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THIS ACTION IS FUNDED BY THE EUROPEAN UNION

ANNEX 5

to the Commission Implementing Decision on the financing of the third set of individual measures in favour of the Federal Democratic Republic of Ethiopia for 2023

Action Document– Cooperation Facility

MEASURE

This document constitutes the annual work programme within the meaning of Article 110(2) of the Financial Regulation, within the meaning of Article 23 of the NDICI-Global Europe Regulation.

1 SYNOPSIS

1.1 Action Summary Table

1. Title CRIS/OPSYS business reference Basic Act	Cooperation Facility OPSYS number: ACT-61884 Financed under the Neighbourhood, Development and International Cooperation Instrument (<u>NDICI-Global Europe</u>)
2. Team Europe Initiative	No
3. Zone benefiting from the action	The action shall be carried out in Federal Democratic Republic of Ethiopia
4. Programming document	Not applicable. Individual Measures outside the scope of programming documents (NDICI-Global Europe Regulation, Article 23.3) ¹
5. Link with relevant MIP(s) objectives / expected results	Not applicable. Individual Measures outside the scope of programming documents (NDICI-Global Europe Regulation, Article 23.3)
PRIORITY AREAS AND SECTOR INFORMATION	
6. Priority Area(s), sectors	Not applicable. Individual Measures outside the scope of programming documents (NDICI-Global Europe Regulation, Article 23.3)
7. Sustainable Development Goals (SDGs)	Main SDG (1 only): SDG 17 partnerships for the goals
8 a) DAC code(s)	43010 – Multisector aid- 100%
8 b) Main Delivery Channel	Other- 90000

¹ 14.6.2021- Regulation (EU) 2021/947 of the European Parliament and of the Council of 9 June 2021- Article 23.3.: ‘Where necessary, an action may be adopted as an individual measure before or after the adoption of action plans. Individual measures shall be based on programming documents, except for cases referred to in paragraph 5 and in other duly justified cases.’

9. Targets	<input type="checkbox"/> Migration <input type="checkbox"/> Climate <input type="checkbox"/> Social inclusion and Human Development <input type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input type="checkbox"/> Human Rights, Democracy and Governance				
10. Markers (from DAC form)	General policy objective	Not targeted	Significant objective	Principal objective	
	Participation development/good governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Gender equality and women's and girl's empowerment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Reproductive, maternal, new-born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Disaster Risk Reduction	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Inclusion of persons with Disabilities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Nutrition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	RIO Convention markers	Not targeted	Significant objective	Principal objective	
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Climate Change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	11. Internal markers and Tags:	Policy objectives	Not targeted	Significant objective	Principal objective
		Digitalisation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<div> digital connectivity digital governance digital entrepreneurship digital skills/literacy digital services </div>		<div> YES <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<div> NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<div style="border: 1px solid black; width: 100%; height: 100%; position: relative;"> <div style="position: absolute; top: 0; right: 0; width: 100%; height: 100%; border-left: 1px solid black; border-bottom: 1px solid black;"></div> </div>	
Connectivity		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<div> digital connectivity energy transport </div>		<div> YES <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<div> NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<div style="border: 1px solid black; width: 100%; height: 100%; position: relative;"> <div style="position: absolute; top: 0; right: 0; width: 100%; height: 100%; border-left: 1px solid black; border-bottom: 1px solid black;"></div> </div>	

	health education and research	<input type="checkbox"/>	<input type="checkbox"/>	
	Migration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BUDGET INFORMATION				
12. Amounts concerned	Budget line(s) (article, item): BGUE-B2023-14 02 01 21-C1-INTPA Total estimated cost: EUR 2 500 000 Total amount of EU budget contribution EUR 2 500 000			
MANAGEMENT AND IMPLEMENTATION				
13. Type of financing	Direct management through: - Procurement			

1.2 Summary of the Action

The Cooperation Facility, with a budget of EUR 2 500 000, will fund the procurement of various Technical Assistance services. The Facility aims to design EU development interventions and related visibility and communication activities, as well as improve the donor coordination. It will ensure design and implementation of activities addressing the need for the development of conflict sensitive and responsive future engagements, intensified strategic communication and public diplomacy activities and stronger coordination with Member States in designing Team Europe Initiatives (TEIs), as well as general donor coordination with the wider donor community. The action has an indicative duration of 48 months from the date of adoption by the Commission of this Financing Decision.

2 RATIONALE

2.1 Context

It is apparent that under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe) the EU Delegation (EUD) will directly manage the action, through specific contracts (framework contract), local or international procedures.

The Ethiopia's Multinational Indicative Plan (MIP) being on hold, the Cooperation Facility will be complementary to the existing and new Individual Measures, as well as support the scoping of sectors in support of a possible future adoption of the MIP as per 24 April 2023 Council Conclusions.²

The current Cooperation Facility will primarily ensure design and implementation of activities addressing the need for the development of conflict sensitive and responsive future engagements, intensified strategic communication and public diplomacy activities for promoting EU-Ethiopia partnership and stronger coordination with Member States in designing Team Europe Initiatives (TEIs).

² 22.04.2023- Council Conclusions on Ethiopia- [pdf \(europa.eu\)](https://europa.eu)

The action will also support the procurement of services for independent audit or verification and evaluation assignments for one or several contracts or agreements.

This action is aligned with the key domestic policies including the Ten-year Perspective Plan (TYPP, 2020) and the Home-Grown Economic Reform Programme (HERP, 2019). The Cooperation Facility will continue to strengthen technical capacities, networks and long-term relationships with key target audiences and partners (e.g. youth, students, academics, think tanks, CSOs, business, creative industries), including leveraging existing EU programmes, in order to facilitate effective future cooperation across policy areas.

Having the TYPP (2020) one of its six strategic pillars dedicated to “Ensure equitable participation of women and children” (Strategic pillar No. 5) and in alignment with the Ethiopian National Policy on Women (1993), the action may support gender equality and women’s empowerment integration into the country’s development agenda.

2.2 Problem Analysis

The EU aims to ensure effective delivery of the EU-Ethiopia cooperation, under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe). Within this context there is a need for scoping studies to better design EU development cooperation programmes in the current context, ensuring they are conflict sensitive and in line with a human rights based approach and gender mainstreaming commitments. The EU further wants to ensure efficient and effective strategic communication of its values and policies, including impact of our cooperation in the country.

The presence of a large number of development partners in the country requires a significant coordination effort ensuring coherence, synergies and complementarities. Furthermore, the TEIs will require intensive collaboration and coordination with the Member States.

More specifically the following issues will be addressed:

- Growing demand for project preparations, studies and context analysis:
There is a need to formulate and implement programmes, taking into account conflict sensitivity, gender and human rights sensitivity. The substantial EU support to Ethiopia calls for the support of specialized Technical Assistance (TA) in the areas of project preparation, studies and monitoring and evaluation of activities.
- Need for coordination and collaboration with Member States and other implementing partners:
The current situation in the country calls for more intensified coordination and collaboration, especially since implementation will take place through different implementation channels.
- Increased awareness, understanding and support of the EU and its action:

A continuous engagement of different visibility promoting media services is needed to inform the wider public on the impact of the EU cooperation actions while at the same time ensuring their visibility.

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

This action will enable EU cooperation, bilateral and as part of the design of TEIs, to achieve its objectives efficiently, taking into account the constraints identified, and improving communication on EU External Action in Ethiopia.

A broad range of stakeholders are expected to benefit from the proposed Cooperation Facility instrument, including, but not limited to:

- i. Civil society, International organisations and private sector insofar concerned and are stakeholders of EU supported development projects and programmes;
- ii. EU Member States and its financing and implementing agencies;
- iii. The broader donor community and the Development Partner Group.

3 DESCRIPTION OF THE ACTION

3.1 Objectives and Expected Outputs

The **Overall Objective** (Impact) of this action is to increase the impact of future and ongoing EU cooperation actions.

The **Specific Objective** (Outcome) of this action is to enable the EU cooperation to achieve its objectives efficiently in an inclusive manner.

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

1.1 contributing to the Outcome: Sector, project and programme specific analysis and studies for future programming are successfully concluded.

1.2 contributing to the Outcome: Strategic Communication and Public Diplomacy activities are undertaken, with the objective of improving EU perception in the country

1.3 contributing to the Outcome: Audit or Verification and evaluation assignments for one or several contracts or agreements are carried out.

1.4 contributing to the Outcome: Donor coordination, EU coordination and consolidation of Team Europe Initiatives.

3.2 Indicative Activities

Activities related to Output 1.1 may include, amongst others:

- Identification of development programmes corresponding to the current needs and gender equality/human rights specific situations; and/or
- Preparation and formulation of development programmes to be financed under NDICI.

Activities related to Output 1.2 may include, amongst others:

- On -demand -awareness raising campaigns constantly adjusted in line with evidence of the material and approaches that resonate most successfully with the audience.
- Activities to promote the understanding and awareness of the Union's values, interests and specific policies, including the Global Gateway and other priority policies.
- Activities to strengthen networks and long-term relationships with key target audiences and partners (e.g. youth, students, academics, think tanks, CSOs, business, creative industries, women's groups, groups of people living with disabilities), including leveraging existing EU programmes, in order to facilitate future cooperation across policy areas.

Activities related to Output 1.3 may include, amongst others:

- Procurement of services for independent audit or verification and evaluation assignments for one or several contracts or agreements.

Activities related to output 1.4 may include, amongst others:

- Coordination and meetings;
- Support to Development Partners Group-secretariat;
- Data collection, management of data and reporting.

3.3 Mainstreaming

Environmental Protection & Climate Change

Outcomes of the Strategic Environment Assessment (SEA) screening (relevant for budget support and strategic-level interventions).

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

Gender equality and empowerment of women and girls

As per the OECD Gender DAC codes identified in section 1.1, this action is labelled as G0. This implies that there is no direct contribution to gender equality. However, gender equality may be analysed in studies performed under these individual measures. At all stages gender-responsive rights-based approach principles participation, non-discrimination/equality, accountability and transparency will guide the planning and implementation of the Action. Potential studies and advisory services will fully integrate gender aspects and evidence generation will be based on data disaggregated by sex and other intersectional categories. The programming part will promote gender-specific assessments such as gender analysis. When formulating new projects, gender-specific indicators will be included, and all quantitative project data will be aggregated by sex.

The action will work with partners to ensure a balanced representation of women and men to the greatest extent possible (e.g. the action will not propose or accept single-gender workshops, panels, etc.). The action contributes to the objectives of the Gender Action Plan III (GAP III, 2021-2025)

Human Rights

The action will take a right based approach. It will be taken into account when identifying possible future actions the following principles: No-discrimination, meaningful participation, transparency, accountability and respect to all human rights.

Disability

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0. This implies that the individual measures do not contribute themselves to human rights. However, the need to take into account disabilities will be considered when identifying possible future actions. The Action will ensure that rights of persons with disabilities will be respected, and the planned activities related with formulation of projects, evaluations and others are disability inclusive. The Action will encourage partners and programme participants to take the initiatives to protect persons with disabilities and invite organisations representing people with disabilities as much as possible.

Reduction of inequalities

N/A

Democracy

N/A

Conflict sensitivity, peace and resilience

The action will specifically address conflict sensitivity analysis in all its activities and strive to contribute to reconciliation and peace efforts.

Disaster Risk Reduction

N/A

Other considerations if relevant

N/A

3.4 Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
External environment	Availability of experts: Ethiopia remains vulnerable to significant shocks, natural and man-made. The impact of the active conflict risks deteriorating the security environment and travel conditions, which could translate into unavailability or unwillingness of experts to travel to Ethiopia.	M	L	Drafting of clear and detailed Terms of references (TORs), combining local with international expertise, flexibility in teleworking and use of electronic means of communication.

Lessons Learnt:

The EU has been for the past several years funding Technical Cooperation Facilities (TCF), which fell under the responsibility of the National Authorising Officer. While the implementation modality is different, some lessons learnt from the implementation of previous TCF may be applicable to support measures. For instance, due to the COVID pandemic as well as the conflict, experience with telework and virtual meetings has been gained. Further, combining local with international expertise has enabled us to combine international best practices with substantial local insights and understanding. It also facilitated blended (virtual and in-person) information sharing and gathering. Finally, the flexibility of the direct management mode (and framework contracts) will enable the EUD to respond quickly to the changing environment and requirements regarding programming.

3.5 The Intervention Logic

The underlying intervention logic for this action is to support the EU-Ethiopia partnership. Due to the need to sustain addressing the needs of the population most affected by the crisis, this action will facilitate the development of appropriate programmes taken into account a human rights and gender approach. This action will further strengthen the cooperation and coordination with Member States and other development partners, as well as the visibility of the EU action in Ethiopia.

This action will further strengthen the cooperation and coordination with Member States and other development partners, as well as the visibility of the EU action in Ethiopia. The action will aim to:

- ensure design and implementation of activities addressing the need for the development of conflict sensitive and responsive future engagements;
- intensify strategic communication and public diplomacy activities, and;
- strengthen coordination with Member States in designing Team Europe Initiatives (TEIs).

3.6 Logical Framework Matrix

Given the nature of this Action a Logical Framework Matrix is not required at Action level.

4 IMPLEMENTATION ARRANGEMENTS

4.1 Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with the Federal Democratic Republic of Ethiopia.

4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 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 of the Budget Support Component

N/A

4.4 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.

4.4.1 Direct Management (Procurement)

This implementation modality entails the procurement of Technical Assistance covering all the outputs. These support measures will be managed by the EU Delegation in Ethiopia. The action will allow the development of strategic communication and public diplomacy tools to better communicate on the EU-Ethiopia partnership.

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.

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).

4.6 Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)
Implementation modalities – cf. section 4.4	
Specific Objective 1: composed of	
Procurement (direct management) – cf. section 4.4.1	2 500 000
Evaluation – cf. section 5.2 Audit – cf. section 5.3	May be covered by another Decision
Totals	2 500 000

4.7 Organisational Set-up and Responsibilities

This project will be implemented under direct management. The terms of reference for studies will be drafted by the Delegation and shared for comments with relevant stakeholders. Studies related to TEI will be shared for comments with Member States. No specific Steering Committee will be established.

5 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 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.

All monitoring and reporting shall assess how the action is considering the principle of gender equality, human rights-based approach, and rights of persons with disabilities including inclusion and diversity

Indicators shall be disaggregated at least by sex.

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

5.2 Evaluation

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

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.

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.

In line with the 2022 “[Communicating and Raising EU Visibility: Guidance for External Actions](#)”, 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 in principle 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.