined with interconnection infrastructure and energy storage towards decarbonisation of the energy mix, crowding out of fossil fuels and enabling penetration of more renewable energy.

Concerning digital connectivity, the action will enable the EU and Africa to partner on strategic interests and core values for the digital age and to deliver against the priorities of the Africa Single Digital Market and to the 'Digital Connectivity for Global Europe' initiative (as proposed in the Digital Compass Communication). In this context, the action will in priority aim at narrowing the persisting digital divide between countries and regions in Africa as well as increasing the continent's connections to the international internet backbone and to Europe.

In the transport sector, a limited number of strategic multimodal transport corridors will be supported, including urban mobility in centers along them. By promoting the 'dig once' principle, investments in transport corridors will also inform the identification of priority actions in energy and digital connectivity, while interventions in those two sectors will have room to follow different patterns specific to their domains.

On top and vis-a-vis above quantity perspectives, the shaping of smart, sustainable and inclusive African transport policies will be continued from a quality infrastructure soft perspective, by support to the ongoing Africa Transport Policy Programme (SSATP) with the collaboration of the World Bank, in partnership with the African Union Commission.

In the three sectors described above the EU will support a pipeline of bankable and sustainable infrastructure projects based on inclusive impact, through a strategic and methodical identification of actions, in close consultation with EU Member States and development financial institutions (DFIs) and in dialogue with African countries, the African Union and other relevant stakeholders including the African and the EU private sector, thereby offering an alternative to the Chinese approach based on short-term priorities and inequitable access to resources. Investments in infrastructure under national indicative programmes of Sub-Saharan African countries concerned by continental

corridors and investments will likewise contribute to the regional and multi-country initiatives supported under this regional programme.

### c. Problem Analysis

#### Energy sector

Sub-Saharan Africa remains the world's region with the largest 'access to energy' deficit: about 600 million people are lacking access to electricity and 850 million do not have access to clean cooking facilities. The potential of Africa's renewable energy sources (wind, solar, hydropower, etc.) is high and largely underexploited. Deforestation, forest degradation, and indoor air pollution due to wood-fuel cooking needs are major concerns and need to be simultaneously addressed by providing alternative energy solutions for cooking. Access to affordable, reliable, sustainable and efficient energy services is a prerequisite and an enabler for Africa's economic and social development. Fighting energy poverty is key to address inequalities, poverty eradication and sustainable development. Moreover, decentralised renewable energy solutions, such as mini-grids, off-grid solar and clean cooking are an important driver of energy access on the continent, especially in rural areas. In addition, electricity grids of African countries need to be better interconnected at national and supra-national levels to improve energy security, affordability, and energy markets integration.

Considering that a harmonised approach within and across countries is indispensable to scale-up transformative investments, this component embraces a multi-tier perspective, cascading action on the continental level down to African regions and individual countries, using regional actions in order to complement and support in-country efforts by addressing cross-border challenges that are recurrent and non-country specific.

The EU will support fight against energy poverty in Sub-Saharan Africa by contributing to enhanced renewable energy production (including decentralised solutions), energy systems and standards harmonisation, in particular through the African Power Pools, trans-border energy interconnectivity, energy efficiency, storage, and distribution. Actions will include support to investments (blending, de-risking) supporting key regional energy projects for energy production based on renewable energy sources (hydropower, solar, wind, geothermal, etc.) and regional transmission corridors and interconnections. In addition, the EU will support regional actions addressing the challenge of clean cooking. The support to sustainable energy is instrumental to enabling sustainable growth and job creation alongside digitalisation, agriculture/irrigation/water-, environment, transport, health, industrialisation, etc. The potential of renewable energy and energy efficiency measures will be exploited to develop a sustainable industrialisation of the continent. This could translate into supporting the development of renewable hydrogen production and applications.

Main stakeholders identified for this part of the action are ministries, regional power-pools, AU and Regional African institutions, as well as International Financial Institutions, energy producers, off-takers, private sector including medium and small enterprises (MSMEs) as entrepreneurs and beneficiaries, local communities, municipalities and the civil society.

#### Digital transformation

Digital connectivity constitutes the foundation of the digital economy and society and is a key driver for regional economic integration and economic growth. While there is a continuous increase in bandwidth demand, which has been further accelerated by the COVID-19 pandemic, Sub-Saharan Africa remains the world's least connected continent. The digital divide is also apparent between countries and regions in Sub-Saharan Africa with low intra-regional traffic and significant bandwidth disparities between landlocked and coastal countries. The connectivity gap is primarily driven by a lack of investments in digital and data infrastructure, particularly in less densely populated countries and less developed markets. Moreover, many countries and regions lack harmonised regulatory frameworks for connectivity markets, hampering the development of regional internet networks. As a consequence, the digital divide continues deepening, risking to amplify existing social and economic inequalities between African countries as well as between Sub-Saharan Africa and the rest of the world. Investing in digital infrastructure will contribute to address this situation. At the same time, increasing intra-regional internet traffic will also be key for driving African Free Trade Agreements with eCommerce taking an increasingly pivotal role in the expansion of regional trade. Importantly, the EU's geopolitical competitors have already started filling investment voids, with Chinese supplied 4G infrastructure estimated at 70 % on the continent. This trend poses a significant risk to both the EU's geostrategic interests and core values, as China technologies are accompanied by a digital model based on state surveillance and control.

Main stakeholders are AU Member States (Ministries), African Union Commission and African Regional Economic Communities (RECs), bilateral development banks in EU Member States, European development finance institutions as well as regional and multilateral development banks, private sector operators (such as internet service providers, content delivery networks, cloud and SaaS providers, equipment providers), civil society and academic institutions.

#### Transport Sector

Transport connectivity plays an essential role for economic recovery from COVID19 shocks and towards the achievements of the SDG and Paris Agreement targets. It is a key driver for the operationalisation and success of the African Free Trade Agreements and has become of major geostrategic importance for trade, growth and the economy overall. The lack of territorial access to the sea and the remoteness from world markets of certain countries are significant obstacles for many African development efforts. Inter- and intra-African trade not only suffers from incomplete transport networks and overdependencies on the road transport sector, but also from sector inefficiencies arising from trade and transport facilitation matters, network and asset management, lacking integrated multi-modal transport approaches, network reliability and resilience, safety, lack of data, digitalisation etc.

The proposed strands of action will aim at overcoming the aforementioned obstacles that undermine Africa's efforts towards a successful operationalisation of the Africa Free Trade Agreements. In so doing, the action will engage into strategic multi-modal and climate compatible corridor investments in line with both African and EU interests, in coherence Africa's Programme for Infrastructure Development (PIDA) for the period 2021-2030. The action will help shaping Africa's transport policy and sectoral governance

Key stakeholders for the action are the African Union Commission and NEPAD/AUDA in view of their mandate of continental strategic transport network and policy planning; Regional African Communities (RECs) responsible for strategic network development, policy, regulations and planning to boost trade and growth dimensions; national ministries and institutions (including port and rail authorities) responsible for the implementation at national level of regional priorities, policy and regional legislation/regulations; urban authorities in view of urban corridor connection challenges; the private sector (including MSMEs) to be encouraged by investment opportunities and conducive sectoral environments, including freight transport and logistics associations given their important role to shift from roads to rail and maritime/inland waterways transport; corridor authorities and observatories in charge of responding to corridor efficiency challenges and civil society, with a special focus on women as concerns the potential of smart and sustainable transport solutions for job creation, access and overall the addressing of inequalities.

#### d. Additional Areas of Assessment [For Budget Support Actions only]

N.A.

### • DESCRIPTION OF THE ACTION

#### e. Objectives and Expected Outputs

The Overall Objective (Impact) of this action is to provide Sub-Saharan Africa with blended investments and supporting expertise to deploy infrastructure necessary for its sustainable development and continental integration.

The Specific Objectives (Outcomes) of this action are to

3. Support efficient, sustainable and resilient investments in the energy sector,
4. Enhance equitable access to affordable, secure and quality digital and data infrastructure
5. Support sustainable intra-African transport and mobility.

The Outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are

Energy sector:

- 1.1 Installed renewable energy capacity is increased and its share in the total energy production is promoted
- 1.2 Higher trans-border energy interconnectivity, energy efficiency, storage, and distribution are promoted
- 1.3 Higher access to cleaner and more sustainable energy is promoted

Digital sector:

- 2.1 Increased international bandwidth and connectivity links are promoted in line with the global EU and Africa strategies on digital connectivity
- 2.2 Trans-border connectivity links and intra-African internet traffic and data flows are promoted.

2.3 National digital infrastructure which serve a regional approach are supported

Transport and mobility sector:

3.1 Sustainable regional and multi-country infrastructure for land, air, and water transport is reinforced, increasing both intra-African and EU-Africa connectivity.

3.2 Sectoral governance is strengthened in African countries and regions.

#### f. Indicative Activities

Activities related to Specific Objective 1 (outputs 1.1 to 1.3)

Main activities include the launch of blending operations with IFIs to deploy infrastructure investments in energy generation from renewable sources as hydropower, solar, wind and others, including decentralised solutions, energy connectivity such as transmission and distribution, trans-border energy interconnectivity, smart energy infrastructure and storage, renewable hydrogen infrastructure, energy efficiency, etc. Priority will be given to sustainable energy generation (hydropower, solar, wind, etc.), regional energy transmission corridors, smart energy solutions and clean cooking.

Activities related to Specific Objective 2 (outputs 2.1 to 2.3):

In order to increase Africa's access to bandwidth, the action will launch of blending operations with IFIs to deploy infrastructure investments in international digital connectivity infrastructure (such as submarine cables, including purchase of Indefeasible Rights of Use for research and innovation purposes, landing stations and satellites), regional internet backbones (i.e. terrestrial fibre optic cables) and connecting missing links between countries, regional data infrastructure (i.e. data centres, Content Delivery Networks, Internet Exchange Points), leveraging a mix of technologies such as Wi-Fi, satellite, and DSL.

Activities related to Specific Objective 3 (outputs 3.1 to 3.2):

Similarly, blending operations will be launched with IFIs to deploy infrastructure investments in priority trade corridors. At the same time continued EU support to the ongoing Africa Transport Policy Program (SSATP) is foreseen to assist shaping the African transport policies with the collaboration of the World Bank, in partnership with the African Union. In line with

For investments under each sector, preparatory measures (studies, assessments, technical assistance (TA), etc) may be implemented, ensuring the readiness of projects as well as the long term quality, sustainability and impact of the investments.

Activities related to Outputs 1.1 to 3.1 will be made possible by the implementation of feasibility studies as preliminary step before the formulation and submission of a blending proposal. The reason behind de-coupling feasibility studies from investments is the need to cover the costs of the formers on projects identified by the EC (e.g.: infrastructure lying on continental corridors) not necessarily on the IFI's priority list. The activities covered by contributions agreements at early stages are necessary to determine the resources needed for the investments. Implementing partners for such studies will be selected within pillar assessed institutions, on the basis of their expertise in the specific sector and specific geographic area, as well as their expressed potential interest in the follow-up investment.

Activities related to Output 3.2 will consist in the continuation and expansion of the SSATP program on the whole SSA Africa. The SSATP has been for the past years the key program to introduce in several African countries and regions the first organic transport policies and has served as a starting point for the drafting of regional standards on transport and trade and to boost the connectivity agenda for regional integration. Its continuation through the World Bank is hence fundamental to provide the policy and regulatory context for long-lasting intra-African infrastructure for land, air, and water transport including the notion of road safety, urban mobility and the functionality of urban nodes as well as the key issue of asset preservation and maintenance.

The World Bank has been selected as implementing entity because of the positive assessment by EC services of the SSATP: over more than 30 years, the "Africa Transport Policy Program" - SSATP, formerly called "Sub-Saharan Africa Transport Policy Program", has been shaping African sound transport policies. It has gained the confidence of high-level policy makers such as the African Union Commission (AUC), Regional Economic Communities (RECs) and national governments, the community of transport practitioners across Africa, and the development partner community. SSATP has been a major contributor to the Task Forces on connectivity and road safety under the Africa-EU Alliance in 2019 and respective recommendations for future EC cooperation in transport domains across the African Continent. The European Commission has a long-standing excellent experience in contributing to the SSATP as key financier in support of the program's previous development plans DP1 to DP3, with DP3 to be completed by end of 2021. Other key financiers are the Swiss State Secretariat for Economic Affairs (SECO), the Agence Française de Développement (AFD), the African Development Bank (AfDB) and the World Bank. The European Commission

is a member of the SSATP Executive Committee that is spearheaded by the AUC with the support of UNECA (United Nations Economic Commission for Africa).

The mission of the SSATP is in full coherence and complementarity to the objectives of the 2019 Comprehensive Strategy for Africa, the 2020 European Green Deal and the 2020 European Smart and Sustainable Mobility Policy as concerns the role of sustainable transport & connectivity for the operationalization and success of the African Free Trade Agreements and the more than ever needed strands of actions for sectoral governance and institutional capacity for ensuring investments to yield. Under the upcoming development phase DP4 - as from 2022 - the SSATP will engage in domains of regional connectivity (trade and transport facilitation), urban nodes (linking cities to corridors), road safety and network asset management with a focus on asset preservation. SSATP activities follow the policy development cycle regarding knowledge creation and dissemination, advocacy, knowledge application etc. The value added of the SSATP towards the implementation of the EU strategic multi-modal transport corridor approach implemented by a mix of governance and investment support is thus essential as it strongly anchors the policy, regulatory and skills development dimensions as well as G20 Quality Infrastructure principles and good practices in the EU response.

The commitment of the EU's contribution to the Team Europe Initiative foreseen under this annual action plan will be complemented by other contributions from Team Europe partners. It is subject to the formal confirmation of each respective partners' meaningful contribution as early as possible. In the event that the TEIs and/or these contributions do not materialise the EU action may continue outside a TEI framework.

#### g. Mainstreaming

Partner countries and financial institutions will have to ensure that all projects respect EU principles, in terms of environmental, fiscal, economic and social impact, such as gender equality, indigenous people's rights, governance, impact assessments, public procurement, state aid, and equal opportunities. All activities must also respect the principles of sound financial management with effective and proportionate anti-fraud measures as well as good governance and human rights.

#### **Environmental Protection & Climate Change**

The whole methodology to select investments for transports will be based, inter alia, on environmental, biodiversity, climate and fragility/conflict related indicators. This assures those aspects are mainstreamed already in the strategic selection of transport corridors that will also help identify interventions in digital and energy sectors<sup>10</sup>. This action will contribute to the upcoming Africa-Europe Green Energy Initiative<sup>11</sup>. The initiative is building on the recommendations of the Africa-Europe High-level Platform for Sustainable Energy Investments<sup>12</sup> in order to identify, among other aspects, the best possible energy mix for targeted uses and regions already in the planning phase. The initiative emphasises the need to prepare a conducive environment for investment through policy dialogue, technical assistance and capacity building.

The investments foreseen under this action will mainstream environment and climate change aiming at promoting transformational change towards environmental sustainability, low carbon development and climate and disaster resilience. Investment operations shall be subject to an Environmental Impact Assessment (EIA) as per the African Investment Platform guidelines in order to identify the potential significance of the projects' impacts on the environment and measures to be integrated in their design to ensure they will not result in significant adverse impacts on the environment during their construction, operation and decommissioning. Climate Risk Assessment will be conducted in addition to the Environmental Impact Assessment

#### **Gender equality and empowerment of women and girls**

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G0.

Gender issues will be specifically integrated in the individual projects in line with the EU Gender Action Plan III (2021-2025)<sup>13</sup> and the EU guidelines on mainstreaming gender equality through the project approach.

Investments should ensure gender mainstreaming and be based on a gender sector analysis ensuring that they consider equally the needs of women and men, and that women and men benefit equally of the resulting infrastructure. For

<sup>10</sup> Strategic Corridors and Urban systems in Africa - developed in the framework of Contract No JRC°35841 - DG DEVCO ADM-MULTI/2020/418-067

<sup>11</sup> JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT AND THE COUNCIL - Towards a comprehensive Strategy with Africa JOIN(2020) 4 final of 9.3.2020

<sup>12</sup> <https://ec.europa.eu/energy/en/topics/international-cooperation/EU-cooperation-other-countries/africa/high-level-platform-sustainable-energy-investments>

<sup>13</sup> JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT AND THE COUNCIL - EU gender action plan (GAP) III – An ambitious agenda for gender equality and women's empowerment in EU external action JOIN(2020) 17 final of 25.11.2020

this reason in all domains of intervention, assessment of effects of proposed investments will be mandatory on gender-related aspects as prescribed by proposal templates required by the blending facility.

### **Human Rights**

In all sectors, respect for human rights will be ensured in line with EU and international standards. Among others, the applicable labour legislation will have to be fully respected by the partner actors in the implementation of the actions. Respect for human rights will have to be scrupulously observed during land acquisition and resettlement operations. The human-centric approach to digital transformation promoted by the EU is essentially anchored to the development of digital connectivity infrastructure in line with EU and international standards. In particular, cybersecurity and network security, data protection and privacy, together with all the other human-centred values enshrined in the EU digital single market are essential to ensure the respect of the human rights and the promotion of democracy in the cybersphere. digital single market are essential to ensure the respect of the human rights and the promotion of democracy in the cybersphere.

### **Disability**

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0 as it doesn't directly target persons with disabilities. Nevertheless, interventions in the three sectors will have consequences largely improving the conditions of disabled people, from the availability of access for disabled people to public transport to the improved fruitfulness of public spaces thanks to electric lighting to the access to information and education via internet for those who cannot attend school. Actions proposed to the investment platform shall therefore be evaluated also under the perspective of effects on disabled people.

### **Democracy**

Big investments may create opportunities for illicit gains for corrupted administrators (bribes for concessions or influencing of procurement procedures). In order to minimise such risks, tendering processes will follow procedures imposed by Financial partners already pillar assessed by the EU and accompanying measures should support national anti-corruption bodies; at the same time a full transparency of such procedures together with broad participation of stakeholders to the identification of design specification will be assured to get to inclusive offer of services and infrastructure not causing further segregation of segments of population.

### **Conflict sensitivity, peace and resilience**

As explained for environmental protection and climate change, the methodology used to identify investments is based also on the assessment of stability and conflict proneness of areas concerned<sup>10</sup>. Subsequently, during project preparation, a more detailed analysis fed by EU Delegations and other actors on the field will indicate possible corrections following qualitative considerations. This will lead the identified infrastructure to be 'conflict sensitive' and let the EC decide on an informed basis on the opportunities and threats of every investment.

Investments implemented in conflict-sensitive countries where Conflict Analysis Screenings are on-going or are planned, will take into account the outcome of such analyses.

### **Disaster Risk Reduction**

As explained, exposure to disasters is already considered at the investment selection level (floods occurrence) and will be further refined at the level of single investment proposals: each project submitted to the EFSD+ Africa Investment Platform has to respect the highest design standards to withstand extreme events and not to deteriorate pre-existing conditions, e.g. through an exhaustive hydrogeological risk analysis and other similar studies.

### **Other considerations if relevant**

N.A.

### **h. Risks and Lessons Learnt**

<b>Category</b>	<b>Risks</b>	<b>Likelihood (High/ Medium/ Low)</b>	<b>Impact (High/ Medium/ Low)</b>	<b>Mitigating measures</b>
1 (External environment)	Debt sustainability can negatively impact the feasibility of blending operations in selected	<b>Medium</b>	<b>Medium</b>	Project application form contains information about debt sustainability provided by Financial Institutions. Financial Institutions also have internal policies in terms of sovereign lending. Assessment process involves EU

	countries, in particular those countries that are under a moderate to high risk of debt distress.			delegations and other competent services on the issue of debt sustainability and investment programmes, including the information available on International Monetary Fund / World Bank debt sustainability framework.
	Lack of favourable policies by the target countries in the regions/sectors	<b>Medium</b>	<b>Medium</b>	Governance and policy issues are addressed via synergies with the relevant National Indicative Programmes (NIPs). EU Delegations are involved at a very early stage in project identification, and blending operations are leveraged in the sector policy dialogue.
	Projects should not crowd out private sector financing.	<b>Low</b>	<b>Medium</b>	Explore with the international financial institutions all the possibilities of financing technical assistance (TA) for projects which could potentially lead to bankable and sustainable projects.
	Lack of knowledge regarding disaster risk may limit the integration of appropriate prevention and mitigation measures in the investment design.	<b>Low</b>	<b>Medium</b>	Embedding understanding of disaster risks, promoting of mainstreaming of disaster risk assessment and climate proofing of physical infrastructure, and mapping investment planning.
	Implementing blending operations in particular sectors and/or certain countries may be considered as not sufficiently bankable or as not generating a sufficient leverage effect while being of strategic importance	<b>Low</b>	<b>High</b>	A leverage ratio of 1:11 is assumed on the basis of the EU's experience of blending operations. A flexible approach to the leverage effect expected for strategically important interventions may be considered.
2 (Planning, processes and systems)	Establishment of the pipeline, it will be essential to align the strategy of FI with the EU strategies	<b>Medium</b>	<b>High</b>	A strong and structured dialogue with the financial institutions will be needed to address those issues. this action foresees a specific budget line, not subject to Technical Advisory Meeting (TAM) and Board assessment, to finance feasibility and technical studies to ensure the necessary maturity, quality, strategic value and additionality of projects.
	At project level, EU has limited or no control on the procurement process and cannot ensure that contractors selected	<b>Low</b>	<b>High</b>	The blending operations will be concluded only with International Financial Institutions (IFIs) that has positively passed a Pillar Assessment. Nevertheless, the works tender procedures are the entire responsibility of the promoter; therefore the most appropriate mitigating measure is



	respect its value and standards.			to assist the promoter with technical assistance in the procurement process, including environmental and social assessments, in the respect of EU standards and values.
	Non-sustainable and non-inclusive investments	<b>Low</b>	<b>High</b>	The action is intended to embed social and environmental impact assessment in the investments identification phase itself, giving those assessment a de facto strategic value. This will guarantee the exclusion of interventions not aligned with Commission priorities such as the Green Deal in its external dimension or the EU Gender Plan 2021-2025. Also at the downstream design level, alternative solutions will be compared by means of their technical, environmental and social performances, having beforehand filtered out those not complying with EU standards.

### Lessons Learnt:

A stable political and financial climate on the regional level, in general, and on the country level, in particular, is needed to promote and secure investments. The level of economic governance shall be conducive to investment. Bankable projects are identified and developed by financial institutions with partner countries in close cooperation with the EU delegation, taking into account the reality and challenges of each country/region and the priorities defined with the African Authorities.

Evaluations of the blending mechanism have concluded that it can be an effective instrument for leveraging significant financial resources for investment in job generating economic development. These evaluations also pointed to the significant contribution brought to the development of partnerships and increased coordination and cooperation among financial institutions, as well as with the Commission. A number of recommendations were made, notably in terms of improvements to the decision making structure and, in particular, the role of EU delegations and partner countries, further exploring the involvement of private sector, as well as the use of specific financial instruments such as risk mitigation instrument.

Large infrastructure projects are complex endeavors, especially in Sub Saharan Africa. Ever since the European Commission started the first blending facility for infrastructure in 2007 with the Africa-EU Infrastructure Trust Fund, it encountered challenges that are specific to this part of the world.

#### Main drawbacks:

- Loss of EU visibility,
- Works contracts, partly financed with EU funds, but implemented by Chinese contractors
- Failure to adequately involve EU DEL from the identification phase of the blending project process and the guarantee deployment
- Compared to EUDEL, sometimes weaker capacities of IFIs to implement projects on the ground,
- Failure to leverage funds with blending, particularly in fragile countries where blending leverage is one or two. Difficulties to implement blending operation in conflict areas like in the central Sahel.
- Migration and fragility issues: development of land corridors can trigger or escalate unplanned and unmanageable migration phenomena Africa-Europe and Africa-Africa, as well as increase mobility and threat posed by armed groups in fragile areas.

In the definition and preparation of individual projects, the EU and the implementing partners will identify and implement the most appropriate measures to address the above mentioned issues.

## i. The Intervention Logic

The action takes over from the previous '*Contribution to the Africa Investment Platform (AIP) in support of continental economic integration across Africa*'<sup>14</sup> focusing on energy, digital and transport.

The action will contribute to the mobilisation of investments in infrastructure in clean energy, digital connectivity, regional data centres infrastructure and multimodal transport corridors of strategic relevance for the EU. It will result in the improvement of trans-regional infrastructure of relevance to the EU and the AU; the strengthening of continental and regional interconnectivity of infrastructure networks (in the sub-sectors of digital, energy, transport); and the scaling up of infrastructure investment by combining EU grants with loans from public financial institutions and private sector, including through sustainable finance instruments. .

In the energy sector, the action will mainly support investments, through blended projects and their preparatory actions (studies, TA...) among the following sub-sectors: energy generation infrastructure from renewable sources (as hydropower, solar, wind and others, including decentralised solutions), energy connectivity such as transmission and distribution, trans-border energy interconnectivity, smart energy infrastructure and storage, renewable hydrogen infrastructure, energy and clean cooking systems. The support to sustainable energy is instrumental to enabling sustainable growth and job creation alongside digitalisation, agriculture/irrigation/water, environment, transport, health, etc.

Actions in support of digital connectivity will mainly focus on international links connecting Africa to Europe and to other continents mainly through submarine cables as well as through other technologies such as satellite connectivity. In addition, regional connectivity will be supported to tackle the digital divide and data Infrastructure, including data storage and processing will be deployed in line with EU and international values and standards.

Investments should be coordinated with efforts to harmonise legal and regulatory frameworks, notably under the PRIDA programme. This will allow to leverage investments on the policy level for promoting an open internet and related standards on the continent.

In the transport sector, the main focus will be on the support to priority trade corridors, that can best maximise EU-Africa and inter-African interlinkages, looking in particular at their efficiency, decarbonisation and environmental and social standards. This exercise will lead to the selection of a limited number of African corridors, where there is the higher mutual interest and where the EU financing can make a difference in terms of impact. The selected interventions to be supported in the next years may be shaped in the context of Team Europe Initiatives. Furthermore, a continuation of the EU support to the ongoing Africa Transport Policy Program (SSATP) is foreseen to assist shaping the African transport policies with the collaboration of the World Bank, in partnership with the African Union.

While in the transport sector investments will converge on the selected corridors, in the energy and digital sectors they may follow different geographic patterns where the network differs from the transport ones, although the "dig once" principle will guide the selection to have interventions on the same stretch of corridor provide transport, energy and digital connectivity.

This action is primarily focusing on investments; complementary actions will be identified to ensure the necessary accompany measures in the different sectors. Complementary actions will focus on general support to the sectoral governance and regulatory frameworks at regional and continental level as well as soft support actions more directly related to the specific investment in order to strengthen its impact, efficiency and sustainability.

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<sup>14</sup> C(2019)2648 final

## j. Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

Working draft

Results	Results chain (a): Main expected results (maximum 10)	Indicators (a): (at least one indicator per expected result) (all figures are expressed as regional averages for West, East, Central, Southern Africa and Indian Ocean)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
Impact	To provide Sub-Saharan Africa with blended investments and supporting expertise from EU and beyond to deploy infrastructure necessary for continental integration	1. Overall blended investments in infrastructure in energy, digital and transport sectors 2. Ratio of mobilized resources in the three sectors on the estimated needs	TBD	TBD	TBD	Not applicable
Outcome 1	1. Greener and resilient investments in the energy sector are supported	1.1 Amount of energy from renewable sources distributed to households, services and manufactures (MWh) 1.2 Number of households, services and manufactures served by energy from renewable sources (number)	TBD	TBD	TBD	No drastic drop in cost of fossil fuel and political stability
Outcome 2	1. Equitable access to affordable, secure and quality digital and data infrastructure is enhanced	2.1.1 Length of secure and resilient cables (optical and traditional) installed (Km) 2.3.1 Individuals using the Internet (number)	TBD	TBD	TBD	Maintained policy dialogue and alignment European Commission-AUC
Outcome 3	2. Sustainable intra-African transport and mobility is supported	1.3.1: Total length of transport infrastructure built and maintained: a) roads; b) railways; c) waterways (kms).	TBD	TBD	TBD	Political stability
Output 1 related to Outcome 1	1.1 Higher installed capacity for renewable energy production is promoted	1.2.1 Renewable energy capacity installed via EFSD+ AIP (MW)	TBD	TBD	TBD	Alignment of policies between European Commission and IFIs
Output 2 related to Outcome 1	1.2 Higher share of renewable energy on total primary energy production is promoted	1.2.1 Renewable energy capacity installed on total via EFSD+ AIP (%)	TBD	TBD	TBD	Alignment of policies between European Commission and IFIs
Output 3 related to Outcome 1	1.3 Higher access to energy is promoted	1.3.1 New population provided by grid and off grid electricity on total via EFSD+ AIP (number)	TBD	TBD	TBD	Alignment of policies between

						European Commission and IFIs
<b>Output 1 related to Outcome 2</b>	2.1 Increased international bandwidth and connectivity links are promoted in line with the global EU and Africa strategies on digital connectivity	2.1.1 Length of secure and resilient submarine cables installed with investment support via EFSD+ AIP (Km)	<i>TBD</i>	<i>TBD</i>	<i>TBD</i>	Alignment of policies between European Commission and IFIs
<b>Output 2 related to Outcome 2</b>	2.2 Trans-border connectivity links and intra-African internet traffic and data flows are promoted	2.2.1 Length of optical fibre cables installed with investment support via EFSD+ AIP (Km)	<i>TBD</i>	<i>TBD</i>	<i>TBD</i>	Alignment of policies between European Commission and IFIs
<b>Output 3 related to Outcome 2</b>	2.3 National digital and data infrastructure which serve a regional approach are supported	2.3.1 Percentage of individuals using the Internet thanks via EFSD+ AIP (%) 2.3.2 Number of energy efficient and secure data centres installed	2.3.1 18,7% (2017 score) 2.3.2 <i>TBD</i>	24% <i>TBD</i>	<i>ITU</i>	Alignment of policies between European Commission and IFIs
<b>Output 1 related to Outcome 3</b>	3.1 Sustainable regional and multi-country infrastructure for land, air, and water transport is reinforced.	3.1.1 Total length of transport infrastructure supported by the EU (kms): a) roads; b) railways; c) waterways via EFSD+ AIP (Km)	<i>TBD</i>	<i>TBD</i>	<i>TBD</i>	Alignment of policies between European Commission and IFIs
<b>Output 2 related to Outcome 3</b>	3.2 Sustainable, smart, resilient and safe mobility is further promoted and land, air and water transport regulatory frameworks are strengthened.	3.2.1: Number of pieces of national legislation on harmonising standards or liberalising services related to transport (road, maritime, aviation, waterways, railways) that transpose continental or regional acts and have been developed or revised with EU support thanks to the SSATP (number)	<i>TBD</i>	<i>TBD</i>	<i>TBD</i>	Alignment of national authorities to transport policies promoted by AUC

## ● IMPLEMENTATION ARRANGEMENTS

### k. Financing Agreement

In order to implement this action, it is envisaged to conclude a financing agreement with the African Union Commission.

#### 1. Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 2 will be carried out and the corresponding contracts and agreements implemented, is 180 months from the date of entry into force of the financing agreement.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

#### m. Implementation of the Budget Support Component [For Budget Support only]

Not applicable.

#### n. Implementation Modalities ]

The Commission will ensure that the EU appropriate 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>15</sup>.

#### i. Indirect Management with international organisation

##### 4.4.1.1 – Indirect management with International Organisations

A part of this action will be implemented in indirect management with fully pillar assessed entities, which will be selected by the Commission's services using the following criteria: (1) be development financial institutions (DFIs) to generate blended investments on infrastructure; (2) the operational execution of activities will be led by ad-hoc temporary entities (special purpose vehicles) created by DFIs and will include surveys, studies, impact assessments, works procurement, overview and control of execution etc, (3) DFIs shall be pillar assessed and will be selected on the basis of their proposals with a specific focus on leverage ratios grant to loan, added value of EU contributions and debt sustainability of beneficiary. Non-European DFIs shall demonstrate specific added value in order to be selected.

The implementation by DFIs entail activities described in §3.2 to deliver Outputs 1.1 to 3.1, in pursuit of Specific Objectives S.O.1-S.O.3.

##### 4.4.1.2 – Indirect management with the World Bank

A part of this action may be implemented in indirect management with the World Bank, selected on the basis of its accountability and proven record on the advocacy for transport policies in Africa, as extensively explained in §3.2.

This implementation entails the support to the African Transport Policy (SSATP) Program to provide adequate advocacy and technical support with national authorities and Regional Economic communities (RECs) on sectoral governance, as described in §3.2 to deliver Output 3.2, in pursuit of Specific Objective S.O.3.

#### ii. Indirect Management with the Partner Country

Not applicable

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<sup>15</sup> The list of EU restrictive measure (sanctions) is reflected in the [www.sanctionsmap.eu](http://www.sanctionsmap.eu). Note that the sanctions map is an IT tool for identifying the sanctions regimes. The Official Journal of the European Union is the official source of European Union law and, in case of conflict, its content prevails over that of the Sanctions Map.

### 9.1.1. Contribution to the envisaged Africa Investment Platform under EFSD+

This contribution may be implemented under indirect management with the entities, called Lead Finance Institutions, identified in the appendix to this Action Document through different types of financial support, including sustainable finance instruments. Whereas European finance institutions can always act as lead, provided they have successfully passed the pillar assessment, non-European institutions need to demonstrate their added value in the region or for a specific project to serve as lead. The involvement of non-European finance institutions as lead financiers is examined by the Board on a case-by-case basis following a targeted approach looking at the specific added value the non-European finance institution brings to a particular project or region.

#### iii. EFSD+ operations covered by budgetary guarantees

Not applicable

#### iv. Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances (one alternative second option)

Should the implementation through indirect management reveal not be possible due to circumstances outside of the Commission's control, the Commission will revert to direct management and manage procurement procedures directly.

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

Not applicable

#### p. Indicative Budget

<b>Indicative Budget components<sup>16</sup></b>	<b>EU contribution (amount in EUR)</b>	<b>FY 2021 (amount in EUR)</b>
<b>Implementation modalities</b> - cf. Section 4.4		
<b>OS1 - Support greener and resilient investments in the energy sector</b> composed of <ul style="list-style-type: none"> <li>Indirect management with international organisation – cf. Section 4.4.1.1</li> <li>Contribution to the African Investment Platform – cf. Section 4.4.3</li> </ul>	<b>150 000 000</b>  <i>(5 000 000)</i>  <i>(145 000 000)</i>	150 000 000
<b>OS2 - Enhance equitable access to affordable, secure and quality digital and data infrastructure</b> composed of <ul style="list-style-type: none"> <li>Indirect management with international organisation – cf. Section 4.4.1.1</li> <li>Contribution to the African Investment Platform – cf. Section 4.4.3</li> </ul>	<b>300 000 000</b>  <i>(10 000 000)</i>  <i>(290 000 000)</i>	300 000 000
<b>OS3 - Support sustainable intra-African transport and mobility</b> composed of <ul style="list-style-type: none"> <li>Indirect management with international organisation – cf. Section 4.4.1.1</li> </ul>	<b>300 000 000</b>  <i>(10 000 000)</i>	300 000 000

<sup>16</sup> This will be further elaborated in the country-by-country blending applications



<ul style="list-style-type: none"> <li>• Indirect management with the World Bank – cf. Section 4.4.1.2</li> <li>• Contribution to the African Investment Platform – cf. Section 4.4.3</li> </ul>	(7 000 000)	
<b>Monitoring and Reporting</b> - cf. s <b>Evaluation</b> – cf. section 5.2 <b>Audit</b> – cf. section 5.3	will be covered by another Decision	will be covered by another Decision
<b>Contingencies</b>	N.A.	N.A.
<b>Totals</b>	<b>750 000 000</b>	750 000 000

#### q. Organisational Set-up and Responsibilities

A technical coordination committee between the European Commission and the Africa Union Commission will be setup in order to ensure the overall monitoring of the implementation of the blending investments. Representatives from the private sector will be involved on a case by case basis to check the interest of economic actors as beneficiaries of planned facilities already at a conception/strategic phase. Implementing Partners may be invited to inform about the planning of projects and progress in implementation.

Individual blending project proposals and the candidate Lead Financial Institution will undergo a prior assessment by the competent Delegation: the result of this revision should already be coherent with policy, technical and overall bankability criteria.

The following step is the submission to the EFSD+ Africa Investment Platform Technical Advisory Meeting (TAM) for revision by other Financial Institutions and subsequently to the Board for approval by Member States. This procedure will assure the proposals present a sound management plan and deployment program.

In the case of a non-European finance institution acting as lead, the application will be accompanied by a note from the Delegation expressing its support and showing the added value of the non-European institution. Among other aspects, leverage of the EC contribution to further investments will play a crucial role, as well as debt sustainability for concurring loans.

The subsequent implementation phase will pass through procurement procedures in conformity with the Lead Financial Institutions procedures and the creation of temporary dedicate entities to follow up the execution of activities, including execution and reception of works.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission will participate to governance and implementation structures for the action.

#### r. Pre-conditions [Only for project modality]

Not applicable

### • PERFORMANCE MEASUREMENT

#### s. 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).

Baseline and targets to complete the Logical Framework Matrix in 3.6 will be identified by a dedicated study launched at the beginning of the action and financed by the Regional Technical Cooperation Facility. Sources of data and indicators will be expressed in a neutral way and with specified unit of measure. Increases will be expressed through the use of a target set at an improved level compared to the baseline.

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).

#### t. Evaluation

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

A mid-term evaluation is envisaged for learning purposes, in particular with respect to further similar operations in the following years.

An ex-post evaluation is envisaged for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that feasibility studies for blended investments will be carried on via dedicated delegation agreements with the same IFIs willing to propose such investments.

In case this action contributes to future Team Europe Initiatives, evaluations may be conducted jointly with other contributing Member States and EDFIs to provide an overview of the action within the larger impact of the TEI.

The Commission shall inform the implementing partner at least three months in advance of the dates envisaged 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 following the best practice of evaluation dissemination<sup>17</sup>. 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.

#### u. 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 audit or verification assignments for one or several contracts or agreements.

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

### • STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt 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.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

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<sup>17</sup> See best [practice of evaluation dissemination](#)

Working draft

## Action Document for Team Europe Initiative to Promote Investments in Young Businesses in Africa (IYBA)

### 10.1. Summary of the Action

The Joint communication to the European Parliament and the Council ‘Towards a comprehensive Strategy with Africa’<sup>18</sup> provides a roadmap towards elevating the EU-Africa partnership to the next level building on the 2018 ‘Alliance for sustainable investment and jobs’<sup>19</sup> and on existing international, African and EU frameworks and policies.

The Strategy clearly identifies the need to strengthen the capacity of entrepreneurs, including social entrepreneurs, while reinforcing capacity-building related to SME access to markets and finance, with emphasis on supporting women’s empowerment by tackling discriminatory regulations and practices and making sure that they have access to knowledge, skills, microcredit and finance for entrepreneurship.

Private sector development plays a key role in creating economic growth, employment and improved living conditions.. Micro, Small and Medium- sized Enterprises (MSMEs) play a central role in fostering dynamic, competitive and inclusive economies. However, gaps and deficiencies in the economic structure influence both formal and informal MSMEs capacity to grow and their potential to further contribute to job creation.

Although entrepreneurial spirit is very present in most of the African countries, the road to establishing a company in many countries remain fraught with obstacles. The consolidation of business models is long and difficult, with limited skills and capacity of entrepreneurs and low level of capitalisation.

At the same time, Entrepreneur Support Organisations (ESO) in Africa are limited in number and capacity. Access to finance is difficult for emerging enterprises and private investors are rare. Additionally, public policies are usually poorly developed to support small and emerging enterprises, and human resources are usually not sufficiently qualified.

Thus there is an urgent need to support the acceleration of new MSMEs and support informal MSME move towards formality, by focusing on supporting the initial stages of enterprise creation and growth as well as developing a sustainable and long term strategy towards building the entrepreneurship support ecosystem that provides the necessary services and links the local actors to financial opportunities.

The **Overall Objective** of this action is to boost decent job creation and inclusive and sustainable growth.

The **Specific(s) Objective(s)** of this action are:

- **SO 1:** Improve coordination, harmonisation and coherence of interventions for MSMEs creation and growth in Africa, especially for (very early and) early stage companies.
- **SO 2:** Strengthen in a selected number of African countries the Entrepreneurs Support Organisations<sup>20</sup> (ESO) ecosystem.

## 6. RATIONALE

### 11.1. Context

The Joint communication to the European Parliament and the Council ‘Towards a comprehensive Strategy with Africa’<sup>21</sup> was approved in March 2020. It provides a roadmap towards elevating the EU-Africa partnership to the next level. It builds on the 2018 “Africa-EU Alliance for sustainable investment and jobs”<sup>22</sup> and on existing international, African and EU frameworks and policies, such as the United Nations Sustainable Development Goals (SDG), the African Union

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<sup>18</sup> JOIN(2020) 4 final

<sup>19</sup> COM(2018) 643 final of 12.9.2018

<sup>20</sup> For the purpose of this action Entrepreneurs Support Organisations include not only accelerators and incubators but also Angel Investors and Equity Fund managers, universities, VET centres, marketplaces, and other entrepreneurship support actors.

<sup>21</sup> JOIN(2020) 4 final of 9.3.2020

<sup>22</sup> COM(2018) 643 final V

(AU) Agenda 2063<sup>23</sup>, the EU Global Strategy, the New European Consensus on Development ‘our world, our dignity, our future’<sup>24</sup>.

The proposed Strategy with Africa provides a common policy framework and calls for strengthened economic integration and structural transformation, promoting job creation in Africa through green investments and sustainable trade as the main vehicles.

It proposes five thematic partnerships, one of them being for sustainable growth and jobs. Under this partnership, the Strategy defines 4 priority work streams that are key to achieve the Sustainable Development Goals (SDG): (a) boosting trade and sustainable investments in Africa (b) improving the investment climate and business environment and (c) increasing access to quality education, skills, research, innovation, health and social rights; (d) advancing regional and continental economic integration.

The Strategy also clearly identifies the need to strengthen the capacity of entrepreneurs, including social entrepreneurs, while reinforcing capacity-building related to SME access to markets and finance, with emphasis on supporting women’s empowerment by tackling discriminatory regulations and practices and making sure that they have access to knowledge, skills, microcredit and finance for entrepreneurship.

Finally, the Joint Communication on Strengthening the EU’s contribution to rules-based multilateralism<sup>25</sup> calls on the EU to ‘deliver as one’ to ‘succeed as one’; hence, the EU is engaged with promoting a more efficient coordination mechanisms around joint priorities and initiatives (‘Team Europe’ approach).

Through this Action and across all its results, the EU will aim at supporting green investments and a transition towards low-carbon circular economies, in line with the ambition of the European Green Deal and with the Paris agreement objectives. The EU will also seek to promote opportunities in the digital economy. Particular attention will also be given to provide equal access, trade and economic opportunities to all, including, women and youth.

The Action is well-integrated into the priorities of the Multi-annual Indicative Programme (MIP) for Sub-Saharan Africa 2021-2027 as well as with the New European Consensus on Development ‘our world, our dignity, our future’<sup>26</sup>, specifically with its priorities of promoting inclusive and sustainable growth and jobs.

Lastly, it will reinforce the EU’s leadership in promoting gender equality and social inclusion, in full alignment with the European Consensus for Development and the transformative approach of the GAP III<sup>27</sup>, while contributing to SDG 5 (gender equality).

### *Team Europe Initiative ‘Invest in Young Businesses in Africa’ (TEI IYBA)*

On 18 May at the French Financing Summit for African economies the European Commission’s President Ursula von der Leyen announced the creation of a Platform to implement a Team Europe Initiative (TEI) ‘Invest in Young Businesses in Africa’ (IYBA).

The overall objective of the TEI IYBA platform is to help create the systemic conditions that support MSMEs creation and growth, with a special focus on (very and) early stage companies. The specific objective is to support and develop the new and early stage business ecosystem actors as well as increase the quantity and the quality of financial instruments and technical assistance for these enterprises (bringing together public and private funding). Three building blocks are defined to structure the actions:

- Building block 1: Increase the financial and technical support for pre-seed stage entrepreneurs and micro and small enterprises: The financial needs for this segment of the economy are of up to 150 000 EUR/200 000 EUR through grants, repayable grants and loans, together with technical support.
- Building block 2: Increasing access to finance for SMEs and entrepreneurs at seed and early stages. These are businesses with financial needs of between 150 000 EUR/200 000 EUR 5 000 000 EUR. This includes ‘seed and early stage’ small companies with financial needs as of 150 000 EUR/200 000 EUR, ‘small caps’ (typically family owned and financial needs as of 1 000 000 EUR) and ‘Series A’ for investors (high growth companies). Main financial actors here are Development Financial Institutions (DFIs), impact investment funds, business angels, venture capital funds.
- Building block 3: Supporting the ecosystem, with a special emphasis on women and young people, around: (i) Support the entrepreneurial ecosystem through training and capacity building, with special emphasis on supporting incubators, accelerators, cooperatives, microfinance entities, foundations, and innovation

<sup>23</sup> <https://au.int/en/agenda2063/overview>

<sup>24</sup> OJ C 210 of 30.6.2017.

<sup>25</sup> JOIN(2021) 3 final of 17.2.2021.

<sup>26</sup> OJ C 210 of 30.6.2017.

<sup>27</sup> JOIN(2020) 17 final of 25.11.2020

hubs/academia networks (ii) Support local venture funds and angel investors by providing capacity building, paying special attention to Less Developed Countries (LDCs) (iii) Enhance digital and inclusive access to finance, working on the demand side with the relevant beneficiaries of building block 1 and 2, with emphasis on women and young-lead business, and the supply side by promoting the use of accessible digital financing tools by local financial actors (iv) Support governments to develop and implement regulatory and policy reforms that will support the ecosystem development for entrepreneurs to thrive.

In order to maximise our impact and match the interests and priorities of our African partners, the EU and its Member States, together with the EU financial institutions and other relevant EU actors, need to act and speak with one voice. Additionally, the platform also aims at bringing together non-EU relevant stakeholders to ensure full coordination and synergies from a global perspective.

Beyond this Action, this TEI IYBA platform will promote the above three 'building blocks' approach; enhance coordination and complementarities with and between the TEI IYBA Platform actors with African partner countries, increase peer exchange and knowledge generation, and promote innovative approaches and new joint actions.

In order to set up this Platform and the TEI, consultations with different stakeholders, including EU Member States, European Development Financial Institutions (EDFIs), the European Investment Bank (EIB), the European Bank for Reconstruction and Development (EBRD) and private investors and stakeholders, have taken place since the month of March 2021. This process has included a high-level consultation workshop that was held on 27 April 2021, together with the French government (and within the framework of the Summit on financing African economies) with approx. 130 participants.

As a result of the workshop, participants have been sharing ideas and information on ongoing programmes related to increasing relevant financing and support of MSMEs at the pre-seed and early stage as well as proposals addressing the various challenges in the investment ecosystem. The workshop participants, that are constituting so far the IYBA Platform, include 130 participants from 54 organisations.

The proposed Action will focus on two specific elements of the Investing in Young Businesses in Africa (IYBA) Team Europe Initiative (TEI): (i) Building the operational framework that will support the initiative; (ii) define a 8 years strategy (2022-2030) to strengthening the Entrepreneurship Support Organisations (ESO) ecosystem (accelerators and incubators, angel investors and equity fund managers, academia, etc.) and implement the first phase (2022-2025) of the strategy in a selected number of countries (moving from a time constraint programme based approach to a long-term initiative that provides substantial support to ensure sustainable long-term impact in the ESO ecosystem).

It is expected that the proposed Action will be complemented by new interventions that will support private-public EU-African working groups that are active in between Europe-Africa Business Forums (EABF) and will promote high-level European economic missions in selected countries with a clear focus and deliverables with identified priority sectors.

## 11.2. Problem Analysis

Private sector development plays a key role in creating economic growth, employment and improved living conditions. It enables governments in developing countries to generate increased tax revenues, thereby contributing to the funding of wider development strategies, and encourages entrepreneurship and diversification of the economy. It also incentivises people to invest in education and skills acquisition and improves people's lives through increased access to goods and basic services and can help tackle major challenges such climate change and environmental degradation.

Micro, Small and Medium Enterprises (MSMEs) play a central role in this process by contributing to the creation of dynamic, competitive, sustainable and inclusive economies. The International Labour Organization (ILO) estimates that MSMEs represents more than 70 % of global employment and 50 % of the world Gross Domestic Produce (GDP)<sup>28</sup>. They are a key engine of economic growth and poverty reduction providing goods and services to the poor and underserved markets, as well as critical suppliers to corporates in value chains. There are as well the most at risk of climate change and weather extremes.

However, gaps and deficiencies in the economic structure influence both formal and informal MSMEs capacity to grow and their potential to further contribute to job creation. About half of formal SMEs do not have access to formal credit and the gap is even larger when micro-sized and informal enterprises are taken into account.

The World Bank Africa Competitiveness Report 2017<sup>29</sup> indicates that failure to strengthen government institutions, improve infrastructure, and promote near- and long-term job creation in Africa will also lead to a widening gap between

<sup>28</sup> [https://www.ilo.org/empent/whatsnew/WCMS\\_749275/lang--en/index.htm](https://www.ilo.org/empent/whatsnew/WCMS_749275/lang--en/index.htm). Accessed 04-08-2021.

<sup>29</sup> <https://www.worldbank.org/en/topic/competitiveness/publication/creating-jobs-for-africas-growing-population>. Accessed 04-08-2021.

the rising population and available employment. The projection is that Africa's working age population should grow by 450 million people by 2035 but that the continent's economies, without significant policy reform, will likely produce only 100 million new jobs.

Among these strategies to support MSME development, strengthening the technical, professional and/or managerial skills, expand market access, promote conducive investment climate and business environment framework and good governance standards as well as supporting formalisation of business is among the top priorities. Public entities cannot absorb but a limited number of job seekers. Big enterprises can provide as well a limited number of jobs, given their higher productivity. Thus, to ensure that needed employment creation rate, the speed and quality at which new enterprises are created needs therefore to be accelerated, while strengthening the existing tissue of MSMEs, in order to target the creation of the highest possible number of decent jobs.

Just supporting MSME will not be enough to reduce inequality and promote decent job creation. The effort needs to target specific sectors (quite often agribusiness) and value chains with emphasis on early and very early stage business as well as entrepreneurs. Additionally, because women represent up to 40% of the world's workforce, women's economic empowerment is among the highest priorities and opportunities to achieve poverty reduction (estimates suggest that gender parity could increase the global GDP by between USD 12 trillion and USD 28 trillion by 2025). Finally, recent studies have shown that a shift to circular economy on the African continent would bring substantial environmental, economic and social benefits<sup>30</sup> with the creation of jobs, reduction of pollution, and the development of a larger, more competitive and resilient manufacturing sector. Synergies will be sought, when possible, between this action and the work of the African Circular Economy Alliance<sup>31</sup> in order to support innovative circular economy business models in Africa.

In this context, the acute need to increase decent employment and sustainable development in Africa, focusing on accelerating the creation of MSMEs and the growth of those existing, requires the right identification of technical and financial support to be provided and the joint efforts of all the existing actors which are willing to support African entrepreneurs.

The entrepreneurial spirit is very present in most of the African countries. However, the road to establishing a company is fraught with obstacles: the consolidation of business models is long and difficult, with limited skills and capacity of entrepreneurs and low level of capitalization. Therefore the success rate is quite limited and the growth path of enterprises too slow.

Entrepreneur Support Organisations (ESO) in Africa are limited in number and capacity, and scarce outside urban centres. From an access to finance point of view, private investors are rare and banks virtually not accessible for emerging enterprises. Additionally public policies are usually poorly developed to support small and emerging enterprises, and human resources are usually not sufficiently qualified.

Thus there is an urgent need to support the acceleration of new MSMEs, by focusing on supporting the initial stages of enterprise creation and growth as well as developing a sustainable and long term strategy towards building the entrepreneurship support ecosystem that provides the necessary services and links the local actors to financial opportunities. Attention will be put on the sustainability of activities in order to encourage green and inclusive businesses.

## 7. DESCRIPTION OF THE ACTION

### 12.1. Objectives and Expected Outputs

The **Overall Objective** of this Action is to boost decent job creation and inclusive and sustainable growth.

The **Specific(s) Objective(s)** of this Action are:

- **SO 1:** Improve coordination, harmonisation and coherence of interventions for MSMEs creation and growth in Africa, especially for (very early and) early stage companies.
- **SO 2:** Strengthen in a selected number of African countries Entrepreneurs Support Organisations<sup>32</sup> (ESO) ecosystem.

<sup>30</sup> <https://op.europa.eu/en/publication-detail/-/publication/4faa23f2-8b8a-11eb-b85c-01aa75ed71a1/language-en>

<sup>31</sup> <https://www.aceafrica.org/>

<sup>32</sup> These include, among others, accelerators and incubators, Angel Investors and Equity Fund managers, universities, VET centres, marketplaces, etc.



The Outputs to be delivered by this Action contributing to the corresponding Specific Objectives (Outcomes) are:

- **Output 1.1:** Improved strategic alignment and cooperation of EU and other international partner's interventions contributing to the IYBA TEI strategic approach.
- **Output 2.1:** Enhanced capacity of Entrepreneurship Support Organisations in providing in a sustainable way services to the young business ecosystem<sup>33</sup>.

## 12.2. Indicative Activities

*Activities related to Output 1.1: Improve strategic alignment and cooperation of EU and other international partner's interventions contributing to the IYBA TEI strategic approach.*

- a) Promote coordination among the different existing or new initiatives supporting IYBA Team Europe initiative.
- b) Foster regular open dialogues among EU actors to ensure coherent implementation and coherence between IYBA actions.
- c) Promote exchange of lessons learned and best practices among the IYBA TEI members.
- d) Support and promote scaling up of initiatives.
- e) Promote consultations process with relevant EU actors to promote policy and operational coherence.
- f) Support co-creation of knowledge products among IYBA members.

*Activities related to Output 2.1: Enhanced capacity of Entrepreneurship Support Organisations in providing in a sustainable way services to the young business ecosystem.*

- a) Define a 2022-2030 strategy for the IYBA Ecosystem Development initiative to be implemented in two phases (2022-2025 and 2025-2030).
- b) Develop consultations with relevant stakeholders (including EU Delegations) to select the initial countries to benefit from the initiative for the first phase (2022-2025).
- c) Perform an in-depth diagnosis of the initial selected countries to map the entrepreneurship ecosystem and its actors, identify key local financial institutions and country actor's needs and potential partners to work with in the ecosystem. The diagnosis would seek to identify financial and non-financial country needs and gaps faced by entrepreneurs in the country.
- d) Formulate a tailored made roadmap of addressing selected country specific needs on the ecosystem.
- e) Provide technical assistance to ESO through training, capacity building, mentoring, etc., with special focus on pre-seed and seed stage entrepreneurs and with emphasis on young and women lead businesses with tailor made capacity building for women entrepreneurs along the different stages of entrepreneurship.
- f) Support ESO to develop support services aiming at MSME involved in circular economy.
- g) Monitor, improve and evaluate the performance of business incubators using existing methodologies and certification schemes<sup>34</sup>.
- h) Support public and private organisations to enhance favourable entrepreneurship regulatory and policy reforms.
- i) Complement and ensure links with the IYBA TEI ESFD+ financial instruments, scope of work and programmes to facilitate increased access to finance to the ecosystem actors.
- j) Ensure linkages and coordination with other relevant EU programmes at national or regional level.

*The commitment of the EU's contribution to the Team Europe Initiative foreseen under this annual action plan will be complemented by other contributions from Team Europe partners. It is subject to the formal confirmation of each respective partners' meaningful contribution as early as possible. In the event that the TEIs and/or these contributions do not materialise the EU action may continue outside a TEI framework.*

<sup>33</sup> i.e. Until they are able to step in the next stage and access financial resources as well as technical assistance from national or international actors.

<sup>34</sup> On the basis of the process established by the EU-funded programme project 'BIC Africa – African Business Incubator Communities'.



## 12.3. Mainstreaming

### **Environmental Protection & Climate Change**

#### **Outcomes of the Environmental screening.**

The EIA (Environment Impact Assessment) screening classified the Action as Category C (no need for further assessment). The Climate Risk Assessment (CRA) screening concluded that this Action is low risk (no need for further assessment)

Technical assistance to ESOs will advocate to ensure that they promote and support environmental and social entrepreneurship through the complete maturation process. Environmental and social entrepreneurship, and in particular initiatives relating to low carbon, green and circular business models, will be given specifically targeted support for scaling-up of initiatives.

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#### **Gender equality and empowerment of women and girls**

As per OECD Gender DAC codes identified in section 1.1, this Action is labelled as G1. This implies that the Action will specifically aim to reduce gender gaps and to promote women's economic and social empowerment, addressing both structural causes of gender discrimination and its direct effects, with impact on women's opportunities to access financial and technical resources. Women's economic empowerment is critical to achieving gender equality and eliminating persistent gender gaps and ensuring equal economic outcomes for women and men. It is essential to achieve economic and social development, as well as globally agreed international policy frameworks such as the United Nations 2030 Agenda for Sustainable Development and its SDGs.

The action will ensure an integral approach that will take into account the specific elements that determine limited access to finance for women. It can also support regulatory and policy issues such as access to ID, property rights, legal rights, etc.

Women should not be considered as a uniform group but formed of individuals with varied backgrounds and need such as women with different economic and education profiles, with disabilities, belonging to different age groups or living in urban or rural areas.

#### **Human Rights**

The proposed action will abide by the 'do no harm principle' to avoid unintended negative impact in terms of human rights and will be implemented following the rights-based approach working principles (all rights, participation, non-discrimination, accountability and transparency). The proposed actions will develop the capacities of the stakeholders as 'rights-holders' to claim their rights and 'duty-bearers' to meet their obligations. Since the action targets vulnerable segments of the economy, it will pay special attention to ensuring that rights are consolidated and when possible expanded.

#### **Other considerations if relevant**

Activities will be tailored considering different needs of each of the target groups.

Because of its weight in African countries economy, informal sector and ways of tackling the needs will be subject to special attention.

Good governance, including the fight against corruption and bribery, transparency, accountability, non-discrimination and participation within the legal regulatory spheres will be promoted through public-private structured dialogue and cooperation.

## 12.4. Risks and Lessons Learnt

Category	Risks	Likelihood	Impact	Mitigating measures
Risks related to the external environment	European Member States agencies loose interest in supporting the IYBA Team Europe Initiative, especially in its long term strategic approach.	Low	Low	Initial workshops with European Member States agencies and EDFI have taken place to ensure their commitment with the IYBA TEI. Additional consultations have taken place to evaluate the potential support for a long-term entrepreneurial Ecosystem Development initiative. Both consultation process have indicated substantial interest and alignment. Furthermore, over the next month's additional workshops with all relevant actors will be promoted to keep the momentum and ensure continued alignment from Member States.
	Impact of COVID-19 pandemic and the potential continued fall-out	Mid	High	Throughout the last 18 months the international community and recipient's countries have learned to adapt to the new context by using digital tools and relaying more on local expertise. It is expected that the impact on traveling and physical engagement will decrease over the implementation of the Action. However, if not, the Action will follow previous interventions and use digital tools to compensate for lack of physical travel.
Risks related to planning, processes and systems	Complexity of developing a 2022-2030 strategy for ESO ecosystem development with emphasis on young and women businesses and entrepreneurs due to its specific and varied needs, avoiding a cookie cut approach.	Low	High	Output 2.1 will be designed taking advantage of the extensive knowledge, guidelines and methodologies developed by EU Member States as well as the European Commission and other public and private stakeholders. It will be done in the framework of the IYBA and will be defined through a consultation process. This should ensure a comprehensive and shared understanding of challenges associated to building a young business ecosystem suited to attract investors for each of potential beneficiary countries.
Risks related to legality and regularity aspects	Government policies do not promote entrepreneurship and young business and are more focused on attracting large investments and companies	Low	Medium	The selection of countries will be done taking into account, among other factors, their reform-minded approach as well as their strategic leadership towards promoting young entrepreneurs and business.

Key lessons learned from previous initiatives include the need for an in depth diagnosis of the country ecosystem to map the existing and potential actors and harness their potential capacities. This means defining a tailored approach for each ESO ecosystem taking into account the local context and actors and avoiding as much as possible a cookie cut approach. This will also imply collecting relevant data on the structure and characteristics of the each ESO ecosystem. The inclusion and representation of women and youth entrepreneurs and businesses in the preparation and implementation of related activities will be prioritised.

Although women's economic empowerment is becoming an increasingly important priority of international development finance institutions and more financial instruments are available with special focus on women, there are still limited resources deployed in this domain from donors and governments in Sub-Saharan Africa. The greatest outreach by financial institutions are achieved through the provision of digital financial services and use of mobile

phones. At the same time, structural barriers to women's access to collateral, such as ownership rights, must be addressed for a sustainable change. In this context, knowledge of the specific constraints, beyond the financial, that women face in the specific country of operation in the relevant sectors must be collected at the start of each intervention. In addition to mainstreaming gender in all the operations, the support to ESO should incorporate explicit support to women, going beyond being one of the potential beneficiary groups, to also include the development of gender-sensitive products and services in banking institutions, and provide technical assistance and suitable capacity building for both investees and end beneficiaries.

Reform efforts must be inclusive and not be constrained by capacity. Successful reform requires a transparent and inclusive process. Governments and international fora need to ensure the availability of possibilities for meaningful and participatory stakeholder engagement and build the skills and experience of negotiators and policymakers.

When targeting business incubators it is important to define sustainable business models for their own organisations, ensure they have access to adequate infrastructure, improve management skill of incubators' staff, establish linkages with other national and international actors, incubation support services and programmes covering the whole incubation chain (from idea prototyping to scaling), connect them to funders to improve incubatees' access to finance and monitor their organisational setting and outputs to constantly improve their activities and services (WP4)

## 12.5. The Intervention Logic

The action will promote joint and coherent political, economic and technical EU approach towards supporting African micro, small and medium-size business and entrepreneurs take off and create sustainable jobs, by providing a coherent and coordinated financial and technical support at early stages of their development. This will be done under the Investing for Young Businesses in Africa Team Europe Initiative through three levels of intervention:

- a. Become an umbrella for EU (and international) strategic actions aiming at supporting young and women-led business and entrepreneurs in Africa at national and regional level, with emphasis on the budgetary guarantees provided under the EFSD+ as well as other national interventions supported by the EU.
- b. Provide knowledge and strategic steering towards addressing challenges associated to providing access to finance for young and women-led business. This will be done by setting up a coordination platform, through which the main relevant actors will share expertise, analyse gaps, and consolidate tools;
- c. Create a multi donor and multiannual vehicle to provide sustainable support to Entrepreneurship Support Organisations that play a key role in building a strong and resilient young business ecosystem (equity fund managers, incubators and accelerators, angel investors, academia, vocational training centres, etc.).

Output 1 will be contributing to achieve the first two levels of intervention of the TEI YBA whereas Output 2 will contribute to achieve the 3<sup>rd</sup> level of intervention. Through a combination of this three levels, the action will be strengthening the impact of interventions aiming providing support for sustainable MSME growth, especially in the initial stages where they are most vulnerable, as well as developing a sustainable and long term strategy towards building the entrepreneurship support ecosystem. By building a strong a resilient MSME ecosystem, financially and technically, focusing on underserved segments of the economy, including young and women, the action will contribute to decent job creation and inclusive and suitable growth.

The action will build on and engage with other initiatives at national and regional level such as the business incubators programme with a regional network providing certifications and services, BIC Africa (implemented by the European Business and Innovation Centre Network), and country based projects supporting business incubation and innovation (notably in Angola, Ethiopia, Madagascar and Somalia), or the Women Economic Empowerment programme (WE4A) implemented by Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) together with the Tony Elumelu Foundation.

## 12.6. Logical Framework Matrix<sup>35</sup>

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The baselines and targets will be adjusted once the beneficiary countries are selected, the mapping of actors is done and the needs assessment developed for each country.

Results	Results chain:	Indicators	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
Impact	OO. Boost decent job creation and inclusive and sustainable growth	1. Number of beneficiaries with access to financial services with EU support: (a) firms, (b) people (all financial services), (c) people (digital financial services) 2. Number of countries supported by the EU to strengthen investment climate	1. TBD 2. 0	1. TBD 2. 5	<ul style="list-style-type: none"> <li>Final report for the EU-funded intervention,</li> <li>Final evaluation of the EU-funded intervention,</li> </ul>	Not applicable
Outcomes	SO1 Improve coordination, harmonisation and coherence of interventions for MSMEs creation and growth in Africa, especially for (very early and) early stage companies.	1.1. No of DFIS actively participating in the IYBA TEI 1.2 No of EU Members States formally associated to the IYBA TEI. 1.3 No of Initiatives mapped under the IYBA TEI.	1. 3 2. 8 3. 180	1. 6 2. 15 3. 300	<ul style="list-style-type: none"> <li>Progress reports for the EU-funded intervention</li> <li>Final report for the EU-funded intervention</li> <li>Final evaluation of the EU-funded intervention</li> </ul>	<ul style="list-style-type: none"> <li>Political and economic stability conducive to economic growth.</li> <li>Interest from key actors to engage in a Team Europe Initiative.</li> </ul>
	SO 2: Strengthen in a selected number of African countries Entrepreneurs Support Organisations36 (ESO) ecosystem.	2.1. 2022-2030 strategic roadmap for ESO ecosystem approved 2.2 No of countries ESO ecosystem supported disaggregated by fragility status 2.3 No of supported MSMEs implementing business improvement recommendations provided by supported BDSs, disaggregated by sex of firm owner/head if relevant 2.4 No of individuals Micro Small and Medium Enterprises trained by the EU-funded intervention with increased knowledge and/or skills on Circular Economy (CE) practices, disaggregated by sex, age group and sector	<ul style="list-style-type: none"> <li>0</li> <li>5</li> <li>TBD</li> <li>TBD</li> </ul>	<ul style="list-style-type: none"> <li>1</li> <li>5</li> <li>TBD</li> <li>TBD</li> </ul>	<ul style="list-style-type: none"> <li>Progress reports for the EU-funded intervention</li> <li>Final report for the EU-funded intervention</li> <li>Database of beneficiaries/participants</li> <li>Final evaluation of the EU-funded intervention</li> </ul>	<ul style="list-style-type: none"> <li>Long term commitment for change both from EU MS and Partner countries</li> <li>Interest from European Business Organizations (EBO) and African Business Organizations (ABO) to further expand their commercial and economic relations.</li> <li>Demand from European and African private and public actors to engage in a long term dialogue.</li> </ul>

Outputs	<b>Output 1.1:</b> Improved strategic alignment and cooperation of EU and other international partner's interventions contributing to the IYBA TEI strategic approach.	1.1.1 No of IYBA knowledge products disseminated with support of the EU-funded intervention 1.1.2 No of IYBA technical workshops developed with support of the EU-funded intervention 1.1.3 No of IYBA thematic working groups created with support of the EU-funded intervention	1. 0 2. 0 3. 0	1. 30 2. 10 3. 5	<ul style="list-style-type: none"> <li>Progress reports for the EU-funded intervention</li> <li>Final report for the EU-funded intervention</li> <li>Final evaluation of the EU-funded intervention</li> </ul>	<ul style="list-style-type: none"> <li>Member States and other international partners continue to see the added value in having a shared strategy under IYBA.</li> </ul>
	<b>Output 2.1:</b> Enhanced capacity of Entrepreneurship Support Organizations in providing in a sustainable way services to the young business ecosystem.	2.1.1 Number of personnel from ESO trained by the EU-funded intervention with increased knowledge and/or skills in business support services, disaggregated by sex 2.1.2 No of incubators and accelerators supported by the EU-funded intervention 2.1.3 No of capacity building products developed by the EU-funded intervention for accelerators and incubators aiming women lead or owned business 2.1.4 No of Angel Investors supported by the EU-funded intervention that supported with TA 2.1.5 No of Angel Investors supported by the EU-funded intervention that have women lead or owned business as a target supported with TA 2.1.6 No of Venture Capital funds supported by the EU-funded intervention co-created with universities 2.1.7 No of market places created by the EU-funded intervention 2.1.8 No of policy reforms supported by the EU-funded intervention 2.1.9 No of policy reforms processes supported by the EU-funded intervention aiming women lead or owned business 2.1.10 No of policy reforms processes supported aiming young entrepreneurs (<35 years old) 2.1.11 No incubators certified under the EU-funded intervention	1. 0 2. 0 3. 0 4. 0 5. 0 6. 0 7. 0 8. 0 9. 0 10. 0 11. 0	1. 500 2. 25 3. 15 4. 5 5. 3 6. 3 7. 2 8. 10 9. 5 10. 5 11. 15	<ul style="list-style-type: none"> <li>Progress reports for the EU-funded intervention</li> <li>Final report for the EU-funded intervention</li> <li>Database of beneficiaries/participants</li> <li>Final evaluation of the EU-funded intervention</li> <li>Curriculum/training material</li> <li>Text of laws and regulations</li> <li>Text of strategies and policy documents</li> </ul>	<ul style="list-style-type: none"> <li>Interest from ESO to further expand their capacity to support entrepreneurs and business</li> <li>Sufficient number of ESO in beneficiary countries focusing in supporting on women lead business.</li> </ul>

## 8. IMPLEMENTATION ARRANGEMENTS

### 13.1. Financing Agreement

In order to implement this Action, it is **not envisaged** to conclude a financing agreement with the partner countries.

### 13.2. Indicative Implementation Period

The indicative operational implementation period of this Action, during which the activities described in section 2 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Financing Decision].

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

### 13.3. Implementation Modalities

The Commission will ensure that the EU appropriate 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>37</sup>.

#### 13.3.1. Direct Management

The procurement procedure (service contract) will contribute to achieve SO1 (Improve coordination, harmonization and coherence of interventions for MSMEs creation and growth in Africa, especially for (very early and) early stage companies) and its **Output 1.1** (Improved strategic alignment and cooperation of EU and other international partner's interventions contributing to the IYBA TEI strategic approach).

#### 13.3.2. Indirect Management with a Member State Organisation/s

A part of this action may be implemented in indirect management with a Member State organization or partnership of pillar assessed Member States organizations, which will be selected by the Commission's services using the following criteria: (i) wide geographic coverage and pertinent experience in implementing similar actions; (ii) experience building partnership to support entrepreneurship initiatives; (iii) extensive experience developing national or regional Entrepreneurship Support Organizations ecosystem development; and (iv) it will increase aid effectiveness and transparency.

The implementation by this entity entails Output 2.1 (Enhanced capacity of Entrepreneurship Support Organizations in providing in a sustainable way services to the young business ecosystem) and will help develop a 2022-2030 strategy to strengthen the African ecosystem of Entrepreneurs Support Organizations (accelerators and incubators, angel investors and equity fund managers, academia, etc. as part of the IYBA TEI) as well as develop the first phase of the strategy (2022-2025)

<sup>37</sup> The list of EU restrictive measure (sanctions) is reflected in the [www.sanctionsmap.eu](http://www.sanctionsmap.eu). Note that the sanctions map is an IT tool for identifying the sanctions regimes. The Official Journal of the European Union is the official source of European Union law and, in case of conflict, its content prevails over that of the Sanctions Map.

#### 13.4. Indicative Budget

Indicative Budget components <sup>38</sup>	EU contribution (EUR)	Third-party contribution, in currency identified
<b>Implementation modalities</b> – cf. section <b>Error! Reference source not found.</b>		
<b>Output 1.1:</b> Improved strategic alignment and cooperation of EU and other international partner's interventions contributing to the IYBA TEI strategic approach. Procurement (direct management) – cf. section 0	2.000.000	N.A.
<b>Output 2.1:</b> Enhanced capacity of Entrepreneurship Support Organizations in providing in a sustainable way services to the young business ecosystem. Indirect management with MS Organisation - cf. section <b>Error! Reference source not found.</b>	19.500.000	Further-co-financing from the EU Member States will be defined at a later stage.
<b>Evaluation – Audit</b>	400.000	N.A.
<b>Contingencies<sup>39</sup></b>	100.000	N.A.
<b>Totals</b>	22.000.000	---

#### 13.5. Organisational Set-up and Responsibilities

The Action will be implemented through two differentiated contracts that will require two organizational structures. The coordination between both structures will be done at a higher organizational level (beyond the Action), within the governance structure of the IYBA Team Europe Initiative Platform that will bring together all relevant EU and international actors involved in this wider initiative on a regular basis and that will serve as an “umbrella” for this Action as well as future ones embedded in the IYBA Team Europe Initiative. For this Action the two foreseen organizational structures will be:

- **To achieve the Specific Objective 1**, a management unit (team of consultants) established in Brussels will be responsible for the operationalisation of the TEI IYBA. They will be responsible for providing the technical assistance to the IYBA Platform. The management unit will have the necessary expertise and experience to oversee the implementation activities under this objective and will coordinate and provide technical expertise for the mobilisation and participation of the IYBA platform stakeholders.
- **To achieve Specific Objective 2**, the Action will use a Delegation Agreement with one or several EU Member States Organizations (through a consortium), taking advantage of their expertise but also bringing on board their financial resources to ensure a wider scope of intervention of this objective. Because of the nature of the intervention, the organizational set-up will need to be done at two levels:
  - To ensure an adequate, decision making process and technical follow-up (including active participation of the EU (HQ and EU Delegations), the intervention will have a **steering committee** which will meet twice a year to discuss the implementation and validate the overall direction and policy of the project in all its activities. The EU will co-chair the steering committee together with EU Member States Organisations. Other relevant stakeholders (including those part of the wider IYBA TEI platform) such as SSA regional bodies and organizations will be invited to participate as observers. .
  - **From an operational point of view, and for the day to day implementation**, a project management unit (PMU) will be established in Brussels. The PMU is different from the previous one in its activities and in its

<sup>39</sup> Consider that contracts where no financing agreement is concluded, contingencies have to be covered by individual and legal commitments by 31 December of N+1.



nature since its main objective will be to take a leading role in the technical execution of the activities as well as ensure coordination between implementing agencies, between implementing agencies and the EU and with the wider IYBA TEI platform members to ensure alignment with other existing or new initiatives. The Project Management Unit staff may be recruited from the staff of the implementing agencies or specifically hired for the project under the recruitment rules of the implementing agencies.

Internal operational rules for the Steering of Output 2.1 are to be developed in a further stage in order to manage the project effectively and adhere to contractual obligations. The division of tasks between the participating EU Member States Organisations is to be outlined in more detail throughout the contracting phase. This may be based on thematic areas to be covered by the project and/or on a regional division of tasks. No preference is expressed at this stage as to which division will be the most efficient and effective since all partners have demonstrated experience in a wide range of themes and regions.

### 13.6. Pre-conditions

Although a number of discussions and workshops with EU Member States have taken place with regards to IYBA TEI, including specifically the Ecosystem Support Initiative, some further discussion will need to take place to further explore their involvement and financial contribution. To date the discussion show great interest in pursuing this TEI including the long term approach to ecosystem development.

## 9. PERFORMANCE MEASUREMENT

### 14.1. 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 log frame.

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).

For Output 2.1 some of the proposed indicators will require additional studies/surveys in order to collect baseline and final data. In view of the multi-country and multi-sector nature of the Action, this will mean that during the inception phase, once a first selection of potential Countries is agreed upon, for each country, availability of relevant public statistics will be researched by the implementers for use as baseline and subsequently to measure progress at the end of the Action.

Where such public data is not available the implementers will launch specific surveys at start and end of the Action to measure progress. The cost associated to these possible surveys will be integrated in the financing agreement.

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).

### 14.2. Evaluation

Having regard to the nature of the Action final evaluation(s) will be carried out for this Action or its components via independent consultants via an implementing partner.

Specifically for output 2.1, because the Action is embedded in a 2022-2030 Strategy towards EBO ecosystem development between the Commission and the EU MS, the results will be used to determine the success factors and lessons learned that should shape the second phase of the strategic approach that should take place between

The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination<sup>40</sup>. 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.

### 14.3. 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 audit or verification assignments for one or several contracts or agreements.

## 10. COMMUNICATION AND VISIBILITY

The 2021-2027 programming cycle will adopt 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.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

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<sup>40</sup> See best [practice of evaluation dissemination](#)

## **Action Document for Providing protection through durable solutions for persons of concern evacuated from Libya in the Emergency Transit Mechanisms in Niger and Rwanda**

### 14.4. Summary of the Action

This action aims to provide protection, emergency assistance and durable solutions to refugees and asylum-seekers at risk in Libya, including in urban areas and those being held in detention centres through emergency evacuation to Niger and Rwanda for processing of durable solutions in third countries. The Emergency Transit Mechanisms (ETMs) have facilitated the evacuation of most vulnerable refugees and asylum-seekers from Libya to Niger from 2017, and since September 2019 to Rwanda. Access to Refugee Status Determination (RSD), resettlement and complementary legal pathways is provided in these transit countries to find durable solutions in third countries, countries of origin, countries of first asylum, or even local integration.

## 11. RATIONALE

### 15.1. Context

This action builds on the priorities set by the European Commission in the joint Communication ‘Migration on the Central Mediterranean Route: Managing flows, saving lives’<sup>41</sup> released on 25 January 2017, confirmed and further developed by the European Council in the Malta Declaration issued on 3 February 2017. In addition, the action complements the efforts being pursued through the African Union (AU) - EU – United Nations (UN) Task Force, which aims to save and protect lives of migrants and refugees along the routes and in particular inside Libya. It is also aligned with the New Pact on Migration and Asylum<sup>42</sup>, the strengthened partnership with Africa, the Communication ‘Lives in Dignity’ and will contribute to SDG 5 on gender equality and SDG 10 specific target (10.7) to facilitate orderly, safe, regular, and responsible migration and mobility of people and the principle under the United Nations 2030 Agenda for Sustainable Development to ‘leave no one behind’. This action aligns with the strategic priority of the EU to improve asylum management and quality asylum space in the region while addressing root causes of both primary and secondary displacement.

The action contributes to the consequent fulfilment of human rights and gender equality, in line with participating states international human rights commitments.

Moreover, it contributes to the EU Gender Action Plan III (GAP III)<sup>43</sup> and particularly its thematic areas of engagement ‘Integrating the women, peace and security agenda’ and ‘Ensuring freedom from all forms of gender-based violence’.

#### Political impact:

The ETMs were set up as part of a comprehensive response to the Central Mediterranean migration crisis and provides emergency solutions for the most vulnerable asylum seekers whose plight in Libya is compounded by the overall precarious political and security situation in the country and exacerbated by an increase in interceptions at sea by the Libyan Coast Guards that is usually followed by arbitrary detention.

In 2017, the EU, the UN, and the AU committed to support voluntary returns of migrants to their country of origin, and facilitate access to durable solutions for people with international protection needs through the ETMs, which are mostly funded by the European Commission and European Member States. Most of the people of concern evacuated are eventually resettled in Europe or North America, the ETMs facilitate this resettlement process by allowing for the refugee status determination to take place in a safe environment.

<sup>41</sup> JOIN(2017) 4 final JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT, THE EUROPEAN COUNCIL AND THE COUNCIL Migration on the Central Mediterranean route Managing flows, saving lives of 25/01/2017

<sup>42</sup> COM(2020) 609 final, 23.9.2020 – section 6.2. COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS on a New Pact on Migration and Asylum of 23/09/2020

<sup>43</sup> JOIN(2020) 17 final JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT AND THE COUNCIL EU GENDER ACTION PLAN (GAP) III – AN AMBITIOUS AGENDA FOR GENDER EQUALITY AND WOMEN’S EMPOWERMENT IN EU EXTERNAL ACTION {SWD(2020) 284 final} of 25/11/2020

Since this situation continues to follow according to the same patterns, it is necessary to continue providing this assistance.

This action will be closely coordinated with the envisaged future Central Mediterranean Team Europe initiative (TEI), whose geographical scope should include Libya and Niger, as well as with the Western Mediterranean TEI, which should also include Niger.

## 15.2. Problem Analysis

Short problem analysis: Domestic politics:

Libya is situated on an important geo-political crossroad in the Central Mediterranean route, attracting thousands of asylum-seekers, refugees and migrants to its coastline seeking access to Europe through treacherous desert land and unpredictable sea journeys. Libya continues to suffer from interlinked political, conflict and insecurity, and economic crises that are driving conflict, damaging its economy, weakening state institutions, and facilitating criminal gangs and the existence of non-state armed actors. The situation continues to cause great hardships to Libyans and non-Libyans, and contributes to ongoing displacement of Libyans from their homes and a precarious situation for migrants in the country.

Libya became a major transit hub towards Europe with the eruption of the Libyan civil wars in 2011 and 2014, and the liquidity crisis in 2018. Despite acute protection needs for people on the move, lack of an asylum system, migration governance and weak national capacities limit the implementation of an effective protection framework. Libya is not party to the 1951 Convention relating to the Status of Refugees and does not have a functioning asylum system, however, is a signatory of the 1969 Organization of African Unity (OAU) Convention Governing the Specific Aspects of Refugee Problems in Africa. As of August 2021, 42,210 refugees and asylum-seekers were registered in Libya, 57 % of whom fulfilled vulnerability criteria. There are an estimated 5,926 refugees and migrants (including 88 per cent men and 12 per cent women) held in official detention centres in Libya. Of these, approximately 1,713 are persons of concern to UNHCR.

The Governments of Niger (2017) and Rwanda (2019) accepted to host the ETMs. Each ETM is based on a tripartite Memorandum of Understanding (MOU) signed between the Government, UNHCR and the AU and limits the number of people of concern that can be hosted at any given time. Hosting ETMs is an expression for the two host Governments of solidarity with fellow Africans in need. Yet it can be the source of internal tensions if the needs of the host communities are not well taken into account. Particularly in Niger, the complex security situation has translated into further forced displacement, notably internally, and efforts to support the ETM in Niger should not be seen as competing with other forms of assistance for Niger citizens or other displaced populations in Niger.

The ETMs permit the evacuations of refugees via flights from Libya to Niamey and Kigali. Since November 2017, vulnerable refugees and asylum-seekers departed from Libya with the support of UNHCR and essential contribution of the European Union. With the following breakdown: 3,318 persons evacuated to ETM Niger and 515 persons evacuated to ETM Rwanda

In the last year and a half the number of evacuation flights to the ETMs has been limited, due to the closure of orders due to Covid 19 Pandemic but as well by various blockages that the Libyan authorities implemented. In 2020, 281 refugees left Libya to ETM Niger and 209 to ETM Rwanda. Only one evacuation flight left in 2021 from Tripoli to Kigali (ETM Rwanda) on the 15 of July with 133 individuals evacuated.

Finally the situation of UNHCR in Libya remains of concern as there is no progress on the issuance of visas for staff or regarding the host country agreement with the Libyan authorities. The lack of visas and the consequent remote management pose an integrity risk for the implementation of UNHCR activities in Libya.

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

**The Government of Rwanda:** All activities will be planned and implemented in close collaboration with national and local level government counterparts in Rwanda. In Rwanda, UNHCR will continue to develop and strengthen its strong partnership with the Government in support of the hosting of the evacuation mechanism on Rwandese territory. The Government of Rwanda is involved in clearing cases and facilitating administrative formalities required to ensure

the entry of evacuees into Rwanda. In this manner, Rwanda demands recognition as an active actor on migration and protection issues in Africa.

**The Government of Niger:** All activities will be planned and implemented in close collaboration with national and local level government counterparts in Niger. In Niger, UNHCR will continue to develop and strengthen its strong partnership with the Government in support of the hosting of the evacuation mechanism on the Niger territory and to ensure further continuation of capacity building of national authorities on refugee protection.

**Resettlement countries:** The achievement of resettlement targets outlined in this Action will be dependent on the allocation of quota, currently over 13,700 pledges from non-EU and EU Member states for the central Mediterranean route. UNHCR will continue to advocate for adequate quotas, complementary legal pathways, streamlined administrative requirements/procedures evacuees and timely departure of approved persons. The Commission and Member States are currently discussing new resettlement pledges that should also include resettlement from Rwanda and Niger. The EU will continue to support financially through the Asylum, Migration and Integration Fund (AMIF) the EU Member States for their resettlement efforts.

**Non-governmental organisations:** UNHCR will continue to work or develop new cooperation mechanisms with partners to implement ETM related activities in protection and reintegration assistance foreseen within the context of the action. Non-Governmental organisations (NGOs) representing rights of right-holders, particularly women and people on move in the most vulnerable situations (such as unaccompanied children and persons with disabilities, victims of sexual and gender-based violence (SGBV), lesbian, gay, bisexual, transgender, intersex, and questioning (LGBTIQ+), with protection capacity, specifically response capacity in the sectors of health (including sexual and reproductive health), SGBV and psychosocial support, will support UNHCR in responding to the needs of evacuees while in Rwanda and Niger.

**Direct beneficiaries:** Persons of concern to UNHCR in Libya, evacuees and host communities in Niger and Rwanda, persons of concern benefiting from a durable solution/complementary legal pathways and host communities in resettlement countries.

## 12. DESCRIPTION OF THE ACTION

### 16.1. Objectives and Expected Outputs

The Overall Objective (Impact) of this action is to provide life-saving emergency assistance, protection and sustainable solutions in third countries, country of origin/first asylum or through local integration for refugees and asylum-seekers along the Central Mediterranean Route.

The Specific(s) Objective(s) (Outcomes) of this action are to:

6. Provide life-saving assistance and equal access to services to all evacuees in the framework of the ETMs
7. Identify and process durable solutions for persons in need of international protection, including victims of trafficking in human beings, in the framework of the ETM (including Niger-registered refugees and People of Concern (POCs) in Agadez in the context of the ETM Niger)
8. Peaceful coexistence between the ETM populations and host communities is promoted

The Outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are

- 1.1 Emergency assistance and basic services are provided to evacuees upon arrival at the airport and throughout their stay at the ETM reception centres
- 1.2 Institutions and non-state actors benefit from gender-responsive capacity building on international human rights, refugee protection and resettlement issues, camp management, etc.
- 2.1 Refugee status determination (RSD) conducted
- 2.2 Eligible cases for resettlement (RSD) to third country are identified and submitted
- 2.3 Complementary legal pathways (CLPs) are gender-responsive, identified, supported and facilitated
- 2.4 Other durable solutions, including voluntary return for those who are willing to repatriate to their country of origin/first country of asylum or local integration are facilitated
- 3.1 Improve peaceful coexistence between the ETM population and the host communities

## 16.2. Indicative Activities

### Activities related to Output 1.1

- Management and upkeep of the ETM infrastructure and staff
- Provision of services upon arrival including: (1) registration; (2) gender-responsive medical screening; (3) food; (4) distribution of core relief items; (5) and installation in appropriate safe accommodation that is barrier free for persons with disabilities.
- Early identification of (potential) victims of trafficking in human beings and referral to assistance and support services.
- Provision of meals (preferably in the form of cash transfers) and non-food items, including bed sheets, towels, hygiene kit, clothing and SIM cards.
- Access health care, including sexual and reproductive health, SGBV, child protection and psycho-social assistance (on-site or through referral), recreational and life-skill activities is provided
- Access to optimal education and technical and vocational training (TVET) is provided and incentivised
- Issuance of individual documentation to enable PoCs to access services including Cash-based interventions (CBI)

### Activities related to Output 1.2

- Capacity building of national counterparts, NGO/CSO and UNHCR staff on camp management and specific activities related, including COVID-19 prevention, mitigation and response, etc.
- Capacity building of national counterparts, NGO/CSO and UNHCR staff on international protection needs, asylum system and refugee status determination, complementary legal pathways, specific needs of victims of trafficking in human beings, etc.

### Activities related to Output 2.1:

- Refugee status determination conducted in accordance with key protection principles
- Best interest determination/assessment conducted for children (unaccompanied or separated children)

### Activities related to Output 2.2:

- Resettlement processing conducted
- Resettlement files submitted to third countries, including follow up
- Preparation of travel documents for departures to third countries

### Activities related to Output 2.3:

- Compilation of information on existing complementary legal pathways of admission and associated eligibility criteria;
- Training of staff on complementary legal pathways and dissemination of this gender-responsive information amongst the refugee community;
- ETM evacuees receiving counselling and advice in support of access to complementary legal pathways to admission (including: family reunification, humanitarian visa, study visa, labour mobility schemes)
- Administrative support to access such complementary legal pathways, including with consular sections, educational institutions, ...
- Transportation to destination countries if needed
- Advocacy activities will be conducted in support of admission in destination countries.

### Activities related to Output 2.4:

- ETM evacuees receiving counselling on voluntary return to country of origin, country of first asylum or local integration
- Administrative support for voluntary return or local integration, including with consular/immigration sections
- Transportation to destination countries if needed
- Provision of integration assistance upon return or setting up residence in ETM transit countries

### Activities related to Output 3.1:

- Identification of Quick Impact Projects (QIPs) and life-skill activities for the benefit of host communities as well as ETM evacuees
- Implementation of QIPs and life-skill activities

- Select ETM beneficiaries are supported and trained in basic leadership and dispute resolution skills to help them address communal and intra-communal differences
- Gender-responsive communication and mediation activities are promoted in ETMs.
- Host community involvement in social and recreational activities, etc.
- Joint projects are encouraged to facilitate cohesion
- When possible/necessary host communities are invited to benefit from ETM-related activities and/or infrastructure (for instance for access to water, health services, incl. sexual and reproductive health, skills training programmes)
- When suitable, women and men in all their diversity of the host communities are equally provided with decent job opportunities within the ETMs.

### 16.3. Mainstreaming

Mainstreaming in AAP is very general and provided possibly before the mandatory analysis at action level are realised. This sections is based on the mainstreaming annex. We suggest to keep it.

#### **Environmental Protection & Climate Change**

**Outcomes of the SEA screening** (relevant for budget support and strategic-level interventions)

The Strategic Environmental Assessment (SEA) screening concluded that no further action was required.

**Outcomes of the EIA (Environmental Impact Assessment) screening** (relevant for projects and/or specific interventions within a project)

The EIA (Environment Impact Assessment) screening classified the action as Category C (no need for further assessment).

**Outcome of the CRA (Climate Risk Assessment) screening** (relevant for projects and/or specific interventions within a project)

The Climate Risk Assessment (CRA) screening concluded that this action is at no or low risk (no need for further assessment)

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#### **Gender equality and empowerment of women and girls**

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G1. This implies that gender considerations will be mainstreamed in all activities of the project, with gender and age sensitive information campaigns, implementation and running of centres in a gender-sensitive manner, a focus on youth and women for the development of income generating activities, equal participation in trainings and sex and age disaggregated data. Unaccompanied minors and victims of trafficking in human beings will be provided with specialised, gender specific and child sensitive assistance and protection. Women and girls are particularly vulnerable to trafficking, predominantly for the purpose of sexual exploitation and have often encountered specific trauma on the migration route or during detention. Special attention will hence be paid to their specific vulnerabilities. With regards to SGBV and health care services, incl. sexual and reproductive health, the action will ensure that female nurses/counsellors as well as staff with the right language skills are available to liaise with the PoCs and ensure they have full access to available protection and assistance services. Resettlement criteria, which will guide both evacuations and submissions of the cases of refugees are gender sensitive taking into account factors such as risk of sexual exploitation and the heightened protection risks of LGBTIQ persons of concern.

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#### **Human Rights**

The action will focus on the well-being and personal development of persons of concern, in full respect of their human rights. It will be based on non-discrimination principles, self-determination and participation of the migrants and refugees as well as confidentiality and right to privacy. Protection mechanisms taking into account the vulnerability of the refugees such as ensuring the best interest and rights of the child will always be ensured and be at the forefront of all considerations. In particular, early identification of, as well as assistance and protection for victims of trafficking in human beings will take into account the gender and age of the victims and the consequences of the specific type of exploitation suffered. The Action will engage as much as possible all relevant stakeholders at the local, national, regional and international levels in order to achieve a broad and comprehensive understanding of effective protection and migration management policies. A 'do-no harm' approach to ensure that migrants and communities are not negatively affected by the actions will be applied. Good governance and human rights will be integrated in all areas of intervention. Capacity building activities of key stakeholders will promote good governance principles with an emphasis on a human rights based approach to refugee assistance.

### Disability

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0. This implies that a particular focus will be given to the beneficiaries' specific needs, whether they are related to their stay in Libya, such as sexual and gender-based violence, psycho-social stress or to the difficulties they face to adapt in Rwanda or Niger while waiting for the availability of durable solutions.

### Democracy

The ultimate aim of the ETM is that refugees access durable solutions, which if attained will ensure they ultimately have access to their full democratic rights in the relevant country.

### Conflict sensitivity, peace and resilience

Peaceful coexistence with local populations is a cross cutting issue which will be considered across all elements of the implementation of this Action. For the success of the Action, it is essential that efforts are made to maintain dialogue with local population and ensure sensitisation of the community.

### Disaster Risk Reduction

Disaster Risk Reduction will be mainstreamed into the management of the ETM centres.

### Other considerations if relevant

N/A

## 16.4. Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
External environment	Risk 1: The deterioration of the security situation in Libya limits access for case identification and processing	High	High	UNHCR Libya is reinforcing case identification and screening processes through the training of national staff members and local partners, as well as advocacy with relevant Libyan authorities
External environment	Risk 2: Libyan authorities in charge (mainly the Directorate for Combating Illegal Migration (DCIM)) will repeat the blockage of the departures of evacuation flights.	High	High	UNHCR and UN EU AU Trilateral Task Force will continue to call on the authorities of Libya to ensure the full resumption of humanitarian evacuations and voluntary return flights for refugees and migrants from Libya.
External environment	Risk 3: Lack of progress on the issuance of visas for UNHCR Libya International staff. The lack of visas and the consequent remote management pose an integrity risk for the implementation	Medium	Medium	UNHCR and EU we will continue to advocate all levels with the Ministry of Foreign Affairs (MoFA) through interventions in Libya but also through Headquarter interventions by the High Commissioner. Further, UNHCR to be supported through the UN Resident/Humanitarian Coordinator as well.



	of activities in Libya.			
External environment	Risk 4: Libyan authorities suspend ETM evacuations to Niger and Rwanda, or political developments such as general elections are impacting the processing and flights to the ETM countries	<b>High</b>	<b>High</b>	UNHCR Libya continuously advocating with relevant Libyan authorities, with advocacy support from EU Delegation and EU MS as well as other bilateral and multilateral institutions.
Planning, processes and systems	Risk 5: Potential resettlement cases cannot be identified	<b>Low</b>	<b>Low</b>	Proactive case identification by functional units and Partners, enhanced through refresher trainings on human rights based, child-friendly and gender-responsive resettlement case identification, vulnerability, referral, resettlement criteria and anti-fraud. UNHCR will reinforce case processing mechanisms, including pre-screening to verify family compositions and supporting documentation to ensure effective and human rights based processing capacity. The approach will be supported by a careful monitoring that is based on as a minimum sex, age disability and migratory status disaggregated data.
Planning, processes and systems	Risk 6: Fraud related to the selection of beneficiaries	<b>Medium</b>	<b>High</b>	Standard Operating Procedures (SOPs) are up to date and measures to combat fraud strengthened. - Cases identified for resettlement are approved for processing in accordance with SOPs. - Refugee biodata is checked and verified against the UNHCR's Profile Global Registration System (proGres), including the use of the Biometric Identification Management Systems (BIMs) to verify the data of the applicants (such as iris and fingerprint scans).
Planning, processes and systems	Risk 7: Education, labour mobility schemes and humanitarian visa remain difficult to obtain for refugees.	<b>Medium</b>	<b>Low</b>	UNHCR will continue to advocate for increases of places available for refugees and favourable decision practice. At the same time UNHCR set targets in this Action relatively low to minimise risks.
External environment	Risk 8: Too restrictive resettlement criteria posed by resettlement countries may limit case identification and submission	<b>Medium</b>	<b>High</b>	UNHCR and EU continue to advocate for standard gender-responsive resettlement criteria, based on specific vulnerabilities and protection needs of different groups, to be considered for case identification.
External environment	Risk 9: Resettlement	<b>Medium</b>	<b>High</b>	UNHCR and the EU will continue to advocate for increased resettlement quotas

	countries fail to provide adequate resettlement quotas to respond to needs			within the framework of international commitments on responsibility sharing
People and the organisation	Risk 10: Tensions arise between the refugees and the host community	<b>Low</b>	<b>Low</b>	UNHCR will promote and ensure peaceful coexistence between refugees and host communities, through activities such joint activities in the community, as well as quick impact projects benefiting both the evacuees and host populations in Niger and Rwanda with particular focus on ensuring women's participation and child and disability -friendly services. In case there are indigenous peoples (such as Batwa in Rwanda) living in the area of implementation, their rights to their ancestral lands and natural resources will be respected and equal access to services ensured.
People and the organisation	Risk 11: PoCs leave the ETM facilities and flee to neighbouring countries	<b>Low</b>	<b>Low</b>	UNHCR will provide PoCs with adequate care and support upon arrival, including protection and assistance throughout their stay in Rwanda/Niger, as well as registration and case processing to identify the durable solutions for persons with international protection needs, including victims of trafficking in human beings. This will incentivise refugees to stay within the facilities, where their needs will be met.
External environment	Risk 12: COVID-19 pandemic continues affecting travel from Libya to ETMs and from ETMs to third countries	<b>High</b>	<b>Medium</b>	Government emergency measures in Libya, Niger and Rwanda are followed, including quarantine periods. Third countries are allowing continuous interview missions and departures of PoCs.
External environment	Risk 13: Refugee Status Determination (RST) processes are too lengthy	<b>Medium</b>	<b>Medium</b>	Advocacy and support to third countries to invest in quicker and more flexible RST processes.

#### **Lessons Learnt:**

The Phase 1 of the ETM Niger and Rwanda where the object of a specific monitoring exercise by the EU Emergency Trust Fund for Africa (EUTF)'s Monitoring and Learning System (MLS). The report contains a number of lessons-learned that are reflected in this action document and will be duly taken into account during the contractual and implementation phase.

### 16.5. The Intervention Logic

The underlying intervention logic for this action is that by providing a safe transit mechanism for POCs from Libya through provision of emergency protection and lifesaving assistance this action will ultimately give them access to durable solutions, including resettlement, complementary legal pathways, voluntary return to their country of origin or country of first asylum, and local integration.

## 16.6. Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) will be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- Summative progress updates should provide an overview of major indicators.
- Annual interim reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)

Results	Results chain (a): Main expected results (maximum 10)	Indicators (a): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
Impact	To provide life-saving emergency assistance, protection and sustainable solutions in third countries, country of origin/first asylum or through local integration for refugees and asylum-seekers, including (potential) victims of trafficking in human beings, along the Central Mediterranean Route	1 # of PoCs benefitting of life-saving assistance and services in the ETMs (including Niger-registered refugees and PoCs in Agadez), disaggregated by sex, age, disability	Niger: 13,318 persons (November 2017 to July 2021) 29 % female, 71 % male  Rwanda: 648 persons (September 2019 to July 2021)\ 22 % female, 78 % male	Niger: 14,100 persons  Rwanda: 5,700 persons i 2	UNHCR reports and statistics	Not applicable
Outcome 1	1 Life-saving assistance and services to evacuees in the framework of the ETM provided	# of PoCs evacuated from Libya to ETMs in Niger and Rwanda, disaggregated by sex, age, disability	Niger: 3,318 persons (November 2017 to July 2021) 29 % female, 71 % male  Rwanda: 648 persons (September 2019 to July 2021)\ 22 % female, 78 % male	Niger: 2,000 persons  Rwanda: 2,600 persons	UNHCR reports and statistics	<ul style="list-style-type: none"> <li>• The political situation in Libya is not deteriorating.</li> <li>• The Libyan authorities continue granting UNHCR access to detention centres, allow registration of persons of concern to UNHCR and allow ETM departures to take place.</li> <li>• The Government of Niger/Rwanda remains willing to host the ETM facility and will not reduce the max. number of ETM evacuees in the country.</li> <li>• Resettlement countries continue to accept Libya evacuees and Niger registered refugees.</li> <li>• The security situation in Niger is not deteriorating and access for humanitarian workers and international resettlement</li> </ul>

						missions by third countries is possible <ul style="list-style-type: none"> <li>• COVID-19 pandemic and associated emergency measures in place in Libya, Niger/Rwanda or destination countries allows for continuation.</li> </ul>
<b>Outcome 2</b>	2 Processing and durable solutions for persons in need of international protection, including (potential) victims of trafficking in human beings, in the framework of the ETM (including Niger-registered refugees and PoCs in Agadez in the context of the ETM Niger) identified	# of persons accessing refugee status determination and resettlement submissions to third countries, complementary legal pathways, voluntary return or local integration, disaggregated by sex, age, disability  # of victims of trafficking in human beings identified and referred to assistance and support	Niger: 3,318 persons (November 2017 to July 2021) 29 % female, 71 % male  Rwanda: 648 persons (September 2019 to July 2021)\ 22% female, 78% male	Niger: 5,100 persons  Rwanda: 2,700 persons	UNHCR reports and statistics	<ul style="list-style-type: none"> <li>• Enough resettlement pledges or other durable solutions are made available by third countries, also taking into account the type of PoCs mainly in need of resettlement (single young men).</li> <li>• Time between submission of cases and actual departure of PoCs is reduced to a minimum allowing further evacuations from Libya.</li> </ul>
<b>Outcome 3</b>	3 Peaceful coexistence between the ETM population and the host communities promoted	# of persons from host communities benefitting from quick impact projects and/or life-skill/recreational activities, disaggregated by sex, age, disability	Niger: 10,000 persons (November 2017 to July 2021)  Rwanda: 100 persons (September 2019 to July 2021)\	Niger: 9,000 persons  Rwanda: 3,000 persons	UNHCR and partner reports	<ul style="list-style-type: none"> <li>• Government of Niger and government of Rwanda and local authorities support the implementation of QIPs and provide constructive support</li> </ul>
<b>Output 1 related to Outcome 1</b>	1.1 Emergency assistance and basic services are provided to evacuees upon arrival at the airport and throughout their stay at the ETM reception centres	1.1.1 # of persons hosted in ETM facilities in Niger and Rwanda, disaggregated by sex, age 1.1.2 # of persons receiving assistance packages (access to basic needs, protection,	1.1.1 Niger: 3,318 persons (November 2017 to July 2021) 29 % female, 71 % male	1.1.1 Niger: 2,600 persons Rwanda: 2,700 persons 1.1.2 Niger: 5,100 persons	UNHCR and partner reports	<ul style="list-style-type: none"> <li>• Qualified partners identified to support UNHCR's implementation.</li> </ul>

		recreational activities), disaggregated by sex, age	Rwanda: 648 persons (September 2019 to July 2021)\ 22 % female, 78 % male  1.1.2 Niger: 3,318 persons (November 2017 to July 2021) 29 % female, 71 % male  Rwanda: 648 persons (September 2019 to July 2021)\ 22 % female, 78 % male	Rwanda: 2,700 persons		
<b>Output 2 related to Outcome 1</b>	1.2 Institutions and non-state actors benefitted from capacity building on refugee protection and resettlement issues, camp management, etc	1.2.1 # of participants benefitted from trainings to enhance their understanding and capacity in regard to protection of refugees and asylum-seekers, resettlement, camp management, etc. disaggregated by sex, age	1.2.1 Niger: 491 persons Rwanda: n/a	1.2.1 Niger: 400 persons Rwanda: 200 persons	UNHCR reports; list of participants	<ul style="list-style-type: none"> <li>National and local government officials, as well as non-state actors, partner and UNHCR staff are willing to attend trainings</li> </ul>
<b>Output 1 related to Outcome 2</b>	2.1 Refugee status determination conducted	2.1.1 # of PoCs undergone refugee status determinations, disaggregated by sex, age	2.1.1 Niger: 3,305 Rwanda: 511 persons	2.1.1 Niger: 4,500 cases Rwanda: 2,600 persons	UNHCR reports and statistics	<ul style="list-style-type: none"> <li>UNHCR has sufficient human resource capacities for timely RSD processing (including interpretation services)</li> <li>Government of Niger and Government of Rwanda</li> </ul>

						recognise UNHCR RSD procedures and decisions
<b>Output 2 related to Outcome 2</b>	2.2 Eligible cases for resettlement to third countries identified and submitted	2.2.1 # of resettlement files (cases) submitted to third countries, disaggregated by sex, age  2.2.2 # of PoCs departed to third countries on resettlement	2.2.1 Niger: 2,918 cases Rwanda:  2.2.2 Niger: 3,730 persons Rwanda: 285 persons	2.2.1 Niger: 3,000 cases Rwanda: 2,000 cases  2.2.2 Niger: 4,600 persons Rwanda: 2,600 persons	UNHCR reports and statistics	<ul style="list-style-type: none"> <li>Enough resettlement pledges are made, also taking into account the type of PoCs mainly in need of resettlement (single young men).</li> <li>Time between submission of cases and actual departure of PoCs is reduced to a minimum allowing further life-saving evacuations from Libya.</li> <li>Departures from Niger/Rwanda are depending on the reception capacity of Resettlement countries</li> <li>Processing of submitted resettlement files by third countries are continuous (including departures), even during restrictive periods (such as COVID-19 pandemic, heightened security phases, etc.)</li> </ul>
<b>Output 3 related to Outcome 2</b>	2.3. Complementary legal pathways identified, supported and facilitated	2.3.1. # of PoCs receiving counselling and advice in support of access to complementary legal pathways to admission, disaggregated by sex, age  2.3.2. # of PoCs departed through complementary legal pathways	2.3.1 Niger: n/a Rwanda: n/a  2.3.2 Niger: 54 persons Rwanda: 0 persons	2.3.1 Niger: 1,000 persons Rwanda:  2.3.2 Niger: 600 persons Rwanda: 100 persons	UNHCR and partner reports	<ul style="list-style-type: none"> <li>Solutions such as humanitarian visas/evacuations/medical evacuations/family reunifications/etc. are made available by third countries.</li> <li>Processing of submitted complementary legal pathway files by third countries are continuous (including departures), even during restrictive periods (such as COVID-19 pandemic, heightened security phases, etc.)</li> </ul>
<b>Output 4 related to Outcome 2</b>	2.4. Other durable solutions, including voluntary return for those who are willing to repatriate to their country of	2.4.1. # of PoCs receiving counselling and advice for voluntary return or local integration	2.4.1 Niger: 15 persons Rwanda: n/a	2.4.1 Niger: 100 persons Rwanda: 50 persons	UNHCR and partner reports	<ul style="list-style-type: none"> <li>Situation in countries of origin/first asylum is not deteriorating.</li> </ul>

	origin/first country of asylum or local integration promoted	2.4.2. # of PoCs departed through voluntary return 2.4.3. # of PoCs received local integration packages	2.4.2 Niger: 2 persons Rwanda: 0 persons  2.4.3 Niger: 0 persons Rwanda: 0 persons	2.4.2. Niger: 20 persons Rwanda: 10 persons  2.4.3. Niger 25 persons Rwanda: 10 persons		• Options for local integration are available.
<b>Output 1 related to Outcome 3</b>	12.1. Coexistence between ETM populations and communities improved	12.1.1. # of QIPs implemented in areas where ETM evacuees are hosted	Niger: QIPs implemented Rwanda: n/a	3.1.1. Niger: 18 QIPs Rwanda: 6 QIPs	UNHCR and partner reports	• GoN and GoR, as well as local authorities and host communities authorise QIPs and take part actively



## 13. IMPLEMENTATION ARRANGEMENTS

### 17.1. Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with the partner countries.

### 17.2. Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 2 will be carried out and the corresponding contracts and agreements implemented, is 54 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

### 17.3. Implementation Modalities

The Commission will ensure that the EU appropriate 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.

#### 17.3.1. Indirect Management with an international organisation

This action will be implemented in indirect management with UNHCR. This implementation entails achieving the objectives and outputs and implementing the indicative activities described in section 3.1 and 3.2 of this action document.

The envisaged entity has been selected using the following criteria: mandate and MOUs acquired with partner and host Governments to carry out the activities, experience gained through the first phase of the ETM, unique mandate and role of UNHCR with regards to resettlement. The entity must be pillar-assessed.

### 17.4. 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, subject to the following provisions.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

### 17.5. Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)	Third-party contribution, in currency identified
<b>Implementation modalities</b> – cf. section 4.3		
<b>Objective/Output 1:</b> “Provide life-saving assistance and services to evacuees in the framework of the ETMs,” composed of:	38 000 000	4 059 777 EUR
Indirect management with UNHCR	38 000 000	4 059 777 EUR
<b>Objective/Output 2:</b> “Process and identify durable solutions for persons in need of international protection, including victims of trafficking in human beings, in the framework of the ETM (including Niger-registered refugees and PoCs in Agadez in the context of the ETM Niger)”, composed of:	16 200 000	2 252 825 EUR

Indirect management with UNHCR	16 200 000	2 252 825 EUR
<b>Objective/Output 3:</b> “Promote peaceful coexistence between the ETM population and the host communities”	1 800 000	160 298 EUR
Indirect management with UNHCR	1 800 000	160 298 EUR
<b>Evaluation</b> – cf. section 5.2 <b>Audit</b> – cf. section 5.3	will be covered by another Decision	N.A.
<b>Totals</b>	56 000 000	6 472 900 EUR

## 17.6. Organisational Set-up and Responsibilities

This action brings together the two ETMs and involves a large number of actors in various locations. For this reason a steering committee will be established composed of UNHCR (in Geneva, Brussels, Niger, Rwanda and Libya/Tunis), the EU (relevant Commission Services - INTPA and NEAR- as well as the EUDs in Libya, Rwanda and Niger), representatives of regional or Governmental entities as appropriate and representatives of the beneficiaries. This steering committee will be established and have its first meeting within three months of the signature of the contract. It will then meet regularly and at least every six months. The steering committee will review implementation of the activities, implementation of lessons-learned and will discuss possible adjustments. Meetings can be virtual.

Furthermore, at national level, UNHCR will liaise with national/local government authorities and report to the EUD to ensure it is fully kept abreast of progress and developments and can duly participate in visibility activities.

At UNHCR level, this action is managed by the West and Central Africa Bureau (covering Niger) and the East and Horn of Africa and the Great Lakes Bureau (covering Rwanda) in close coordination with the office of UNHCR’s Special Envoy for the Mediterranean crisis in Tunis, the Libya operation, the Direction for International Protection in HQ Geneva and the UNHCR EU DRRM Unit based in Brussels. Due to the importance of this grant, as well as the constantly changing Libya context, UNHCR employs a Senior staff member/Project Manager who oversees the contracting, implementation monitoring and reporting to the EU for all activities funded by the European Commission and ensures the communication between the two contracting parties jointly with the EU Global Issues Unit in Brussels.

The detailed list of positions and their justification for the relevance of this action will be part of the budget annex. It is important to acknowledge that the diversity of activities included in this action require a high number of staff positions. Further, the need of having staff being available on 24/7 basis for all activities related to UNHCR activities for the reception of evacuation flights causes in addition to the protection nature of activities this justifiable high number of staffs charged to this action.

For the implementation of the action, UNHCR relies on international and national NGOs, which are specialized in their relevant fields for certain activities, while others are implemented directly by UNHCR. The selection of partner organizations follows a strict procedure consisting of Call of Expression of Interest, partner performance evaluation and monitoring. This process is overseen by the multi-functional Implementing Partner Management Committee (IPMC) and start in the second half of each year.

At ETM level, UNHCR will put in place a consultative structure with beneficiaries that promotes the active and meaningful participation of key stakeholders, including rights holders such as youth, women organizations and organizations representing vulnerable and marginalized groups and provides reasonable accommodation to allow participation of persons with disabilities.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

Gender equality, human rights and human rights based approach expertise will be ensured during the implementation of the action as possible. They will also be integrated in relevant capacity building activities and documents (i.e. ToRs etc), as minimum requirements of expertise.

## 14. PERFORMANCE MEASUREMENT

### 18.1. 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 UNHCR's responsibilities. To this aim, UNHCR has established 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.

Monitoring and evaluation will assess gender equality results, an impact on rights of groups living in the most vulnerable situations and the implementation of the rights based approach working principles (applying all human rights for all; meaningful and inclusive participation and access to decision-making; non-discrimination and equality; accountability and rule of law for all; and transparency and access to information supported by disaggregated data). Monitoring and evaluation will be based on indicators that are disaggregated by sex, age, disability and migratory status when applicable. Disaggregated data collection will be supported through the action.

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).

Roles and responsibilities for data collection, analysis and monitoring:

UNHCR has established a permanent internal, technical and financial monitoring system for the action and prepare regular progress reports and final reports. UNHCR will rely on their existing internal monitoring system, both technical and financial. A Monitoring and Evaluation (M&E) framework will also be established at each level of intervention (activities, expected results, and objectives). As this is a multi-country programme covering two distinct ETMs, indicator values will be measured on a country-by-country basis. In the initial phase, the indicative logical framework agreed in contract and / or the agreement signed with the implementing partner must be complemented with baselines, gender analysis, milestones and targets for each disaggregated indicator as much as possible. Progress reports provided by UNHCR should contain the most recent version of the logical framework agreed by the parties and showing the current values for each indicator. The final report should complete the logical framework with initial and final values for each indicator. The final report, financial and descriptive, will cover the entire period of the implementation of the action.

Project Implementing Partners will be required to provide regular data, including the evolution of the actual values of the indicators (at least every three months) to the contracting authority, in a format which is to be indicated during the contract negotiation phase.

### 18.2. Evaluation

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

A mid-term evaluation will be carried out for problem solving and learning purposes, in particular with respect to the efficiency of the mechanism in terms of resettlement and to assess whether lessons learned from phase 1 and implemented in phase 2 (this action) made a difference.

A final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision).

The Commission shall inform the implementing partner at least 1 month in advance of the dates envisaged 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 taking into account data protection, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination<sup>44</sup>. 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

<sup>44</sup> See best [practice of evaluation dissemination](#)

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.

### 18.3. 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 audit or verification assignments for one or several contracts or agreements.

## 15. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt 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.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

**ANNUAL PLAN**

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation, and action plan in the sense of Article 23 (2) of NDICI-Global Europe Regulation.

**18.4. Summary of the Action**

Forced displacement in Sub-Saharan Africa has reached record highs and is mostly protracted. It is also highly localised with most refugees originating from a small number of countries and a small number of countries hosting most refugees. This action aims to contribute to alleviating protracted forced displacement in Sub-Saharan Africa by:

9. Promoting policy dialogue and commitments in favour of refugees and other displaced populations
10. Contributing to the protection needs of the forcibly displaced
11. Providing durable solutions for forcibly displaced populations

This regional action intends to provide sustainable, diversified and localised solutions to protracted displacement situations in the Horn of Africa, the Sahel and Lake Chad regions and for the Central African Republic (CAR) situation. It will support regional responses to displacement crises while at the same time providing direct assistance to the countries of origin as well as the countries hosting the forcibly displaced under those regional responses, including a focus on cross-border areas when relevant. It will focus on refugees, returnees<sup>45</sup> and cross border displacement, and complement actions expected to be developed as part of country programmes, as well as humanitarian actions financed by the EU, notably for internally displaced persons (IDPs), and crisis response and conflict prevention actions.

In the spirit of responsibility sharing, assistance will include supporting refugees in asylum countries, including by matching the pledges the concerned Governments made at the Global Refugee Forum, for instance on the inclusion of refugees in national and local development plans and national systems for education and health, energy and infrastructure, efforts to end encampment or to provide documentation for refugees. Assistance will also be provided to create conditions in countries of origin for voluntary return in safety and dignity, when the conditions allow or support protection and durable solutions in countries affected by the crisis. The action will also tackle the complex nexus existing between migration, extreme events and climate change, responding to a pledge of the African Union and supporting the implementation of National Determined Contributions to the Paris Agreement of several countries and their national adaptation plans.

In the Horn of Africa and for the CAR situation, it will make use of and provide assistance to the Support Platforms and other coordination and policy dialogue mechanisms, including through relevant regional economic communities (RECs) such as the Intergovernmental Authority on Development (IGAD), the Economic Community of West African States (ECOWAS) and the Economic Community of Central African States (ECCAS) to support a regional response to displacement. It will notably support the new 'Solutions Initiative for the Sudan and South Sudan Displacement Situation', launched by the office of the United Nations High Commissioner for Refugees (UNHCR) and IGAD in close coordination with the EU in October 2020 under the IGAD Platform to find lasting solutions for 7 million displaced persons (including 3 million refugees or almost half the refugees in Sub-Saharan Africa) in and from the two countries. It will also support solutions for the displacement of Somalis, which remains a key concern in the Horn of Africa with around 2.9 million Somalis internally displaced due to conflict, drought and floods, and roughly 800,000 Somalis hosted as refugees in the region and more than 130,000 Somali refugees having recently returned in precarious conditions. It will also support the launch of a new Support Platform for the CAR situation, in which close to a third of the 4.7 million Central African Nationals have found themselves uprooted. The Support Platform will help galvanise attention and allow for the setting up of comprehensive and diverse solutions for the many refugees, asylum seekers, displaced and host populations.

In the Lake Chad Basin, the Protection Strategic Framework focuses on addressing key protection concerns and risks, with a focus on cross-border and common protection issues for refugees, returnees and IDPs through a common comprehensive approach and coordinated mechanism among relevant stakeholders. In line with the EU and UN Integrated Strategy for the Sahel and the Protection Response in the Sahel, the Action foresees to support the Bamako

<sup>45</sup> As per the UNHCR definition of returnees: "A person who was of concern to UNHCR when outside his/her country of origin and who remains so, for a limited period (usually two years), after returning to the country of origin. The term also applies to internally displaced persons who return to their previous place of residence."

Process and interventions focussing on increasing coordination mechanisms in the region, providing protection and assistance to persons of concern as well as supporting durable solutions to their situation.

## 16. RATIONALE

### 19.1. Context

Africa has recorded a steady economic growth; however, a number of challenges persist including political instability, conflicts and security issues, recurrent and protracted food crises, climate change, extreme events, environmental degradation and biodiversity loss, as well as the detrimental impact of the COVID pandemic. Almost 400 million people live below the poverty line across the continent and lack access to basic services in the area of health, education and nutrition, while inequality and governance challenges have not allowed for an inclusive growth. Rapid and continuous population growth puts additional pressure on natural resources, the labour market and service delivery. These factors have contributed to exacerbating forced displacement in the region, while also increasing the burden on countries hosting the forcibly displaced (Africa hosts over a quarter – 28 % - of refugees worldwide). At the same time, unmet needs of forcibly displaced and associated humanitarian responses are putting additional pressure on natural resources. While data are not always available to estimate to what extent environmental degradation and climate change can trigger or aggravate conflict, 95 % of all conflict displacements in 2020 occurred in countries vulnerable or highly vulnerable to climate change<sup>46</sup>. Disasters can also strike populations already uprooted by conflict, forcing them to flee multiple times.

The EU calls for a strategic partnership with Africa to tackle together the emerging challenges and to pursue common interests. Both the EU and Africa are fighting climate change<sup>47</sup>. The World Bank estimates that, in Sub-Saharan Africa alone, climate change may trigger the migration of up to 70 million people by 2050. The objectives of the Multi-Annual Indicative Programme for Sub-Saharan Africa (regional MIP) are aligned with the SDGs and the main components of the United Nations 2030 Agenda for Sustainable Development. The regional MIP is structured around six priority areas and their respective components with the understanding that appropriate inter-linkages will be established both in the programming provisions and in the identification and formulation of specific actions.

This action intends to contribute to Priority area 6 of the regional AAP: 'Migration, mobility, and forced displacement', Specific Objective 2: 'Address protection and long-term needs and support durable solutions for forcibly displaced populations and host communities', Result 2.1: 'Refugee and asylum seekers needs and rights are addressed in a balanced, coherent, comprehensive and coordinated manner aiming at the implementation of the Global Compact for Refugees and its comprehensive refugee response framework' of the regional MIP, stressing the importance of increasing resilience of refugees and IDPs, among them to the impacts of climate change, climatic variability and natural extreme events. These efforts will pursue integration between adaptation, development and humanitarian aid.

This action is aligned with the Communication on a New Pact on Migration and Asylum<sup>48</sup>, the strengthened partnership with Africa, the Communication 'Lives in Dignity'<sup>49</sup> and will contribute to the 10 % spending target foreseen in the NDICI-Global Europe and to SDG 10 to reduce inequality within and among countries, specific target (10.7) to facilitate orderly, safe, regular, and responsible migration and mobility of people.

<sup>46</sup> As defined by the ND-Gain Index (<https://gain.nd.edu/our-work/country-index/>).

<sup>47</sup> JOIN (2020) 4 final JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT AND THE COUNCIL Towards a comprehensive Strategy with Africa of 09/03/2020.

<sup>48</sup> COM(2020) 609 final COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS on a New Pact on Migration and Asylum of 23/09/2020

<sup>49</sup> COM(2016) 234 final COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS Lives in Dignity: from Aid-dependence to Self-reliance Forced Displacement and Development {SWD(2016) 142 final} of 26.4.2016

This action will contribute to the implementation of the Global Compact on Refugees<sup>50</sup>, affirmed by the UN General Assembly in 2019, which puts in place a new comprehensive refugee response model. It envisions predictable and sustainable support to ease pressures on countries hosting refugees, enhances opportunities for refugees to become self-reliant, expands their access to third-country solutions, and supports conditions in refugees' countries of origin so that they may be able to return in safety and dignity.

The Compact set out arrangements to ensure that both refugees and their host communities benefitted from this support. The EU supported the Compact as well as the setting up of Regional Refugee Support Platforms (Support Platforms). Support Platforms, established with UNHCR support, bring together a multi-stakeholder coalition to address specific refugee situations as a key part of the Global Refugee Compact commitments. The Nairobi process under IGAD chair has been the first of those platforms, and has benefitted from significant EU policy, technical and financial engagement since 2016.

The proposed action reflects a strong 'people-centred approach' that focuses on improving individual and local communities' self-reliance, social justice and participatory decision-making. It will mainstream environment and climate change, aligning with the external dimension of the EU Adaptation Strategy<sup>51</sup>, that envisage a humanitarian-development-peace nexus approach to reach the most exposed, vulnerable, conflict-prone or marginalised communities, leaving no one and no place behind. The geographical priorities of the Adaptation Strategy coincide with the scope of this Action (Africa, Small Island Developing States and Least Developed Countries). The EU supports, among others, the African Adaptation Initiative, the African Risk Capacity, and has launched the Africa Research and Innovation Partnership.

It will also contribute to the implementation of the Gender Action Plan III<sup>52</sup> and promote gender equality and women's empowerment and reduce any form of gender discrimination. Programmes implemented in conflict-sensitive countries where Conflict Analysis Screenings are on-going or are planned, will take into account the outcome of such analyses. Women and girls displaced by conflict face particular risks, and those displaced by disasters tend to be disproportionately affected. Globally, women account for 80 % of the people displaced by the impacts of climate change. Poor women and children are up to 14 times more likely to be killed than men by a climatic-induced disasters. They also have different adaptive capacities that are often overlooked.

The proposed action will also ensure a close cooperation with other EU-funded programmes such as those funded under the EU Emergency Trust Fund for Africa (EUTF) or the Asylum, Migration and Integration Fund (AMIF) as well as regional and multilateral institutions, including financial institutions (in particular, IGAD, ECCAS, ECOWAS, the Lake Chad Basin Commission and the UN, AU and the World Bank), particularly where there is alignment with EU priorities. The actions will also contribute to reinforce cooperation with civil society, local authorities as appropriate in line with the regional value added and subsidiarity principle, as well as the private sector, social and other stakeholders on shaping the multilateral landscape. It also fits in a Humanitarian - Development - Peace (HDP) nexus approach, and will therefore also include our humanitarian counterparts.

All actions funded under the regional MIP demonstrate a clear added-value from a regional perspective in line with the subsidiarity principle. For this action in particular, all efforts will be made to ensure coherence and complementarity between regional and national programmes, as per the principles of subsidiarity and burden sharing. The Action will also support in the implementation of the National Determined Contributions to the Paris Agreement of those African countries that stated in their nationally-determined contributions (NDCs) that migration and displaced people are a priority of their climate adaptation plans<sup>53</sup>.

<sup>50</sup> The compact foresees as its fourth component the Support to the implementation of the Paris Agreement under the United Nations Framework Convention on Climate Change and GCM Commitments on climate change and migration (United Nations Network on Migration WORKPLAN 2021 – 2022 PRIORITIES).

<sup>51</sup> COM(2021) 82 final COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS Forging a climate-resilient Europe - the new EU Strategy on Adaptation to Climate Change {SEC(2021) 89 final} - {SWD(2021) 25 final} - {SWD(2021) 26 final} 24/02/2021

<sup>52</sup> JOIN(2020) 17 final JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT AND THE COUNCIL EU GENDER ACTION PLAN (GAP) III – AN AMBITIOUS AGENDA FOR GENDER EQUALITY AND WOMEN'S EMPOWERMENT IN EU EXTERNAL ACTION {SWD(2020) 284 final} of 25/11/2020

<sup>53</sup> Angola, Cabo Verde, Chad, Comoros, Madagascar, Malawi, Mali, Mauritania, Namibia, Nigeria, Rwanda, Senegal, Somalia, South Sudan, Sudan (<https://www.climatewatchdata.org/ndcs-explore>) mention in their INDC/NDC (i) forced



## 19.2. Problem Analysis

### Short problem analysis:

According to the latest global trend report of UNHCR (June 2021)<sup>54</sup>, ‘the East and Horn of Africa (E&HoA), and Great Lakes (GL) regions hosted 4.5 million refugees at the end of 2020, rising by 3 % or 122,800 people during the year. Those regions now host nearly 1 in every 5 refugees worldwide. The largest regional increase in the number of refugees in 2020 was however in West and Central Africa (+12 %). Globally, the number of refugees under the UNHCR’s mandate has more than doubled in the last decade, with now a record high of 1 in 6 people in the world being forcibly displaced.

Yet forced displacement is highly localised. Globally, eight out of every 10 people displaced across borders originate from just ten countries (82 %) and more than two thirds (68 %) of all refugees (and Venezuelans displaced abroad) come from just five countries. In Africa, ten countries account for 88 % (28 million) of all forcibly displaced people on the continent. In turn, developing countries host 86 % of refugees (73 % are hosted in neighbouring countries) globally. Three countries (Uganda, Sudan and Ethiopia) alone hosted over two-thirds of refugees in the E&HOA and GL regions, or some 13 % of all people displaced across borders globally. At the same time six countries (South Sudan, DRC, Somalia, Sudan, CAR and Eritrea) in those regions continue to be in the top 10 of countries of origin for refugees in the world. In 2020, Sub-Saharan Africa accounted for 11.1 million of displacements. Climatic disasters often overlap with conflict in sub-Saharan Africa as cause of new and repeated displacement. In 2020, they triggered a record 4.3 million new displacements across the region (39 % of displaced people) and left around 2.3 million people living in internal displacement as of the end of the year. Somalia (1 million), Ethiopia (0.66 million), and South Sudan (0.44 million) are the countries with the highest number of new displacements in 2020. Kenya (0.33 million), Niger (0.27 million) and Nigeria (0.27 million) are the countries where the number of displacements due to disasters overpass those due to conflicts. During 2020, in countries not affected by conflicts (Angola, Burundi, Malawi, Madagascar, Tanzania, and Uganda) displacements due to disasters account for 0.22 million<sup>55</sup>.

Forced displacement is also overwhelmingly protracted. An estimated 76 % of refugees find themselves in a protracted situation. The protracted situation of most refugees remains unaddressed yet in the meantime, the COVID-19 pandemic has undermined the capacity of developing countries hosting these refugees. Already fragile health infrastructures are stretched in helping local populations, not to mention refugees. The pandemic has also eroded crucial income from trade, tourism, and remittances and set back gains made against poverty in these countries.

The U.N. Summit for Refugees and Migrants organized in September 2016, led to the affirmation of the Global Compact for Refugees (GCR) in 2018, which emerged from a broadly supported multilateral process and offers a rich array of innovative policy tools. The Compact reiterates the importance of traditional durable solutions for achieving permanent protection for refugees by calling for the expansion of ‘access to third country solutions’, and ‘support conditions in countries of origin for return in safety and dignity’. In recognition of the protracted nature of most refugee situations around the world, it builds on the 1951 Refugee Convention and calls for the international community to work together to improve the self-reliance of refugees and the resilience of their host communities by transforming refugees from a humanitarian burden to a development and economic opportunity. The GCR also led to the creation of the support platform concept as a tool to respond to the most protracted and complex refugee situations. In a spirit of partnership and in line with host country ownership and leadership, their functions include: (i) galvanising political commitment and advocacy for prevention, protection, response and solutions; (ii) mobilising financial, material and technical assistance, as well as enhancing resettlement and complementary pathways; and (iii) facilitating coherent humanitarian and development responses.

This Action intends to provide sustainable, diversified and localised solutions to protracted displacement situations in the IGAD, the Sahel and Lake Chad regions and for the CAR situation. It will support the Regional Refugee Support Platforms and other coordination and policy dialogue mechanisms, including through relevant RECs (IGAD, ECOWAS and ECCAS), while at the same time providing direct assistance to countries of origin as well as countries

displacement, and/or (ii) migration, and/or (iii) planned relocation as defined by the Cancun Adaptation Framework on human mobility.

<sup>54</sup> <https://www.unhcr.org/statistics/unhcrstats/60b638e37/global-trends-forced-displacement-2020.html>.

<sup>55</sup> [Global Report on Internal Displacement 2021](#).



of asylum, in full respect of the Kampala Convention<sup>56</sup>. In the spirit of responsibility sharing, assistance will include matching the pledges the concerned Governments made at the Global Refugee Forum in December 2019 in Geneva for instance on the inclusion of refugees in national and local development plans and national systems for education and health, energy and infrastructure, efforts to end encampment policies and provide valid national documentation for refugees and asylum seekers. Assistance will also be provided to create conditions in countries of origin for voluntary return in safety and dignity when the conditions allow or support protection and durable solutions in countries of origin affected by the crisis. In the same year, the African Union also highlighted the importance of better understanding the escalation in conflict among communities grappling with the effects of climate change and called for accelerated implementation of the Sendai Framework's target E with a focus on durable solutions<sup>57</sup>.

In the **Horn of Africa**, the IGAD support platform builds on the IGAD Nairobi process, which has successfully encouraged IGAD member states to adopt and implement commitments in favour of refugee protection and integration. It was initiated to address the regional Somali forced displacement situation and then expanded to all IGAD Member States. It aims at providing durable solutions for the forcibly displaced and also covers three thematic policy dialogues on education, livelihood and health. The EU has supported the Nairobi process/Platform since 2016 both at the regional level and through its application in IGAD Member States and is considered as one of the key partners for IGAD and its Member States in the area of forced displacement. The EU along with UNHCR, the World Bank, Germany and UNDP is an active member of the 'core group' that supports and provides strategic direction to the platform. The Nairobi process has contributed to operationalising progressive policies for refugees throughout the IGAD region but forced displacement remains a challenge for the region, particularly in the wake of the COVID-19 pandemic and the EU needs to continue its engagement to ensure host Governments are adequately supported and conditions for durable solutions are conducive. In line with the EU Adaptation Strategy, the EU will support the Article 16 of the IGAD Free Movement Protocol signed in 2020<sup>58</sup>. The Article calls upon IGAD Member states to allow those who have been displaced by disasters to seek refuge in their territory, to take measures to facilitate their stay and the exercise of their rights and to ensure that they will not be sent home until it is safe and reasonable to return. It also incorporates those at risk of displacement and allows them to move pre-emptively to avoid or mitigate disaster impacts. The effective implementation of the IGAD Protocol in the context of disasters and climate change will require Member states to realise policy coherence facilitating the integration of climate change action plans with migration policies<sup>59</sup>.

Most recently, the new 'Solutions Initiative for the **Sudan and South Sudan** Displacement Situation', launched by UNHCR and IGAD in close coordination with the EU in October 2020 under the IGAD Platform, aims to harness peace dividends stemming from the implementation of the peace agreements to find lasting solutions for 7 million displaced persons (including 3 million refugees or almost half the refugees in Sub-Saharan Africa) in and from the two countries. It will culminate in a Heads of State Summit later this year during which regional and national strategies will be launched. In South Sudan flooding added disaster displaced, with 0.4 million displaced both in 2020 and 2021<sup>60</sup>, South Sudan's national adaptation plan recognises that people displaced by conflict are among the most vulnerable to climate change impacts, and that the convergence of extreme weather events with conflict means climate change adaptation projects need to promote conflict prevention and peacebuilding.

The displacement of Somalis remains a key concern in the Horn of Africa. The number of internally displaced persons in **Somalia** has increased from 1.2 million in 2016 to 2.9 million in 2021 due to conflict, drought and floods<sup>61</sup>, and roughly 800,000 Somalis are hosted as refugees in the region while more than 130,000 Somali refugees have returned. Returnees to a large extent join IDP settlements where access to basic services and livelihood opportunities are extremely limited. Housing, land and property rights of returnees and IDPs are rarely respected and many face constant threats of forced evictions. A set of new migration policies and laws have been adopted and more are in the

<sup>56</sup> <https://au.int/en/treaties/african-union-convention-protection-and-assistance-internally-displaced-persons->

<sup>57</sup> African Union, 'Africa Common Position to the 2019 Global Platform for Disaster Risk Reduction, 13-17 May, Geneva, Switzerland' 13 May 2019.

<sup>58</sup> IGAD (2020): Protocol on Free Movement of Persons in the IGAD Region.

<sup>59</sup> PDD (2019): The Role of Free Movement of Persons Agreements in Addressing Disaster Displacement in Africa with Focus on ECOWAS, IGAD and SADC Regions. Stakeholder Workshop Report. (<https://disasterdisplacement.org/wp-content/uploads/2020/07/PDD-Free-Movement-Stakeholder-Workshop-Report-2019.pdf>).

<sup>60</sup> <https://reliefweb.int/report/south-sudan/south-sudan-flooding-snapshot-21-october-2020>, <https://erccportal.jrc.ec.europa.eu/ECHO-Products/Echo-Flash#/daily-flash-archive/4309>

<sup>61</sup> In 2020, on top of floods, extraordinary humid conditions helped to fuel eastern Africa's worst locust infestation in 25 years. Thousands of farmers in Somalia were forced to move in search of assistance.

making and Somalia's ratification of the Kampala Convention is a promising step towards improving the situation of displacement-affected communities in Somalia.

Violence surrounding the **Central African Republic's** presidential and parliamentary elections in December 2020 has displaced over 344,000 people (213,000 IDPs and 131,275 refugees)<sup>62</sup>, bringing the total number of uprooted Central African nationals to close to a third of the population of 4.9 million. People have fled inside the Central African Republic, as well as seeking refuge in Cameroon, the Democratic Republic of the Congo, Chad, the Republic of the Congo, and Sudan. The launch of a Support Platform for CAR, expected at the end of 2021, with UNHCR support, will galvanise attention and allow for the setting up of comprehensive and diverse solutions for the many refugees, asylum seekers, displaced and host populations, including support to voluntary and dignified return of CAR refugees within the 2019 Tripartite agreement between Cameroon, CAR and UNHCR and local integration as appropriate. While negotiations for its creation are progressing well, it will require clear engagement from the concerned countries (CAR, Cameroon, Congo, DRC, Chad) and of ECCAS, whose capacities to coordinate a regional response to forced displacement is still limited.

The **Lake Chad Basin** crisis<sup>63</sup> has led to the forced displacement of 3.1 million persons (2.8 million IDPs in Chad, Cameroon, Nigeria and Niger and over 298,000 Nigerian refugees in Chad, Cameroon and Niger). Additional support to Nigeria and affected countries in providing protection and comprehensive durable solutions to forced displaced populations will further support peaceful cohabitation with host communities and alleviate the possible negative impact on domestic politics. The EU has been operationalising the humanitarian-development-peace nexus approach in the Lake Chad basin with the UN agencies and the World Bank and contributed to the Stabilisation Facility for the Lake Chad which has confirmed EU's commitment in the region. Ongoing support to the crisis and the affected countries in the region such as Niger and Chad remains key in our relations with the countries and the partners as stabilising an already fragile broader region is crucial for the EU. Linkages with the Lake Chad Basin Commission's Regional Stabilisation Strategy may be pursued and encouraged, including the Regional Strategy for the Stabilisation, Recovery & Resilience of the Boko Haram-Affected Areas of the Lake Chad Basin (RSS) updated in February 2021.

The **Sahel** is the fastest growing forced displacement crisis in Africa with over 3 million refugees, IDPs and returnees in Burkina Faso, Mali, Niger and Mauritania. It has led to significant internal and cross border movement resulting in particular to 580,000 forcibly displaced persons in Niger, 1.37 million in Burkina Faso<sup>64</sup> and 1.1 million in Mali. Supporting displaced populations and fostering durable solutions remains key to stabilising and supporting local and national authorities facing the crisis. In the Sahel region, the EU is the key partner of the G5 Sahel countries in responding to the protracted crisis. In line with the EU Integrated Strategy in the Sahel and the commitments taken at the N'Djamena Summit, the action will further support the efforts of the G5 Sahel countries with regard to the vulnerable populations in the region. It will contribute to strengthen EU's partnership with the Sahel countries in line with the EU Council Conclusions of 16 April 2021.

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

UNHCR: Under its Statute, UNHCR provides international protection to refugees and seeks permanent solutions for them, acting on the authority of the General Assembly (GA). In that capacity, it is the lead agency with respect to refugee protection, responsible for seeking solutions in the UN system in association with a wider array of stakeholders. As set out in subsequent GA resolutions, its responsibilities include coordination, provision of protection and assistance, obtaining solutions, and advocacy. Importantly, UNHCR also has a supervisory role: it is the UN entity most directly responsible for ensuring that States adhere to internationally accepted standards with respect to refugees and stateless persons and for strengthening States' capacity to protect such persons. UNHCR also plays a key role, recognised by the UN General Assembly with regards to returns of refugees to countries of origins. It is also a key actor with regards to internal displacement, including inter alia working on protection and identifying solutions in line with relevant GA resolutions.

Under the GCR, UNHCR is also able to activate Support Platforms, which are then led by a group of States that are committed to providing support. It can benefit from the engagement of other stakeholders as appropriate (including

<sup>62</sup> UNHCR – June 2021: <https://reliefweb.int/country/caf?figures=all#key-figures>.

<sup>63</sup> The Lake Chad region is caught in a conflict trap. Climate change and conflict dynamics create a feedback loop where climate impacts feed additional pressures while conflict undermines communities' coping capacity, as stated in a 2018 climate-fragility risk assessment of the Lake Chad region carried out by Adelphi.

<sup>64</sup> The majority of Burkina Faso's IDPs are women and children as conflict and displacement tear families and communities apart.

regional and subregional mechanisms and groupings, international organisations, international financial institutions, civil society, and the private sector).

The International Organisation for Migration (IOM): has a specific role ‘to concern itself with the organised transfer of refugees, displaced persons and other individuals in need of migration services’ (Art. 1§1b of the IOM Constitution). Furthermore, being mandated to deal with internal migration, IOM has substantial practical involvement in assistance to internally displaced persons, which is guided by the IOM policy paper on ‘Internally displaced persons: IOM Policy and Activities’. IOM has global experience in assisting IDPs, including in countries targeted through this action. IOM’s activities are aimed at assisting and protecting those who are displaced, including through camp management. Such interventions have improved the lives of IDPs, returnees, host and return communities and significantly contributed towards developing stability within regions. The International Organisation for Migration (IOM) and the United Nations High Commissioner for Refugees (UNHCR) globally co-lead the CCCM Cluster for natural disaster and conflict-induced IDP situations respectively. IOM also manages the Displacement Tracking Matrix (DTM) instruments, which are a way to track displacement be it internal or cross-border.

#### EU Member States and EU their agencies

Many EU Member States and their agencies are engaged in the regions targeted under this Action in the fields of forced displacement and all efforts will be made to coordinate closely with their activities and programs and increase synergies and complementarities in a Team Europe approach.

The World Bank (WB): As part of a global effort, the World Bank Group is actively engaged to help better manage the forced displacement crisis, in support of its mission to reduce poverty and contribute to achievement of the Sustainable Development Goals. Following onto the financing provided through the IDA 18, the WB will finance up to USD 2.2 billion in operations, including a dedicated sub-window of USD 1 billion for operations that respond to the impacts of COVID-19 under the IDA 19. The WB is a key partner of the EU and has many complementary programs, particularly in the Horn of Africa, where they are both members of the Core group supporting the IGAD Platform. Regular and active coordination between the two institutions will be key for this action.

Regional Economic Communities (RECs): IGAD, ECCAS and ECOWAS and their Member States: Under the leadership and guidance of the IGAD Secretariat, IGAD Member States were the first to adopt a regional response to forced displacement in 2016. The IGAD Nairobi process has led to substantial policy commitments in favour of the forcibly displaced and served as a blue print for the GCR Platform process. ECCAS and ECOWAS are similarly coordinating regional dialogue with their Member States on forced displacement and will be instrumental in promoting a regional approach to the issue.

National and local authorities affected by the displacement situations targeted under this action in: Sudan, South Sudan, Somalia, Ethiopia, Kenya, Djibouti, Uganda, Burkina Faso, the Central African Republic (CAR), Cameroun, the Democratic Republic of the Congo (DRC), Chad, Mauritania, Mali, Nigeria and Niger.

International and national NGOs will have a key role as implementing partners. Their involvement will be based on their expertise, operational capabilities on the ground, past good record implementing EU programs. They may be contracted directly through this action or work on this action through other implementers.

Civil society will have a crucial role, in relation to democratic participation and accountability, including anti-corruption. Civil society, especially at local level, may be instrumental for peacebuilding, human rights and outreach to vulnerable populations, as well as for providing services in relation to refugee challenges. Civil society will also be key in the realisation of the women, peace and security agenda, notably in monitoring, reporting and preventing human rights violations against women and girls in conflict.

Refugees, asylum seekers, IDPs, returnees and host communities’ interest and welfare will be at the centre of all considerations in this action. Diverse and specific activities and processes will be initiated to ensure their voice and will is constantly assessed, heard and taken into account when developing and implementing this action.

## 17. DESCRIPTION OF THE ACTION

### 20.1. Objectives and Expected Outputs

The Overall Objective (Impact) of this action is to contribute to address forced displacement in Sub-Saharan Africa through regional approaches

The Specific(s) Objective(s) (Outcomes) of this action are to

1. Promote regional policy dialogue and commitments in favour of refugees and other forcibly displaced populations
2. Contribute to the protection, resilience and self-reliance of the forcibly displaced and host communities
3. Provide durable, green and climate resilient solutions for forcibly displaced populations

The Outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are

- 1.1 To deepen regional dialogue and political commitment and advocacy for prevention, protection, response and solutions for the forcibly displaced through Support Platforms and other regional coordination mechanisms and processes, the nexus between climate change, disasters and conflicts, including options for policy monitoring and compliance
- 2.1 To improve protection, and resilience of refugee populations and host communities in a sustainable manner, in line with UNHCR and the Commission's green and low carbon practices
- 2.2 To support refugees' self-reliance
- 3.1 To support refugees' local integration in their host communities and local resilience in the face of climate-related and other environmental risks
- 3.2 To support the voluntary return of refugees in safety and dignity in their countries of origin when conditions are suitable, including by improving conditions in countries of origin

### 20.2. Indicative Activities

Activities related to Output 1.1

Strengthen regional responses to forced displacement by:

- Empowering the IGAD and CAR Support Platforms so that they can play their catalytic role by providing technical and financial support.
- Supporting the political dialogue and coordination role of RECs (IGAD, ECCAS and ECOWAS) to promote and monitor progressive policy commitments in favour of refugees through technical assistance, taking in consideration the interaction between climate and migration policies.
- Strengthening the protection of asylum seekers/refugees in host countries as per relevant international conventions, including through sensitisation of the stakeholders, and enhancing the capacity of national authorities to implement those conventions.

Activities related to Output 2.1:

Contribute to supporting the protection and other basic needs of the forcibly displaced with particular focus, where relevant, on the most vulnerable (children in particular) and the host communities, for instance by:

- Facilitating access to functional and sustainable health facilities and services for target groups (including for sexual and gender-based violence (SGBV))
- Increasing sustainable and climate resilient access to water and sanitation services including hygiene promotion and non-food items (soap, chlorine tablets...);
- Facilitating access to suitable secure, environmentally sound accommodation, land and safe shelter solutions including access to affordable and renewable clean energy;

Strengthening the resilience of the forcibly displaced, including by:

- Facilitating access to justice, rule of law, civil and legal documentation, improved protective environment (e.g. trained police, family reunification, freedom of movement, support to victims)
- Promoting peace building, reconciliation and healing among the displaced communities through dialogue and mediation

- Supporting the civil engagement and leadership role of young people (especially young women) and promoting dialogue with the youth

#### Activities related to Output 2.2:

Enhance opportunities for the forcibly displaced people with particular focus, where relevant, on the most vulnerable (children in particular) and the host communities to become more self-reliant for instance by:

- Facilitating access to education services: basic education centres, activities for school retention, access to secondary or tertiary education, vocational training centres in promising sectors, functional literacy, provision of training and incentives to teachers from the displaced community, incentivising the inclusion of the most vulnerable
- Promoting valuable work opportunities and alternative livelihoods to vulnerable groups
- Contributing to a conducive environment for private sector development, including by working with the local authorities to establish a conducive environment for entrepreneurship for the forcibly displaced
- Development of value chains and market linkages, involving both the forcibly displaced and host communities in order to increase their livelihood opportunities. This will be built on a sound and comprehensive understanding of existing markets and market infrastructure and the private sector and considering opportunities for green and circular economies to reduce pressure on depleted natural resources
- Increased financial inclusion of the forcibly displaced and host populations in activities to support livelihoods as well as improved financial literacy and entrepreneurial skills
- Support to small service providers and craftspeople through flexible demand and market oriented skills trainings
- Strengthening the pastoral and agricultural livelihoods of the forcibly displaced in view of supporting food security, including by mainstreaming ecological intensification and climate resilient practices
- Enhanced carrying capacity of allocated land for the forcibly displaced, environmental-friendly settlement planning, environmental actions plans (including rehabilitation and sustainable production systems), and improved local processing of agricultural products and market access by facilitating access to green investments (e.g. renewable energies, improved water access and use, etc...)

#### Activities related to Output 3.1:

- Promoting the integration of refugees in host communities by matching pledges of concerned Governments made at the Global Refugee Forum for instance on the inclusion of refugees in national and local development plans and national systems for education and health, inclusion of refugees in the labour market, efforts to end encampment or to provide documentation for refugees.
- Promoting harmonious relations between displaced and host communities for instance by supporting community initiatives and engagement and joint programs and initiatives
- Building the capacity of decentralised and local authorities in preparation of further forced displacement and facilitate both the management of new population in hosting areas by local authorities, and future integration.

#### Activities related to Output 3.2:

Provide assistance to create conditions in countries of origin (particularly in South Sudan, Sudan, Somalia, CAR and Mali) for voluntary return in safety and dignity when protection and other conditions allow, including by:

- Investing in safe and sustainable return areas, through an area-based approach, to ensure basic services like clean drinking water, shelters, energy, healthcare, passable roads, and primary and secondary education are available and viable to those who voluntarily return
- Supporting the gathering and sharing of information on main returnee areas, returnees and potential returnees in respect of their rights as data subjects within concerned stakeholders agencies (Intention to return, target locations, service mapping, protection assessment/analysis and risk analysis)
- Supporting the informed, voluntary dignified and safe movement/transport of the returnees/refugees to areas of origin
- Ensuring adequate capacity and safety of the reception and registration centres
- Providing access to basic services (shelter, energy, water, sanitation and hygiene (WASH), food, health), and/or reintegration packages to the people of concern
- Building the capacity of government institutions and local authorities to ensure sustainability, property restitution and improve their response capabilities
- Helping address the issue of housing, land and property rights

- Supporting access to documentation necessary to, inter alia, access public services, reclaim property and possessions, vote or pursue other purposes linked to durable solutions
- Supporting awareness arising and sensitisation campaigns as well as activities aiming at peaceful coexistence in the host communities
- 

### 20.3. Mainstreaming

#### **Environmental Protection & Climate Change**

##### **Outcome of the SEA screening (Strategic Environmental Assessment – relevant for budget support and strategic-level interventions)**

An SEA is not required but key environment and climate-related aspects will be addressed during the design of the action.

##### **Outcomes of the EIA (Environmental Impact Assessment) screening** (relevant for projects and/or specific interventions within a project)

Category B project not requiring an EIA, but for which environmental aspects will be addressed during the design of the action.

##### **Outcome of the CRA (Climate Risk Assessment) screening** (relevant for projects and/or specific interventions within a project)

The Climate Risk Assessment (CRA) screening concluded that climate risk aspects will be addressed during the design of the action.

Environmental protection and climate change will be mainstreamed along the Action. As part of objective 1 will support the promotion of a humanitarian greener sector and better integration of policies and actions between climate change, disaster risk reduction and migration. As part of objective 2 it will ensure that protocols and greener solutions are provided to support implementing partners. This action will support some of the pledges made by African Governments during the Global Refugee Forum for increasing climate resilience as a measure to decrease forced displacements. It will align to the NDCs of those African countries mentioning the linkages between climate change and migration.

#### **Gender equality and empowerment of women and girls**

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G1. This implies that a gender perspective is integrated throughout the Action with a focus on increased participation of women and girls in decision making, a systematic assessment of the particular needs and strengths of women and girls and gender disaggregated data at all levels.

#### **Human Rights**

The Action will be based on the full respect of the human rights of the forcibly displaced, as well as on non-discrimination principles and the self-determination and the participation of the displaced populations in all aspects of the action. The Action will engage as much as possible all relevant stakeholders at the local, national, regional and international levels in order to achieve a broad and comprehensive understanding of effective protection management policies. A “Do-No-Harm” approach will be applied that relies on the understanding/analysis of the impact of aid on existing conflicts & its interactions within a particular context, with the goal to limit or prevent unintended negative effects on the social fabric, the economy and the environment. Good governance and human rights will be integrated in all areas of intervention. Capacity building activities of key stakeholders will promote good governance principles with an emphasis on a rights-based approach to assistance to the forcibly displaced.

#### **Disability**

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0. This implies that while working on disability-related issues is not a main objective in this action, the specific needs of disabled beneficiaries (including for access to the facilities supported by this project) will be duly assessed and addressed.

#### **Democracy**

Displacement in Sub-Saharan Africa can be linked to failings in democratic processes and the state of democratic space in a given country. This action will support the restoration of protection of all democratic rights of the forcibly displaced.

**Conflict sensitivity, peace and resilience**

Displacement in Sub-Saharan Africa is directly related to the peace and security situation in the region. Programs will be designed and implemented with a conflict sensitivity lens. It will strive to increase peace amongst displaced communities and between displaced and host communities. It will also contribute to strengthening the resilience of displaced and host communities. In areas of return, care will be paid to a balanced assistance between returning refugees and returning IDPs and to the situation of existing populations not to create tension and disparity.

**Disaster Risk Reduction**

The Sendai Framework for Disaster Risk Reduction 2015-2030 (Sendai Framework) recognises disaster displacement – the forced or involuntary movement of people associated with disasters. Disaster Risk Reduction will be mainstreamed into all the programs stemming from this action both in terms of risk disaster reduction measures and in support of the regional dialogue supported by the EU via the Nansen Initiative (now Platform on Disaster Displacement), a state-led, bottom-up consultative process intended to build consensus on the development of a protection agenda addressing the needs of people displaced across international borders in the context of disasters and the effects of climate change, led by EU Member States and support by the EU as donor.

**Other considerations if relevant**

NA

**20.4. Risks and Lessons Learnt**

<b>Category</b>	<b>Risks</b>	<b>Likelihood (High/ Medium/ Low)</b>	<b>Impact (High/ Medium/ Low)</b>	<b>Mitigating measures</b>
People and the organisation	Risk 1 Low capacity of regional, national and local authorities to engage in the proposed activities.	<b>Medium</b>	<b>Medium</b>	Support to the RECs and governments at national and local level with capacity building and technical assistance is integrated into the action.
External environment	Risk 2 Deterioration of security situation preventing access to project sites, suspending activities and putting project staff at risk. Can also lead to displacement and influx or exodus of IDPs.	<b>High</b>	<b>High</b>	Implementing partners will be chosen that have experience working in these regions and have well-established security procedures in place. Thorough situation analysis and coordination, ongoing risk assessment will be required in all programs and specific measures taken accordingly. Do no harm approach to reduce or at least not exacerbate existing conflicts is key and will be strictly employed. Regular security assessments are undertaken in programme locations to take stock of the situation and mitigation measures are put in place. Interventions will be identified and implemented within the standard humanitarian principles of impartiality, independence and neutrality.
Planning, processes and systems	Risk 3 Tensions due to site selection; creation of social disruption.	<b>Low</b>	<b>Medium</b>	Selections of the project sites can fuel tensions in already volatile situations. To mitigate this, implementing partners will actively engage the local authorities and local communities in the design stage of the program, and in particular will include

				stakeholders at the local level. They will also play a key role during the implementation of the action in order to create ownership and inclusion
Legality and regularity aspects	Risk 4 Formal and informal barriers for displaced people, including the legal and policy framework, impede implementation.	<b>Medium</b>	<b>Medium</b>	The action is anchored on an active regional policy dialogue to improve the legal and regulatory framework for displaced people. Many of the host countries targeted in this action were CRRF pilots and direct support to the authorities for CRRF roll-out will help to address some of these barriers. On the ground, the implementing partners will engage the relevant government agencies to explore incremental changes in the enabling environment.
Communication and information	Risk 5 Tensions (including conflicts and competition over limited resources) between the forcibly displaced and host communities prevent progress towards an integrated approach.	<b>Medium</b>	<b>Medium</b>	The action adopts an inclusive and integrated approach targeting both the forcibly displaced and host communities, applying conflict sensitivity principles and implementing economic and social development initiatives to the benefit of both populations to foster social cohesion. In addition, specific sensitisation activities will be integrated and efforts will be made to ensure planning is a participatory process where the voices of both the forcibly displaced and host communities can be heard.
External environment	Risk 6 Spread of COVID-19 in targeted areas affecting the implementation of key activities for the Action.	<b>Medium</b>	<b>Low</b>	Key implementing partners have gained useful experience over the last 18 months, mitigation measures are in place in most refugee camps/areas and protocols and Government guidelines are being adhered to. Implementation of safety measures are in place to ensure that risk to staff and beneficiaries of contracting COVID-19 is minimised. Activities requiring the movement of people are likely to be the most affected, with delays in movement being most likely.
External environment	Risk 7 Insecurity and humanitarian access: As the security situation in most areas targeted under this action region remains volatile, implementing actors might not have access to the beneficiaries.	<b>Medium</b>	<b>High</b>	Alternative strategies, such as resorting to national actors, including for civil military coordination will allow activities on the ground to continue. Efforts are also underway to strengthen the level of acceptance of humanitarian actors in areas of return through greater interaction with members of communities in general, and affected people in particular, allowing for better security analysis and adaptation of safety measures. In case needed, there is a risk of having to reduce the scope of the Action due to a deterioration of security conditions in the areas of intervention.
External environment	Risk 8	<b>Medium</b>	<b>Medium</b>	Measures to reduce environmental degradation at camp site level and in



	New climatic extreme events increase the number of displacements and/or decrease the access to natural resources in camps			hosting communities like renewable energies, improved WASH systems, promotion of efficient cook stoves, reuse of products and subproducts for livelihood in a circular manner and the promotion of local solutions will mitigate the negative effects of climate change.
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#### **Lessons Learnt:**

Most EU forced displacement programs in Africa have so far been undertaken under the EUTF for Africa. On top of regular assessments such as ROMs or mid-term or final reports, EUTF programs were also regularly reviewed by the Monitoring and Learning System (MLS), which also produced specific case studies on programs. All those reports, when relevant to the program at hand will be re-examined to ensure all appropriate lessons learned are taken into account. Lessons learned from programs implemented under the Bekou Fund will also be duly taken into account. Furthermore, relevant Commission services, including the Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO), will be closely associated to the implementation of this AD to ensure lessons learned on the humanitarian side are also fully integrated in the spirit of the development-humanitarian nexus. Finally, relevant EUDs will also be closely associated with/or lead on the implementation of this AD to ensure lessons learned for each specific country context are also duly taken into account.

#### **20.5. The Intervention Logic**

The underlying intervention logic for this action is that if appropriate durable solutions are found for forcibly displaced populations, the protection needs of the displaced will be better addressed, they will be more self-reliant, they will enjoy increased rights and independence and the burden on the host communities will be alleviated.

Indeed, in a context of protracted displacement where the conditions for large-scale repatriation of exiled populations are not often met, the logic of intervention is articulated mainly around the concept of "responsible disengagement" with a view to search for sustainable solutions. In fact, the action thus targets activities for solutions "that will allow the displaced populations to return later or to integrate".

## 20.6. Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)

Results	Results chain (a): Main expected results (maximum 10)	Indicators (a): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
<b>Impact</b>	Contribute to addressing forced displacement in Sub-Saharan Africa through regional approaches	1 Regional approaches to forced displacement supported	1 0	1 5	1 Program reports	<i>Not applicable</i>
<b>Outcome 1</b>	1 Promoted policy dialogue and commitments in favour of refugees and other displaced populations	1.1 Number of policy coordination mechanisms on forced displacement supported	1.1 0	1.1 3	1.1 Outcome of regional meetings	
<b>Outcome 2</b>	2 Contributed to the protection needs of the forcibly displaced	2.1. Number of forced displacement areas supported to provide better access to basic services	2.1 0	2.1 20	2.1 Program reports 2.2	
<b>Outcome 3</b>	3 Provided durable solutions for forcibly displaced populations	3.1 Number of refugees voluntarily and safely returned, disaggregated by sex and age. 3.2 Number of areas supported to host returnees or IDPSs	3.1 0 3.2 0	3.1 100 000 3.2 8	3.1 Program reports 3.2 Program reports	
<b>Output 1 related to Outcome 1</b>	1.1 Deepened regional dialogue and political commitment and advocacy for prevention, protection, response and solutions for the forcibly displaced through Support Platforms and other regional coordination mechanisms and processes;	1.1.1 Number of support platforms supported through technical and/or financial assistance 1.1.2 Number of regional strategic policy commitments secured through regional dialogue supported through this program	1.1.1 0 1.1.2 0	1.1.1 2 1.1.2 4	1.1.1 Program reports, UNHCR reports, REC reports 1.1.2 Program reports, UNHCR reports, REC reports	
<b>Output 1 related to Outcome 2</b>	2.1 Improved protection, and resilience of refugee populations and host communities in a sustainable manner	2.1.1 Number of forcibly displaced assisted with health services, disaggregated by sex and age. 2.1.2 Increase in number of forcibly displaced having access to legal documents 2.1.3 Number of youth benefitting from engagement leadership training, disaggregated by sex and age. 2.1.4 Percentage of forcibly displaced having access to clean energy	2.1.1 0 2.1.2 0 2.1.3 0 2.1.4 0	2.1.1 50 000 2.1.2 5 % 2.1.3 300 2.1.4 10 000	2.1.1 Program reports 2.1.2 Program reports 2.1.3 Program reports	
<b>Output 2 related to Outcome 2</b>	2.2 Supported refugees' self-reliance	2.1.1 % decrease of refugees dependent on food assistance.	2.1.1 0 %	2.1.1 5 %	2.1.1 Program reports	

		<p>2.1.2 Number of forcibly displaced assisted to develop income generating activities, disaggregated by sex and age.</p> <p>2.1.3 Number of people supported receiving equipment / assistance for agricultural production activities / livestock / fishing, disaggregated by sex and age.</p> <p>2.1.4 Number of people supported receiving equipment / assistance for clean energy disaggregated by sex and age.</p>	<p>2.1.2 0</p> <p>2.1.3 0</p> <p>2.1.4 0</p>	<p>2.1.2 10,000</p> <p>2.1.3 5000</p> <p>2.1.4 5000</p>	<p>2.1.2 Program reports</p> <p>2.1.3 Program reports</p>	
<b>Output 1 related to Outcome 3</b>	3.1 Supported refugees' local integration in their host communities	<p>2.2.1 Number of projects for peaceful coexistence implemented</p> <p>2.2.2 Number of GCR country pledges supported</p>	<p>2.2.1 0</p> <p>2.2.2 0</p>	<p>2.2.1 30</p> <p>2.2.2 6</p>	<p>2.2.1 Program reports</p> <p>2.2.2 Program reports</p>	
<b>Output 2 related to Outcome 3</b>	3.2 Supported the voluntary return of refugees in safety and dignity in their countries of origin when conditions are suitable, including by improving conditions in countries of origin	<p>3.2.1 Number of return assessment reports conducted</p> <p>3.2.2 Proportion of refugees volunteering for return who are informed on their rights and the level of safety on the Return Routes, and who benefit from transport assistance and reintegration</p>	<p>3.2.1 0</p> <p>3.2.2 0</p>	<p>3.2.1 8</p> <p>3.2.2 70%</p>	<p>3.2.1 Finalised and distributed assessment reports</p> <p>3.2.2 Program reports</p>	

Work

## 18. IMPLEMENTATION ARRANGEMENTS

### 21.1. Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with the partner countries.

### 21.2. Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 2 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

### 21.3. Implementation of the Budget Support Component [For Budget Support only]

NA

### 21.4. Implementation Modalities

The Commission will ensure that the EU appropriate 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.

#### 21.4.1. Direct Management (Grants)

##### **Grants: (direct management)**

Call for proposals and direct award

The direct management part of the AD will be implemented through a mix of call for proposals when there are sufficient potential implementers and direct award when either an entity has a unique mandate with regards to the tasks (for instance IGAD or ECOWAS) or where the conditions on the ground require a direct award (for instance not enough potential implementing partners with the necessary operational reach; security/access restrictions particularly when it concerns remote refugee camps or reintegration areas; crisis declaration...)

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

The purpose of the intended grants is to contribute to the expected results under the following specific objectives:

Specific Objective 1 Promote regional policy dialogue and commitments in favour of refugees and other displaced populations

Specific Objective 2 Contribute to the protection, resilience and self-reliance of the forcibly displaced and host communities

Specific objective 3 Provide durable solutions for forcibly displaced populations

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

For specific objective 1, considering the specific political context, applicants will be selected using the following criteria: clear mandate or ability to conduct inter-governmental policy dialogue on forced displacement.

For specific objective 2 and 3, given the challenging operational and security context in many of the countries targeted applicants will be selected using the following criteria: technical competence and proven track record in implementing activities where the forcibly displaced are the main beneficiaries in the countries targeted in this action; ability to operate in the countries and localities targeted in this action and preferably proven experience and/or established operational presence in the countries and localities targeted in this action; ability to collaborate effectively with relevant stakeholders. The first choice will be grants awarded following calls for proposals to NGOs or civil society consortia but could also include grants to local authorities.

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

Under the responsibility of the Commission's authorising officer responsible, and as per point 11.1 of the annex I to the Financial Regulation a grant may be awarded without a call for proposals to NGOs in countries under crisis declaration.

Art 2, 21, (a) and (b) of the Financial Regulation define the criteria for a crisis declaration. The final list of the Declaration of crisis 2021-2022 lists the following countries that are relevant to the implementation of this action: Burkina Faso, Cameroun, Central African Republic, Democratic Republic of the Congo, Ethiopia, Eritrea, Mauritania, Mali, Niger, Nigeria, Somalia, South Sudan, Sudan, Chad and Uganda. Under the responsibility of the Commission's authorising officer responsible, a grant may be awarded without a call for proposals to relevant Regional Economic Communities (such as IGAD, ECOWAS). The recourse to an award of a grant without a call for proposals is justified because the concerned RECs (IGAD, ECOWAS) have a unique mandate given by their Member States in the framework of the GCR, the CRRF and the Nairobi Declaration and Action Plan process.

Event to be reported 20.b (Use of direct award for grants without call for proposals for an action 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), as per section 8.5.1 of the DEVCO Companion, will be invoked in this regard.

If negotiations with the above-mentioned entities fail, that part of this action may be implemented in indirect management in accordance with the implementation modalities identified in section 4.4.4.

#### 21.4.2. Indirect Management with an international organisation

A part of this action may be implemented in indirect management with an entity, which will be selected by the Commission's services using the following criteria: having a unique/specific mandate and /or role with regards to the forcibly displaced such as UNHCR, IOM or other specialized UN agencies and /or physical presence and current and previous successful programmatic and/or policy engagement on forced displacement in the countries targeted under this action. These entities must be pillar assessed.

The implementation by this entity entails: promoting regional policy dialogue and commitments in favour of refugees and other displaced population; contributing to the protection, resilience and self-reliance of the forcibly displaced and host communities; providing durable solutions for forcibly displaced populations.

If negotiations with the above-mentioned entities fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 4.4.4.

#### 4.4.3 Indirect Management with a Member State Organisation

A part of this action may be implemented in indirect management with an entity, which will be selected by the Commission's services using the following criteria: having physical presence and current and previous successful programmatic and/or policy engagement on forced displacement in the countries targeted under this action.

The implementation by this entity entails: contributing to the protection, resilience and self-reliance of the forcibly displaced and host communities; providing durable solutions for forcibly displaced populations. These entities must be pillar assessed.

If negotiations with the above-mentioned entities fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 4.4.4.

#### 21.4.4. Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances (one alternative second option)

If negotiations in indirect management with an international organisation or a Member State organization fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 4.4.1.

If direct management cannot be identified (for instance if calls for proposals fail or negotiations for a direct award fail), that part of this action may be implemented in indirect management in accordance with the implementation modalities identified in section 4.4.2 and 4.4.3

#### 4.5 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, subject to the following provision.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

#### 21.5. Indicative Budget

<b>Indicative Budget components<sup>65</sup></b>	<b>EU contribution (amount in EUR)</b>
<b>Implementation modalities</b> – cf. section 4.4	
<b>Objective/Output 1</b> Promote regional policy dialogue and commitments in favour of refugees and other displaced populations	<b>5 000 000</b>
Grants (direct management) – cf. section 4.4.1	3 000 000
Indirect management with Member State organisation or international organisation- cf. sections 4.4.2 and 4.4.3	2 000 000
<b>Objective/Output 2</b> Contribute to the protection, resilience and self-reliance of the forcibly displaced and host communities	<b>35 000 000</b>
Grants (direct management) – cf. section 4.4.1	15 000 000
Indirect management with Member State organisation or international organisation- cf. sections 4.4.2 and 4.4.3	20 000 000
<b>Objective/Outputs 3</b> Provide durable solutions for forcibly displaced populations	<b>35 000 000</b>
Grants (direct management) – cf. section 4.4.1	15 000 000
Indirect management with Member State organisation or international organisation- cf. sections 4.4.2 and 4.4.3	20 000 000
<b>Evaluation</b> – cf. section 5.2	(will be covered by another Decision) <sup>66</sup>
<b>Audit</b> – cf. section 5.3	
<b>Contingencies<sup>67</sup></b>	Contingencies will be built in individual contracts
<b>Totals</b> <i>Grants: total envelope under section 4.4.1: EUR 33 000 000</i> <i>IM: total envelope under section 4.4.2 and 4.4.3: EUR 42 000 000</i>	<b>75 000 000</b>

<sup>65</sup> N.B: The final text on audit/verification depends on the outcome of ongoing discussions on pooling of funding in (one or a limited number of) Decision(s) and the subsequent financial management, i.e. for the conclusion of audit contracts and payments.

<sup>66</sup> Where the action is not covered by a financing agreement (see section 4.1), but 'will be covered by another Decision' as it is unlikely that evaluation and audit contracts on this action would be concluded within N+1. These contracts have to be authorised by another Financing Decision.

<sup>67</sup> Consider that contracts where no financing agreement is concluded, contingencies have to be covered by individual and legal commitments by 31 December of N+1.

## 21.6. Organisational Set-up and Responsibilities

This action will result in a number of contracts for each of which a steering committee will be established composed of the implementing partner, the EU, including relevant Commission services and relevant EUDs, representatives of regional or Governmental entities as appropriate, beneficiaries and other relevant actors as necessary.

Furthermore, at the national level, implementing partners will be required to liaise with national/local government authorities and report to the EUD to ensure it is fully kept abreast of progress and developments and can duly participate in visibility activities.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

## 19. PERFORMANCE MEASUREMENT

### 22.1. 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 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).

Roles and responsibilities for data collection, analysis and monitoring:

Each implementing partner will have specific responsibilities for monitoring and reporting under this action. Common indicators will as much as possible be used in order to allow AD wide reporting. Indicator values will be measured at regional or on a country-by-country basis depending on the nature of the activities.

### 22.2. Evaluation

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

A mid-term evaluation will be carried out for problem solving and learning purposes, in particular with respect to the suitability of expanding the scope of the action within already targeted countries or to other displacement situations.

A final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision).

The Commission shall inform the implementing partner at least 1 month in advance of the dates envisaged 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 following the best practice of evaluation dissemination<sup>68</sup>. 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.

<sup>68</sup> See best [practice of evaluation dissemination](#)



### 22.3. 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 audit or verification assignments for one or several contracts or agreements.

## 20. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt 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.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

Working

## **Action Document for Support Measures for Regional and Multi-Country Programmes in Sub-Saharan Africa**

### 1.1 Summary of the Action

The action will implement support measures foreseen in the Regional MIP through three components:

#### **Technical Assistance**

Technical Assistance is needed to translate through appropriate programme identification, formulation and implementation the political and strategic priorities formulated in the Regional MIP into concrete activities achieving the intended impact. In addition, the EU has an interest to develop, as part of its policy formulation work, its engagement with African continental and regional think tanks and other civil society actors. Scaling up the engagement with African youth is also an EU priority.

In order to communicate more effectively about what the EU does and stands for, Strategic Communication and Public Diplomacy activities will be implemented, with the objectives to raise awareness, knowledge and support for the EU.

This component will make available to Commission services (DG INTPA) at headquarters and in regionalized Delegations the expertise required to achieve these objectives. Activities will be implemented in direct management for a total amount of EUR 7 million. Implementation will take place through the procurement of services and through the award of a grant to a consortium of think tanks to carry out academic studies or research needed in the framework of the Africa-EU Partnership to back political and policy priority setting at the African Union (AU)-EU level.

#### **Capacity building**

The EU aims at forging stronger partnerships with multilateral and regional organisations including by supporting capacity building for these actors. The Eastern African Community (EAC) and the Indian Ocean Community (IOC) are strategic partners of the European Union, which face institutional weaknesses hampering the implementation of their action. In the case of EAC, weaknesses affect results-based budgeting; financial, administrative and project management; strategic planning, monitoring and evaluation; and internal audit. For the IOC, the organization is undergoing a modernization process that has identified weaknesses concerning strategic planning, mobilisation of resources, institutional engineering, professionalisation of staff, information technology tools, and participatory processes.

The objective of this component is to strengthen EAC and IOC institutional capacities by providing the equipment and training necessary to upgrade their administrative (accounting, procurement, financial, audit) and operational (project management, monitoring and evaluation) systems. Activities will be implemented in direct management for a total amount of EUR 4 600 000 through the awarding of two grants (one to each organisation) that will be managed by the concerned regionalized Delegations (Delegations to Tanzania and to Mauritius).

#### **OACPS-EU Partnership's Institutional Framework**

The new Partnership Agreement between the European Union and the Members of the Organisation of African, Caribbean and Pacific States includes as an attachment the EU Declaration on means of cooperation and implementation. With the Declaration, the EU reaffirms its commitment to contribute (i) to the costs associated with the organisation of meetings of OACPS-EU joint institutions and (ii) to the operating costs of the OACPS Secretariat with regard to the implementation of the new Partnership Agreement, including its protocols.

The objectives of this component are (1) to support the OACPS Secretariat to fulfil its role as administrative and executive body of the OACPS Group in the implementation of the OACPS-EU Partnership Agreement; and (2) to ensure that effective dialogue is maintained at the level of OACPS-EU Joint Parliamentary Institutions including with cooperation between relevant social and economic actors. Activities under this component will be implemented in direct management for a total amount of EUR 8 000 000 through a grant to be awarded to the OACPS Secretariat.

## 23. RATIONALE

### 2.1 Context

The support measures included in this action will contribute to the achievement of the objectives of the Regional MIP ensuring that actions implementing the MIP have a clear regional added value and are coherent with national programmes. The support measures included in this action will in particular contribute to a close cooperation with African regional and multilateral institutions, wherever there is alignment with EU priorities.

The rationale for the 3 components of the action is the following:

- 1- The **Technical Assistance component** is needed to translate through appropriate programme identification, formulation and implementation the political and strategic priorities formulated in the Regional MIP into concrete activities achieving the intended impact. In addition, the EU has an interest to: (i) developing, as part of its policy formulation work, its engagement with African continental and regional think tanks and other civil society actors; (ii) raising awareness and understanding about its work and partnerships with a wider audience, so as to better reflect EU's leading role in the field of development policy and generate higher approval rates.
- 2- The **Capacity Building component** responds to the European Consensus on Development requirement to forge stronger partnerships beyond governments with multilateral and regional organisations and continue to support capacity building for these actors. Measures included in this AD will strengthen the capacities of the Eastern African Community (EAC) and the Indian Ocean Community (IOC). Both organisations are a strategic partners of the European Union.
  - In Eastern Africa, the East African Community (EAC) and the European Union (EU) have enjoyed fruitful relations for a period of over twenty years. Ever since the EAC was created, the EU has supported the EAC's regional integration agenda and the bloc's goal of widening and deepening cooperation among its Partner States in, among others, political, social, economic and social fields for the mutual benefits of their citizenry. To achieve this, it is necessary to strengthen EAC's institutional capacity by upgrading the bloc's administrative (accounting, procurement, financial, audit) and operational (project management, monitoring and evaluation) systems, in line with its internal policies and strategies, such as the gender policy.
  - In the Indian Ocean, the cooperation with IOC spans more than three decades. The Phase I of IOC institutional capacity building started in 2017 and has yielded good results so far to the satisfaction of both IOC and EU. The IOC is on a good track for its modernisation process. As the new NDICI instrument emphasizes common priorities between the EU and beneficiary countries, a strong IOC will be aligned with the interests of the EU in the Indian Ocean region. There are several areas of intervention with the IOC where the interests and values of the EU are found in particular maritime safety, the blue economy, biodiversity, the fight against climate change, among others. The aim of our cooperation with the IOC would be to focus our actions on projects with strong added value, to instigate a result and impact oriented approach, so that IOC Member States and European citizens see concrete achievements. One key enabler for this to happen is an institutionally strong IOC.
- 3- The **OACPS-EU Partnership's Institutional Framework component** is aligned with the priorities of the Partnership Agreement between the European Union and Members of the OACPS. An EU Declaration on means of cooperation and implementation is also attached to the new Partnership Agreement between the European Union and the Members of the Organisation of African, Caribbean and Pacific States. With the Declaration, the EU reaffirms its commitment to contribute (i) to the costs associated with the organisation of meetings of OACPS-EU joint institutions and (ii) to the operating costs of the OACPS Secretariat with regard to the implementation of the Partnership Agreement. The joint institutions at Foundation level of the new Agreement include: the OACPS – EU Council of Ministers, meeting in principal every three years, the OACPS – EU Ambassadorial Level Senior Officials Committee (ALSOC) and the OACPS – EU Joint Parliamentary Assembly (JPA), with yearly meetings. In addition, joint institutions at the level of each of the 3 regional protocols of the agreement are: a Council of Ministers, a Joint Committee and a Parliamentary Assembly (RPA).

## 2.2 Problem Analysis

### Component 1: Technical Assistance

The regional MIP for Sub-Saharan Africa defines new priorities that the EU intends to tackle at continental/regional and multi-country level. Commission services will require specific external expertise to identify, formulate and monitor some of these priorities. This component will facilitate the contracting of the required technical expertise.

The technical assistance included in this component will allow the EU to address several challenges that affect public awareness about EU's partnership with Africa both at continental and at regional level. These challenges include an increased number of international partners in the African continental and regional scenario, with sometimes diverging strategies and priorities. Strategic Communication and Public Diplomacy activities will serve to demonstrate Europe's partnership with the region and position the EU as a trusted and reliable partner for Africa, including through Team Europe initiatives.

The EU is committed to reinforce cooperation with African civil society. At continental/regional level the effectiveness of such cooperation is hampered by an incomplete identification of key civil society stakeholders and by their insufficient participation in policy and programme formulation. Technical assistance under this component will complete previous work to map civil society actors. It will also develop cooperation with African think tanks to undertake research that contributes to policy formulation.

The EU is also committed to scale up its engagement with youth. At continental level there is a need to develop long term and innovative approaches that allow youth to have a meaningful role in the EU-AU partnership. Technical assistance under this component will support the strengthening and the scaling up of the existing AU-EU Youth Hub.

Finally, the EU has an interest in promoting its partnership with the African Union and with African Regional Organizations. This includes (1) increasing the understanding of the EU as a global player that is a trusted partner of Africa, Africans and the AU, committed to tackling shared global challenges together, especially at times when multilateralism is being questioned; (2) sharing EU's experience of continental integration and its many benefits and advantages, as well as making visible EU's strong support for the AU political and economic integration agenda; (3) promoting the 'Team Europe' approach; and (4) through culture stimulate co-creation of young African and European artists and disseminate their work.

The EU is also committed to scaling up its engagement with Gender Equality and Women Empowerment (GEWE) through the Gender Action Plan III<sup>69</sup>. Technical assistance under this component will support the strengthening and scaling up the efforts on GEWE with a human-rights approach.

Stakeholders under this component include (1) Institutional Actors, in particular the African Union Commission and all the AU institutions, African Union Development Agency (AUDA/NEPAD), African Regional Organisations (EAC, IOC) and their respective focal points, AU Member States, the OACPS; (2) Non-state Actors including Youth and Women groups representatives, Civil society, private and cultural sector, youth organisations, media, think tanks, universities, research institutes on both sides of the strategic partnership; and (3) International organisations, EU Member States.

### Component 2: Capacity Building

The strengthening of the capacities of EAC and IOC will aim at tackling the following problems:

The East African Community after a review of its institutions has the willingness to address a number of strategic challenges:

<sup>69</sup> JOIN(2020)17 final of 25.11.2020; SWD(2020)284 final of 25.11.2020.

- **Weak *results-based budgeting*:** EAC Planning and budget process is disjointed with EAC budget approval stages;
- **Weak *financial management, accounting, procurement, audit and administrative procedures*:** the institutional strengthening of the EAC institutions has been insufficiently financed in the last five years;
- ***Insufficient capacity for project development and management*:** The complexity of instruments under which projects are designed makes it difficult for the EAC Organs, agencies and Institutions to develop sound and bankable project proposals;
- ***Inadequate strategic planning, monitoring and evaluation*:** An assessment carried out in July 2019 found out that the EAC needs to develop a new strategic and operational planning framework to ensure that defined strategic interventions are sufficient to lead to desired outcomes/impacts.
- ***Limited capacities within the internal audit function*:** Human resources and experiences in internal audit are limited.

Stakeholders for this sub-component include the EAC Organs, Secretariat, the EAC Institutions and the EAC Member States.

Furthermore, this capacity building will take into account EAC's policies and strategies such as its gender strategy which states that 'The policy further aims at strengthening the mainstreaming of gender concerns in the planning and budgetary processes of all sectors in the EAC Organs, Institutions and Partner States.'

In the Indian Ocean the IOC is currently at a cross road. Over the past years, the IOC Secretariat expanded the number of thematic and activities in which it was involved. Anyway, these increasing amount of activities were carried out by the existing staff of the IOC, with roughly the same level of financial contributions from the 5 IOC member states. The lack of in-house technical expertise and limited human resources coupled with an over-reliance on technical assistance teams, ultimately resulted in poor project management and follow up. There were several under-consumed funds under EU projects, with limited results as well as substantial ineligible expenditures (more than half a million euros, i.e. 0.5 % of the 10th EDF funds), especially under Programme Estimates. The staff of the IOC currently stands at 30 permanent agents. Among the top 10 secretarial positions, 3 are occupied by women and 7 by men. In comparison, the Pacific Community, which specialises in the development of island states like the IOC, has 200 people in human resources, so it is clear that the IOC needs to make a quantum leap in terms of human resources, whether qualitative or quantitative, in order to carry out its mandate. The modernisation plan of the IOC aims for an increase in staff from 30 to 80, and this seems required for the IOC to implement its mandate optimally. The IOC is in the middle of a modernisation process that has far reaching consequences both politically and strategically. In order to accelerate its transformation process, the IOC needs intervention at 6 levels according to the IOC modernisation Action plan 2022-2025:

- ***Further strategic planning*:** the IOC needs to be committed to its Strategic Development Plan and operationalisation;
- ***New economic model*:** the IOC needs to mobilise resources to implement this action plan and develop a new economic model for the organisation, such as a regional fund as proposed by the Moroni declaration<sup>70</sup>;
- ***Continue the modernisation of its internal processes*:** the INCA Phase I has done significant technical work for the institutional restructuring and reengineering of the IOC, which needs to continue with INCA Phase II;
- ***Professionalise the IOC Secretariat*** (e.g. human resources, gender human rights aspects, internal capacity building);
- ***Upgrade the information technology tools*** available at the IOC (e.g. an integrated system for human resources, finance management, procurement etc);
- ***Reinforce participatory processes*** (e.g. consultative processes involving civil society, youth, women's rights organisation, private sector).

Stakeholders under this sub-component include: (i) Summit of Heads of State or Government; (ii) IOC Council; (iii) Presidency of the IOC; (iv) Committee of Permanent Liaison Officers; (v) General Secretariat. Other stakeholders concerned by the IOC are as follows Partners (International Organisation for Migration, Agence Francaise de Developpement, Banque Africaine de Developpement, Entreprendre au Feminin Ocean Indien, Cap Business and

<sup>70</sup>

An extraordinary ministerial meeting of the IOC members held in Comoros in August 2019 resulted into the 'Moroni Declaration' that lays the foundation for the new vision of the IOC.

Synergie Jeunes); Development Partners: The EU, comprising both the EU (on account of the European Development Fund) and the EU Member States (principally France/Agence Francaise de Developpement), is the largest cooperating partner while new partnerships are now emerging with, for example, the African Development Bank, the World Bank, Australia, China.

The Agence francaise de developpement (AFD) is also interested in working together with the European Union to strengthen the IOC at institutional level and implement its action plan 2022-2025, but the envelope allocated is yet to be determined. It is estimated that the co-financing of AFD will range between EUR 5 000 000 to EUR 7 000 000. If this support materialises, it may most probability be implemented via a transfer of funds to the EU from AFD for implementation of the project by the EU Delegation.

### **Component 3: OACPS-EU Partnership's institutional framework**

This component will essentially address the need for financial means to cover the costs associated with the organisation of meetings of joint Institutions - in particular to support the parliamentary dimension - and the operating costs of the OACPS Secretariat with regard to the implementation of the Partnership Agreement. This will provide **concrete means of cooperation and implementation**, helping scaling up the EU-OACPS cooperation into a strong political partnership.

Stakeholders under this component will be (i) European Commission; (ii) European Parliament (EP); (iii) European Economic and Social Committee (EESC); (iv) European External Action Service (EEAS); (v) EU Member States; (vi) members of the OACPS – EU Joint Parliamentary Assembly (JPA) and three Regional Parliamentary Assemblies (RPAs); (vii) Youth, Women's organisations, regional entities, CSOs; (viii) Citizens of EU.

As main counterparts on the OACPS side: (i) OACPS Secretariat; (ii) OACPS Head of States and Governments; (iii) Council of Ministers; (iv) Committee of Ambassadors; (v) OACPS Parliamentary Assembly; (vi) members of the OACPS – EU Joint Parliamentary Assembly (JPA) and three Regional Parliamentary Assemblies (RPAs); (vii) Youth, Women's organisations, regional entities, CSOs; (viii) Citizens of OACPS countries.

## **24. DESCRIPTION OF THE ACTION**

### **3.1 Objectives and Expected Outputs**

The overall objective (impact) of this action is to contribute to the following support measures listed in the MIP: (1) Support and facilitate the preparation, implementation, strategic communication, audit and evaluation of EU cooperation under the regional MIP; (2) Provide institutional support to the African Union and African regional organisations including to strengthen their vertical and horizontal coordination structures; (3) Support the running of the OACPS-EU Partnership Agreement Institutional Framework.

#### **Component 1: Technical Assistance**

Specific Objective: to support the identification and formulation of new actions under the Regional MIP for Sub-Saharan Africa, including the coordination of TEIs; as well as activities related to audit and evaluation, awareness-raising and knowledge-sharing of the EU-Africa partnership, research, negotiations, policy dialogue, development and gender expertise. A regional campaign will be designed and rolled out with the objective of measurably increasing the profile of the EU in the region. All such campaigns will be data-driven, rigorously tracking hard KPIs that will allow content to be constantly adjusted in line with evidence of the material and approaches that resonate most successfully with the audience.

Outputs:

- 1.1. Actions implementing the Regional MIP priorities are identified, formulated, implemented and monitored making use of appropriate technical expertise.
- 1.2. Implementation of a strategic communication and public diplomacy activities, with a view to raise awareness, understanding and approval of the EU at regional level. To this end, a dedicated Strategic plan will be drawn out by headquarters.

## **Component 2: Capacity Building**

Specific objective: strengthening partner Regional Organisations (EAC, IOC) institutional capacities by providing the equipment and training necessary to upgrade their administrative (accounting, procurement, financial, audit) and operational (project management, monitoring and evaluation) systems.

Outputs:

- 2.1 Strengthening EAC results-based budgeting (including gender-sensitive budgeting);
- 2.2 Improving EAC financial management, accounting, procurement, and administrative procedures;
- 2.3 Building EAC capacity for project development and management;
- 2.4 Strengthening EAC strategic planning and monitoring and evaluation; and
- 2.5 Enhance EAC's capacity of the internal audit function.
- 2.6 Strengthening the strategic positioning and value added of the IOC
- 2.7 Strengthening the operational management systems within the IOC
- 2.8 Increasing coherence between regional policies and national policies in key sectors in the Indian Ocean Region.

## **Component 3: OACPS-EU Partnership's institutional framework**

The specific Objectives of this action are:

- 3.1. Support the OACPS Secretariat to fulfil its role as administrative and executive body of the OACPS Group in the implementation of the OACPS-EU Partnership Agreement
- 3.2. Ensure effective dialogue is maintained at the level of OACPS-EU Jo parliamentary institutions, including with cooperation between relevant social and economic actors.

Outputs:

- 3.1.1. The capacity of the OACPS secretariat and Antenna office(s) to implement the OACPS-EU Partnership Agreement is strengthened;
- 3.1.2. The capacity of the OACPS Secretariat to work on OACPS-EU alliance-building and more coordinated actions on the world stage where the organisation's impact can be significant is built;
- 3.1.3. The capacity of the OACPS Secretariat at operational and impactful visibility activities linked to the OACPS-EU partnership is enhanced;
- 3.2.1 The capacity of the OACPS Secretariat to organise efficiently JPA and RPAs meetings and related activities is strengthened;
- 3.2.2 Opportunities for dialogue and cooperation between social and economic actors created, with particular attention given to youth, women, and minority and indigenous groups, as well as gender issues.

### **3.2 Indicative Activities**

## **Component 1: Technical Assistance**

Activities related to output 1.1:

- Provide technical assistance as required to identify, formulate, implement and monitor actions putting in place the priorities included in the Regional MIP for Sub-Saharan Africa.
- Provide technical assistance to support preparation and coordination of TEIs.
- Provide technical assistance to support the commitments of the Gender Action Plan III for Sub-Saharan Africa.

Activities related to output 1.2:

- Design and roll out at regional level of (a) major public campaign(s) aimed at ordinary citizens, primarily in the 18-35 age cohort, with the objective of measurably increasing the profile, awareness, understanding and approval of the EU's partnership with the region. All such campaigns will be data-driven, rigorously tracking hard KPIs that will allow content to be constantly adjusted in line with evidence of the material and approaches that resonate most successfully with the audience.
- Promote understanding and awareness of the European Union's values, interests and specific policies, including human rights, foreign and security policy, science and research, gender equality, fight against disinformation, as well its multilateral agenda.
- Strengthen networks and long-term relationships with key networks (e.g. youth, students, academics, think tanks, CSOs, business, creative industries), including leveraging existing EU programmes, in order to facilitate future cooperation across policy areas.
- Extend existing mapping of CSOs to other « non-state actors » (media, employers and trade unions etc).
- Facilitate CSO/NSA engagement in AU policy making and in the implementation of AU/EU cooperation programmes as relevant.
- Carry out academic studies or research needed in the framework of the Africa-EU Partnership to back political and policy priority setting at the AU-EU level,
- Carry out studies aimed at developing further AU and EU continental strategies identified as priority within the AU-EU Summit Declaration.
- Support continent-to-continent dialogue, policy development and analysis with the engagement of key stakeholders of both Continents such as think-tank and the academia.
- Provide technical assistance for youth engagement and larger participation in policy and decision making processes and to accompany the Young Experts in the piloting of the CSOs projects, reinforcing their capacities and continuing to consolidate existing partnerships in order to ensure the successful closure of the AU-EU Youth Cooperation Hub.
- Scale up of the existing AU-EU Youth Hub towards its transformation in the AU-EU Youth Cooperation Lab
- Organize people to people Africa -Europe cultural co-creation and events and ensure dissemination across both continents.
- Organise events and activities for outreach purposes and showcasing the work of the Africa-EU Partnership.
- Maintain and update a database of Africa-EU partnership stakeholders;
- Conduct occasional studies on regional integration, including relations with emerging actors such (e.g. Gulf States)

## **Component 2: Capacity Building**

Activities related to Output 2.1

- High level retreat for Budget policy makers and approving authority
- Conduct a training on aligning resources to key sectoral mandates for budget holders/focal persons
- Training on the Budget Management System for new staff (including gender-sensitive budgeting)
- Conduct benchmarking visits to Partner States
- Workshop on benchmarking budgeting best practices in the six (6) Partner States
- Undertake stakeholders' consultations on the budget reforms
- Hold technical working group meeting on budget reforms and validation meetings
- Conduct training workshops on new reforms for budget holders

Activities related to Output 2.2:



- Technical assistance to develop/harmonize/update and train on audit policies, rules, regulations and procedures
- Technical assistance to operationalize administrative, financial management systems to all EAC Organs and Institutions
- Undertake the internal assessment of EU pillars to assess EAC Secretariat's operational capacity
- Technical assistance to train Procurement staff on the application of the developed rules, regulations and procedures (EU procedures, etc)

#### Activities related to output 2.3:

- Dissemination of the Projects Standard Operating Procedures (SOP) Manual to EAC Organs and Institutions
- Training workshops on project development and management for EAC Organs and Institutions
- Training-of-Trainers on Project Risk Management for project managers/implementers
- Training-of-Trainers workshops on professional project management for non-project staff who handle project matters (Procurement, Quality Management System, Monitoring Evaluation, Finance and Human Resources)

#### Activities related to output 2.4:

- Conduct training workshops for planning focal persons on techniques to translate strategies into clear, focused, measurable results through the design, implementation, reporting and use of meaningful and practical performance measures
- Conduct training workshops on the regional planning framework for planning focal persons
- Support the implementation of a regional planning framework to facilitate prioritization, funding and effective implementation of regional commitments at regional and national levels
- Build the capacity for data collection, analysis, reporting and dissemination at regional and national levels

#### Activities related to output 2.5:

- Procurement of Audit and Risk Management Software and provide training to staff
- Trainings for key audit stakeholders to include EAC Audit and Risk Committee, Risk Management Committee members, Audit Commission and Top Management
- Launch the Quality Assurance and Improvement Programme (QAIP)
- Provide training to audit staff in relation to Quality Assurance and Improvement Program (QAIP)
- Operationalize Quality Assurance and Improvement Program (QAIP) in all EAC Organs and Institutions

#### Activities related to Output 2.6:

- Improve the IOC Strategic Development Plan (IOC SDP) for its effective implementation by clarifying its objectives, mandate and developing key performance indicators
- Improve the coherence between the IOC SDP and national development plans and strategies
- Revise the IOC business model in line with the Moroni Declaration and implement the revised model
- Design and implement the institutional coordination and consultation mechanism for the implementation of the IOC SDP

#### Activities related to Output 2.7:

- Consolidate financial, accounting, procurement, audit and administrative management systems and all related procedures of the IOC with a view to complete the 9 pillar accreditation
- Implement the programming and performance budget system at the IOC Secretariat
- Strengthen human resources in quality and quantity in line with priority missions of the IOC
- Upgrade and strengthen the IT system and management tools at IOC
- Set up a monitoring, evaluation and reporting system at the IOC
- Give visibility to IOC expertise (e.g. in the areas of maritime security, blue economy in multilateral fora)
- Finalise revision of internal regulations of the IOC for an integrated and efficient organisation

Activities related to Output 2.8:

- Application of institutional and operational governance frameworks in order to ensure coherence between national and regional policies in specific areas in IOC region.
- Organisation of ministerial conferences on thematic areas such as maritime security and blue economy, among others.
- Organise project national focal points meetings and other necessary consultations.
- Animation and coordination of institutional mapping platforms (private sector etc.) so that major regional policies are devised in a participatory manner

### **Component 3: OACPS-EU Partnership's institutional framework**

Activities related to Output 3.1.1

- Implementation of the annual work programme (AWP) through contribution to the budget of the OACPS Secretariat, as approved by the Council of OACPS Ministers. The AWP shall indicate clear objectives, outputs and actives with milestones and deadlines included;
- Technical assistance to accompany the finalisation of OACPS's secretariat institutional reform to achieve a Secretariat "fit for purpose" and cost-efficient, including making use of digitalisation services and outsourcing when appropriate.

Activities related to Output 3.1.2:

- Activities of alliance-building and coordinated actions on the world stage (i.e. United Nations) – international cooperation related activities

Activities related to Output 3.1.3:

- Operational activities such as studies, research, events on the OACPS-EU political partnership
- Visibility activities on websites, social media, events on the OACPS-EU political partnership
- Technical assistance on the above

Activities related to Output 3.2.1:

- Execution of tasks as co-Secretariat of the Joint Parliamentary Assembly (JPA) and the Regional Parliamentary Assemblies (RPAs)
- Support to OACPS parliamentarians and members of OACPS States to actively participate in JPAs, RPAs, and OACPS-EU Partnership Dialogue

Activities related to Output 3.2.2:

- Consultation meetings of OACPS-EU economic and social operators, youth and women's organisations, CSOs, other non-governmental actors.

## **3.3 Mainstreaming**

Mainstreaming in AAP is very general and provided possibly before the mandatory analysis at action level are realised. This sections is based on the mainstreaming annex. We suggest to keep it.

### **Environmental Protection & Climate Change**

#### **Outcomes of the EIA (Environmental Impact Assessment) screening**

The EIA (Environment Impact Assessment) screening classified the action as Category C (no need for further assessment).

**Outcome of the CRA (Climate Risk Assessment) screening** (relevant for projects and/or specific interventions within a project)

The Climate Risk Assessment (CRA) screening concluded that this action is no or low risk (no need for further assessment)

### **Gender equality and empowerment of women and girls**

This action is labelled as G1.

The action will promote that there is gender parity in the recruitment of staff of Institutions supported, and that there is gender balance at managerial level. As far as possible, data for project beneficiaries will be disaggregated by sex and age. In addition, the programme will develop gender sensitive actions, reaching and involving women and girls, including the most vulnerable ones, using when necessary ad hoc approaches to increase reach. Balanced participation of women and men will be ensured in all the activities. In the production of visibility material focus will be given to use an adequate language as well as to showcase example of positive equal opportunities and participation.

### **Human Rights**

The action will not have a direct impact on Human Rights, as it contains support measures for the implementation of the Regional MIP, not actions contributing directly to the MIP objectives.

However, activities related to the promotion of the EU-AU partnership will disseminate information about the partnership efforts to strengthen the respect of Human Rights and International Humanitarian Law. A rights-based approach will also be applied to all the actions when specific awareness activities will also be identified if needed.

### **Disability**

The action will not have a direct impact on Disability issues, but it will ensure that the accessibility for people with disabilities is included in all organised events and it will include consultations with organisation representing their interests. Therefore, the action can be considered as a D1.

### **Democracy**

This action will not have a direct impact on Democracy issues. However, the action will communicate about how the EU partnership with the EU and with African Regional Organisations contributes to the consolidation of democracy in Sub-Saharan Africa.

### **Conflict sensitivity, peace and resilience**

Through its Institutional Capacity building component, the Action will strengthen African Regional Organisations which have a peace and security mandate.

### **Disaster Risk Reduction**

The action does not contain activities related to disaster risk reduction.

## **3.4 Risks and Lessons Learnt**

<b>Category</b>	<b>Risks</b>	<b>Likelihood (High/ Medium/</b>	<b>Impact (High/ Medium/</b>	<b>Mitigating measures</b>
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		Low)	Low)	
External	Technical assistance is not sufficiently adapted and fails to strengthen partner organizations management and administrative systems.	Low	Medium	Detailed assessment and background checks of companies and experts experience and previous performance. Participatory Capacity assessment of beneficiary organisations (partner institutions).
External	Lack of enough political and economic support of partner Institutions by their Member States	Medium	Medium	Enhancing Regional Organisations' budgeting and resource management capacity to ensure that funds are allocated to priority areas and are efficiently utilized. Regular sensitisation during policy organs meeting on financial and political support by member states.
External	COVID 19 related travel restrictions that may prevent stakeholders from participating in planned activities	High	Low	Conduct trainings and consultations in a hybrid set up.
External	Insufficient donor coordination	Low	Medium	Structured donor coordination and regular exchanges between development partners to be organised
Internal	Delays in the implementation by partner Institutions related to internal procedures.	Medium	Medium	Support internal reform processes, including efficient staff and resources allocation among Departments

#### **Lessons Learnt:**

##### **Technical Assistance:**

- Campaigns should be aimed at ordinary citizens, including young people, going beyond the usual stakeholder outreach. Stakeholders' engagement should be enlarged to various actors with an increasing involvement of African think tanks, media, CSOs, youth and women's rights organisations as well as human rights organisations and defenders. Available information about pan-African civil society and EU-AU avenues for engaging with a diversity of such actors remains limited or deserves to be further consolidated at continental level which calls for further studies by addressing Non State Actors at large to feed into future programme and projects identification and formulation work.
- An integrated approach to youth engagement, not only working for young people but with young people, has proven extremely valuable in ensuring young Africans and Europeans are able to meaningfully feed into political processes. Providing time and space for young people to engage meaningfully brings fresh ideas to the Africa-EU partnership, and can help ensure more effective and targeted communication towards younger general public audiences. By integrating meaningful youth engagement and strategic communication activities, for example through large-scale campaigns, the EU can more effectively reach and relate to young people.

##### **Capacity building component:**

- Consistent commitment, demonstrable resource and operational support (including honouring of commitments made) by Partner States and Development Partners is critical for successful implementation of regional programs and projects.
- While previous phases of support to both EAC and IOC have had positive results, both Institutions need more hand holding to make the tools delivered through previous support more operational and fully internalised. The buy in of member states will be key for the effective implementation of reform measures by both Regional Organizations.

### **OACPS-EU Partnership's institutional framework**

- Prioritisation of the operational costs to be financed through the action is done timely and included in the annual budget of the organisation and submitted to the approval of the OACPS Council of Ministers;
- The OACPS organs support and contribute to the institutional and operational development of the Secretariat;
- Regular payment of the contributions of the Member States to the overall budget of the OACPS Secretariat according to the key established. Moreover, measures relevant to the reduction of assessed arrears are taken in this respect.

## **3.5 The Intervention Logic**

### **Technical Assistance component:**

If there is sufficient expertise available for formulation, identification and implementation, then Actions will be more effective in achieving their intended impact to reinforce EU shared values. If the EU partnership with Africa is promoted; existing non state actors are mapped; and their participation, including of youth and women; in research, policy dialogue and the cooperation between EU and African Organizations is facilitated, then the engagement of non-state actors and youth in the EU partnership with Africa will be strengthened and good practices of civic engagement can take increasingly ground also in AU and Regional Economic Communities (RECs) work.

If actions implementing the MIP are more effecting in achieving the intended impact and participation of non-state actors and youth as well as Gender Equality and Women Empowerment is strengthened, then this actions will contribute to the attainment of the priorities identified in the regional MIP.

By targeting general public through strategic communication, we can measurably increase awareness, understanding and approval of the EU's partnership with the region. By doing so, we build support for priorities identified under the Africa-EU partnership.

### **Capacity building component:**

If adequate training, equipment and mentoring is provided to Regional Organizations (EAC, IOC), then their administrative (accounting, procurement, financial, audit) and operational (project management, monitoring and evaluation) systems will be strengthened. If their systems are strengthened the Regional Organizations will have greater institutional capacities to implement their mandate and become stronger partners to the EU. This will in turn contribute to the attainment of the priorities identified in the regional MIP.

### **OACPS-EU Partnership's institutional framework :**

If the costs associated with the organisation of meetings of joint institutions and the operating costs of the OACPS Secretariat are financed, then the action will strengthen the OACPS-EU partnership. If the partnership is strengthened, it will be more effective in increasing the effectiveness of the EU-OACPS joint action in priority areas under the MIP such as: human rights, democracy and governance, peace and security, human development which encompasses health, education, gender equality and women empowerment, as well as environmental sustainability, climate change, sustainable development and growth, and migration and mobility.

### 3.6 Logical Framework Matrix

Working draft

Results	Results chain (@): Main expected results (maximum 10)	Indicators (@): (at least one indicator per expected result)	Baselines 2021	Targets 2024	Sources of data	Assumpti ons
Impact	<b>Overall Objective:</b> contribute to the following support measures listed in the MIP: (1) Support and facilitate the preparation, implementation, strategic communication, audit and evaluation of EU cooperation under the regional MIP; (2) Provide institutional support to the African Union and African regional organisations including to strengthen their vertical and horizontal coordination structures; (3) Support the running of the OACPS-EU Partnership Agreement Institutional Framework.					
Outcome 1: Technical Assistance	<b>Specific Objective:</b> to support the identification and formulation of new actions under the Regional MIP for Sub-Saharan Africa, including the coordination of TEIs; as well as activities related to audit and evaluation, promotion of the EU partnership with Africa, stakeholder consultations, research, negotiations, policy dialogue, development and gender expertise. To implement a strategic communication and public diplomacy activities, with a view to raise awareness,	Number of technical assistance contracts supporting AAP 2021/2022  Proportion of new joint analyses, and/or new joint responses, and/or new joint results frameworks that reference and integrate the priorities of GAP III;  Number of sector specific gender analysis done or updated (if more	0  TBD  TBD  Baseline survey 2022	10      TBD	EU-AU commissio n reports  Opinion survey 2027	The two continents are committed and engaged in win win partnership,  The political and social context remain stable in the two continents

	understanding and approval of the EU at regional level. To this end, a dedicated Strategic plan will be drawn out by headquarters.	than 5 years old)  EU awareness, brand recognition and approval rates among target public		TBD		
<b>Output 1.1</b>	Actions implementing the Regional MIP priorities are identified, formulated, implemented and monitored making use of appropriate technical expertise.	Number of Actions identified/formulated/monitored through technical assistance  Number and % of new actions that are gender responsive/targeted (G1+G2)  Total funding in support of GEWE actions (G1 and G2)	0  TBD  TBD	5  TBD  TBD	CRIS/OPS YS	
<b>Output 1.2</b>	Strategic communication activities implemented, reaching new audiences,  Design and roll out at regional level of (a) major public campaign(s) aimed at ordinary citizens	Reach Engagement Follower growth Click through rate <sup>71</sup>				
<b>Outcome 2: Capacity Building</b>	<b>Specific Objective:</b> Strengthening partner Regional Organizations (EAC, IOC) institutional capacities by providing the equipment and training necessary to upgrade their administrative (accounting, procurement, financial, audit) and operational (project management, monitoring and evaluation) systems.	EAC is 9 pillar compliant assessment for EU accreditation  The IOC expands its network of regional and international partners: 1.1 IOC passes the 9 pillar assessment for EU accreditation 1.2 IOC passes the Green Fund Accreditation	The EAC Secretariat passed the 7 pillar assessment in 2016  20  1.1: 4 pillars	9 pillars assessment completed  30  1.1: 9 Pillars	Report of the 9 pillar assessment ; IOC Reports	Availability of experts/consultants to undertake 9 pillar assessment (EAC); The financial means is made available to the IOC over the whole implement



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<sup>71</sup> Detailed indicators, baselines and targets will be defined in the Strategic Communication and Public Diplomacy strategic plan, to be developed.

			1.2: No green fund accreditation	1.2: Accreditation received		ation period.
<b>Output 2.1</b>	Strengthening EAC results-based budgeting	<p>Reduced incidences of budget reallocations/cuts at different levels of budget approval with EU support</p> <p>% of new action that include a gender budgeting component, by year</p>	12% overall EAC budget reduction from initial budget submitted to Finance and Administration committee and the Council of Ministers for FY2021/22 compared to previous years	EAC Budget submitted to Finance and Administration Committee or budget re-allocation within a financial year reduced or reallocated by 1%	Reports of the Council, EALA	Adequate budget allocation to set priorities for the financial year; Compliance with the Treaty and Budget Act
<b>Output 2.2</b>	Improving EAC financial management, accounting, procurement, and administrative procedures;	Increased number of Organs and Institutions implementing harmonized operational, policies, rules, regulations; procedures and systems	3 out of 11 EAC Organs/Institutions have consolidated financial statements	10 Organs and Institutions have consolidated financial statements and EALA Accounts Committee reports	Financial Reports, Audit Reports	EAC Public Financial management Act will be in place to uniformly guide the management of EAC resources
<b>Output 2.3</b>	Building EAC capacity for project development and management	<p>Reduction in delays in projects implementation</p> <p>Increased number of projects portfolio</p> <p>Number and % of new projects with sex disaggregated data</p>	2 projects started with delays of more than 6 months after the signing of financing agreements	All ongoing projects implemented within the initial timeframes	<p>Project Reports</p> <p>Financing agreements signed with Development Partners</p>	Financing agreements signed with Development Partners

			20 ongoing projects	At least 5 new projects designed and implemented in the next 3 years with disaggregated data		
<b>Output 2.4</b>	Strengthening EAC strategic planning and monitoring and evaluation; and	A new Strategic and Operational Planning Framework in place	EAC Planning Manual in place	A new Strategic and Operational Planning Framework finalised and implemented	Annual Reports	Availability of technical assistance to develop a new framework
<b>Output 2.5</b>	Enhance EAC's capacity of the internal audit function.	Increased level of compliance with audit policies, regulations and procedures with EU support	Outdated Internal Audit instruments such as Internal Audit Charter and Internal Audit Manual	Updated Internal Audit Instruments  The number of audit queries reduced by 30% in each financial year  Internal controls increased by 30%	Audit Reports  Internal Audit Instruments documents	Availability of technical assistance to review and update internal audit instruments and build capacity of Internal Auditors
<b>Output 2.6</b>	Strengthening the strategic positioning and value added of the IOC	2.1 The SDP has a monitoring and evaluation framework  2.2 Key Performance indicators in the Strategic Development Plan for the 5 domains of intervention	2.1: 0  2.2: 0	2.1: 1  2.2: 5	IOC Reports	Successor SDP approved in under implementation

<b>Output 2.7</b>	Strengthening the operational management systems within the IOC	1.1.1 Financial management manual implemented 1.1.2 Procurement manual implemented 1.1.3 Audit manual implemented 1.1.4 Budget is drawn based on programme based budgeting	1.1.1: 10% 1.1.2: 20% 1.1.3: 10% 1.1.4: 0%	1.1.1: 100% 1.1.2: 100% 1.1.3: 100% 1.1.4: 50%	IOC Reports	Management tools are adopted by the IOC policy organs. Commitment of IOC staff to implement the results based management tool.
<b>Output 2.8</b>	Increasing coherence between regional policies and national policies in key sectors in the Indian Ocean Region.	2.1.1 Number of ministerial conferences on key thematic including GEWE 2.1.2 Number of meeting of project national focal points (% on GEWE) 2.1.3 Number of consultations with civil society on regional policies (% on GEWE) 2.1.4 .Number of thematic areas where regional policies have equivalent national strategies	2.1.1: 1 per annum 2.1.2: 1 per annum 2.1.3: 0 2.1.4: 1	2.1.1: 3 per annum 2.1.2: 1 per annum 2.1.3: 3 per annum 2.1.4: 3	IOC Reports	Political will for this coherence between national and regional
<b>Outcome 3</b> <b>OACPS-EU Partnership's institutional framework</b>	<b>Specific Objective 1:</b> Support the OACPS Secretariat to fulfil its role as administrative and executive body of the OACPS Group in the implementation of the new OACPS-EU	A strengthened political partnership between the parties to generate mutually beneficial outcomes on common and intersecting interests and in accordance with shared values.	OACPS Secretariat ongoing restructuring  Ongoing JPA	An OACPS Secretariat fit for purpose, efficient and modern	Secretary-General (SG) and Committee of Ambassadors (CoA) reports to	EU and OACPS political will and engagement

	Partnership Agreement (Post-Cotonou)  <b>Specific Objective 2:</b>  Ensure effective dialogue is maintained at the level of OACPS-EU Joint Parliamentary Assembly (JPA) and Regional Parliamentary Assemblies (RPAs), including with cooperation between relevant social and economic actors.		meetings (virtual due to covid)	Regular JPA and RPAs meetings	the OACPS Council of Ministers (CoM)  EU reports	
<b>Output 3.1.1</b>	The capacity of the OACPS secretariat and Antenna office to implement the new OACPS-EU Partnership Agreement (Post-Cotonou) is strengthened	Development of operating modalities for joint institutions, such as Rules for Procedures (RoPs)  Use of digitalisation, procurement and outsourcing  Finalisation of revised organigram and hiring of missing staff	0	RoPs JPA  RoPs RPAs  RoPs Joint Council of Ministers  Adoption of digital work tools such as Teams, WebEx	Reports of meetings	Sufficient political and financial means
<b>Output 3.1.2</b>	The capacity of the OACPS Secretariat to work on OACPS-EU alliance-building and more coordinated actions on the world stage where the group's impact can be significant is built	Number of joint declarations and activities at international level organised (% of declaration on GEWE)	0	Number of joint actions to influence the global agenda	Reports	Political willingness from EU and OACPS
<b>Output 3.1.3</b>	The capacity of the OACPS Secretariat at operational and impactful visibility activities linked to the OACPS-EU political partnership is enhanced	Number of trainings on project and financial management  Revised website, and revamped social media, with focus on OACPS-EU partnership  Outreach to OACP States on OACPS-EU Partnership and new Post-Cotonou agreement	0	1 training on project and financial management of EU-funded operational activities	Reports	OACPS Secretariat and Member States's political will to modernise operational and visibility activities

				1 revised website  Revised Facebook, twitter; opening of Instagram  XX outreach activities		
<b>Output 3.2.1</b>	The capacity of the OACPS Secretariat to organise efficiently JPA and RPAs meetings and related activities is strengthened	Number of JPAs and RPAs meetings organised  Number and quality of staff dedicated fully or partly to JPA and RPAs activities disaggregated by sex	1 JPA	1 JPA annually  3 RPAs	Reports of European Commission and EP; OACPS internal reporting	Sufficient political will and commitment, notably of OACPS Secretariat and OACPS parliamentarians
<b>Output 3.2.2</b>	Opportunities for dialogue and cooperation between social and economic actors created, with particular attention given to youth, women, and minority and indigenous groups as well as gender issues	Number of consultations carried out (% on GEWE)	0	2 consultations	Report of consultations; list of stakeholders	Adequate attendance and communication

## 25. IMPLEMENTATION ARRANGEMENTS

### 4.1 Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with the partner country

### 4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 2 will be carried out and the corresponding contracts and agreements implemented, is 48 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

### 4.3 Implementation Modalities

The Commission will ensure that the EU appropriate 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>72</sup>.

#### 4.3.1 Direct Management (Grants)

##### **4.3.1.1. Technical assistance component**

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

The grant will contribute to achieve the following activities under output 2 of the component 1 of this Action Document: Carrying out of academic studies or research needed in the framework of the Africa-EU Partnership to back political and policy priority setting at the AU-EU level.

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

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to consortia of think-tank selected using the following criteria: strong knowledge and experience of the Africa – EU partnership and the main priorities, established links and expertise both in African and in Europe.

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

Art.195 of the Financial Regulation<sup>73</sup> lays out the conditions for the use of Grants that may be awarded without a call for proposals. In this case, para (f) of Art.195 specifically mentions that Grants “for activities with specific characteristics that require a particular type of body on account of its technical competence, its high degree of

<sup>72</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.

<sup>73</sup> European Commission (2018). Financial Regulation: Applicable to the general budget of the Union. Available at: [Financial regulation applicable to the general budget of the Union - Publications Office of the EU \(europa.eu\)](http://europa.eu/financial-regulation-applicable-to-the-general-budget-of-the-union)

specialisation or its administrative powers, on condition that the activities concerned do not fall within the scope of a call for proposals”.

Under the responsibility of the Commission’s authorising officer responsible, the recourse to an award of a grant without a call for proposals to a consortia of think-tanks selected using the following criteria: strong knowledge and experience of the Africa – EU partnership and the main priorities, established links and expertise both in African and in Europe. The direct grant is justified by the following elements: a) limited number of organisations with solid understanding and expertise in continental integration and AU EU Partnership priorities b) consortium of the few key European and African think tanks is intended to be put in place to also reinforce partnerships and respective expertise ; c) the grant would require specific knowledge of the key partnership priorities on both the European and African perspectives; c) the amount allocated to the grant 150.000 EUR max would limit the possibility for a call for proposals that would require the investment of large resources

#### **4.3.1.2 Capacity building component – direct grant to the Indian Ocean Commission**

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

The grants will contribute to achieve the outputs 6 to 8 under the component 2, namely strengthening partner organization IOC’s institutional capacities by providing the equipment and training necessary to upgrade their administrative (accounting, procurement, financial, audit) and operational (project management, monitoring and evaluation) systems.

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

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

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

Art.195 of the Financial Regulation<sup>74</sup> lays out the conditions for the use of Grants that may be awarded without a call for proposals. In this case, para (c) states that Grants may be awarded “to bodies with a de jure or de facto monopoly or to bodies designated by Member States, under their responsibility, where those Member States are identified by a basic act as beneficiaries”.

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 is directed towards the institutional capacity building of the Indian Ocean Commission, in view of passing the 9 pillar accreditation and further modernising the IOC. The latter is the only regional organisation composed of small island states in the African region and has exclusive competence in the field of activity, namely its transformation process, and geographical area to which the grant relates. The IOC successfully implemented a grant under the 11<sup>th</sup> EDF and the objective is to capitalise, through the grant, on an optimal ownership of the IOC to its institutional capacity building exercise.

#### **4.3.1.3 Capacity building component – direct grants to Eastern African Community**

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

The grants will contribute to achieve the outputs 1 to 5 under the component 2: Strengthening partner organization EAC institutional capacities by providing the equipment and training necessary to upgrade their administrative (accounting, procurement, financial, audit) and operational (project management, monitoring and evaluation) systems.

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

Under the responsibility of the Commission’s authorising officer responsible, a grant may be awarded without a call for proposals to the Eastern African Community.

<sup>74</sup> European Commission (2018). Financial Regulation: Applicable to the general budget of the Union. Available at: [Financial regulation applicable to the general budget of the Union - Publications Office of the EU \(europa.eu\)](https://ec.europa.eu/eu-registry/content/financial-regulation-applicable-general-budget-union-publications-office-eu-europa-eu)



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

Art.195 of the Financial Regulation<sup>75</sup> lays out the conditions for the use of Grants that may be awarded without a call for proposals. In this case, para (c) states that Grants may be awarded “to bodies with a de jure or de facto monopoly or to bodies designated by Member States, under their responsibility, where those Member States are identified by a basic act as beneficiaries”.

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 is directed towards the institutional capacity building of the Eastern Africa Community, in view of passing the 9 pillar accreditation and further modernising the EAC. The EAC is an EU strategic partner in Eastern Africa and the Institution mandated by its Member States to advance the regional integration agenda and deepening cooperation among its Partner States in, among others, political, social, economic and social fields for the mutual benefits of their citizenry.

#### **4.3.1.4 Support to OACPS-EU Partnership’s institutional framework component**

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

The grant will contribute to achieve the output 1 of the component 3 of this Action Document:

1. Support the OACPS Secretariat to fulfil its role as administrative and executive body of the OACPS Group in the implementation of the OACPS-EU Partnership Agreement
2. Ensure effective dialogue is maintained at the level of OACPS-EU Joint Parliamentary Assembly (JPA) and Regional Parliamentary Assemblies (RPAs), including with cooperation between relevant social and economic actors.

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

Under the responsibility of the Commission’s authorising officer responsible, the operating grant may be awarded without a call for proposals to the OACPS Secretariat.

##### **(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 has specific characteristics requiring a specific type of beneficiary for its administrative power with regard to Article 27(3) NDICI-Global Europe Regulation and Article 195 of the Financial Regulation applicable to the general budget of the Union. More specifically, para (f) of Art.195 specifically mentions that Grants “for activities with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative powers, on condition that the activities concerned do not fall within the scope of a call for proposals”.

The OACPS Secretariat is a beneficiary which has a specific administrative power. According to the revised Georgetown Agreement, articles 22, 23, 24 and 30, the Secretariat of the OACPS is located in Brussels, Belgium and function as Headquarters of the OACPS. The Secretariat of the OACPS shall (a) implement the decisions of all Organs of the OACPS; (b) implement, as appropriate, agreements concluded with development partners; (c) provide services to the Organs of the OACPS and, as appropriate, the joint institutions established with all external parties.

<sup>75</sup> European Commission (2018). Financial Regulation: Applicable to the general budget of the Union. Available at: [Financial regulation applicable to the general budget of the Union - Publications Office of the EU \(europa.eu\)](https://ec.europa.eu/economy_finance/financial-regulation-applicable-to-the-general-budget-of-the-union_en)

#### 4.3.2 Direct Management (Procurement)

##### **4.3.2.1 Technical Assistance Component.**

The technical assistance component will be implemented through the procurement of the relevant services for a total amount of EUR 6 850 000

##### **4.3.2.2 Capacity Building Component**

The procurement of the relevant services for a total amount of EUR 1.1 million will support the implementation of outcomes 2.6 to 2.8 of the capacity building component (support to IOC).

#### 4.4 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 subject to the following provisions.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

For this multi-country action, natural persons who are nationals of, and legal persons who are effectively established in the following countries and territories covered by this action, are also eligible: OACP states.

## 4.5 Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)	Third-party contribution, in currency identified
Implementation modalities (cf. section 4.3)		n/a
<b>Component 1 : Technical Assistance</b>		
Outputs 1.1-1.2		
Procurement (direct management) cf. section 4.3.2	6 850 000	
Grant (direct management) cf. section 4.3.1	150 000	
<b>Component 2 Capacity building</b>		
Outputs 2.6 to 2.8: Support to IOC (technical assistance activities)		
Procurement (direct management) cf. section 4.3.2	1 100 000	
Outputs 2.1 to 2.8: Support to EAC and to IOC		
Grants (direct management) cf. section 4.3.1	3 500 000	
<b>Component 3: OACPS-EU Partnership's institutional framework</b>		
Output 3.1 to 3.5		
Grants (direct management) cf. section 4.3.1	8 000 000	
Evaluation and monitoring – cf. section 5.2	200 000	N.A.
Contingencies	200 000	N.A.
<b>Total</b>	<b>20 000 000</b>	<b>N.A.</b>

## 4.6 Organisational Set-up and Responsibilities

### Component 1: Technical Assistance

Output 1.1 of this component will be managed by Commission services (DG INTPA). The authorizing officer may decide to sub-delegate the management of specific technical assistance service contracts to EU Delegations when they relate to support the identification, formulation or implementation of actions managed by them.

Output 1.2 of this component will be managed by the EU Delegation to the African Union, which will be in charge of contracting the required technical assistance.

### Component 2: Capacity Building

This component includes support to two Regional Organizations: EAC and IOC.

The support to EAC will consist in an operating grant to EAC managed by the Delegation to Tanzania for an amount of EUR 600 000

The support to IOC will consist on an operating grant managed by the Delegation To Mauritius for an amount of EUR 2 900 000. A steering committee composed of the IOC, the EU, AFD and IOC member states Committee will oversee the implementation of the project. A permanent liaison between the project management Unit and the beneficiary countries will be maintained. Support to IOC will be complemented by the provision of technical assistance, the contracting of which will be managed by the Delegation to Mauritius.

### **Component 3: OACPS-EU Partnership's institutional framework**

This component will be managed by Commission services (DG INTPA). The Commission will sign an operating grant with the OACPS secretariat. A **Steering Committee** composed of the representatives of the OACPS Secretariat and the European Commission extended to other EU services if needed, and where relevant with the involvement of external technical assistants, will be established to monitor the implementation of the activities and results of the project. This committee will meet at least once a year.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

#### 4.7 Pre-conditions [Only for project modality]

No pre-conditions are required for the implementation of this action

## 26. PERFORMANCE MEASUREMENT

### 5.1 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 partners 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) and the partner's strategy, policy or reform action plan list (for budget support).

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).

Roles and responsibilities for data collection, analysis and monitoring:

### **Component 1: Technical Assistance**

- The EUD to AU will ensure the monitoring of the Youth hub, CSO Technical Assistance, activities in support of the partnership with the African Union as well as the work with a consortium of Think tanks. Each of these TA will have a data collection and analysis part that will be the responsibility of the implementing partners.
- Other technical assistance contracts will be monitored by Commission services (DG INTPA), and by regionalized Delegations as relevant.

### Component 2: Capacity Building

- Regarding the actions in support to the IOC, the Delegation to Mauritius assisted by the technical assistance team recruited under the grant, will be responsible for data collection, analysis and monitoring.
- The Delegation to Tanzania will allocate staff to ensure the monitoring of the grant in support of the EAC

### Component 3: OACPS-EU Partnership's institutional framework

The use of the logical framework matrix, to be annexed to each annual activities work-plan, will in particular ensure monitoring of the implementation of the action, and indicate clear objectives, indicators, targets and means of monitoring. Annual activity work-plan shall also indicate clear deadlines (timeline) and milestones and use appropriate formats, easy to read and clear and transparent to the contracting authority, the European Commission (as suggested by ROM report on Decision 40774 – Institutional support under 11<sup>th</sup> EDF).

Quarterly flash reports shall provide an up-to-date situation of the implementation of the action, highlighting in particular past activities and upcoming ones, flagging key dates, and deadlines and milestones.

The final report (annual activity report), narrative and financial, shall cover the entire period of the action implementation.

## 5.2 Evaluation

Having regard to the **nature** of the action, **final** evaluation **will be** carried out for this action or its components **via independent consultants contracted by the Commission**

The Commission shall inform the implementing partner at least **one month** in advance of the dates envisaged 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 following the best practice of evaluation dissemination<sup>76</sup>. 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.

**Evaluation services may be contracted under a framework contract**

## 5.3 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 audit or verification assignments for one or several contracts or agreements.

<sup>76</sup> See best [practice of evaluation dissemination](#)

## 6. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt 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.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

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