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**THIS ACTION IS FUNDED BY THE EUROPEAN UNION**

**ANNEX 7**

of the Commission Implementing Decision on the financing of the multiannual action plan in favour of Sub-Saharan Africa for 2021

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

**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.

**1. SYNOPSIS**

**1.1. Action Summary Table**

<b>1. Title CRIS/OPSYS business reference Basic Act</b>	Support Measures for Regional and Multi-Country Programmes in Sub-Saharan Africa CRIS number: NDICI AFRICA/2021/043-490 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
<b>2. Team Europe Initiative</b>	No
<b>3. Zone benefiting from the action</b>	The action shall be carried out in Sub-Saharan Africa
<b>4. Programming document</b>	Regional Multi-Annual Indicative Plan for Sub-Saharan Africa
<b>5. Link with relevant MIP(s) objectives/expected results</b>	The action contributes to the Support Measures for the MIP (Section 3.2 of the MIP)
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>	
<b>6. Priority Area(s), sectors</b>	Support measures – sectors not specified 99810
<b>7. Sustainable Development Goals (SDGs)</b>	Main SDG (1 only): SDG 17 Partnerships to achieve the goal
<b>8 a) DAC code(s)</b>	99810 – Sectors not specified 100 %
<b>8 b) Main Delivery Channel</b>	Multilateral Organisations, Service contracts

<b>9. Targets</b>	<input type="checkbox"/> Migration <input type="checkbox"/> Climate X Social inclusion and Human Development X Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education X Human Rights, Democracy and Governance			
<b>10. Markers (from DAC form)</b>	<b>General policy objective @</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Participation development/good governance	x	<input type="checkbox"/>	<input type="checkbox"/>
	Aid to environment @	x	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality and women's and girl's empowerment		x	<input type="checkbox"/>
	Trade development	x	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, maternal, new-born and child health	x	<input type="checkbox"/>	<input type="checkbox"/>
	Disaster Risk Reduction @	x	<input type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities @	x		<input type="checkbox"/>
	Nutrition @	x	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	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"/>
	<b>11. Internal markers and Tags:</b>	<b>Policy objectives</b>	<b>Not targeted</b>	<b>Significant objective</b>
Digitalisation @ Tags: digital connectivity digital governance digital entrepreneurship job creation digital skills/literacy digital services		<input checked="" type="checkbox"/>	<input type="checkbox"/>        <input type="checkbox"/>	<input type="checkbox"/>        <input type="checkbox"/>
Connectivity @ Tags: transport people2people energy digital connectivity		<input checked="" type="checkbox"/>	<input type="checkbox"/>     <input type="checkbox"/>	<input type="checkbox"/>     <input type="checkbox"/>
Migration @		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	(methodology for tagging under development)			
	Reduction of Inequalities (methodology for marker and tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>BUDGET INFORMATION</b>				
<b>12. Amounts concerned</b>	Budget line(s) (article, item): BGUE-B2021-14.020120-C1-INTPA EUR 6 160 000 BGUE-B2021-14.020121-C1-INTPA EUR 6 606 000 BGUE-B2021-14.020122-C1-INTPA EUR 7 234 000 Total estimated cost: EUR 20 000 000 Total amount of EU budget contribution EUR 20 000 000			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>13. Type of financing<sup>1</sup></b>	<b>Direct management</b> through: Grants Procurement			

## 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.

<sup>1</sup> Art. 27 NDICI.

### **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.

## **2. 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>2</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:

- **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

<sup>2</sup> JOIN(2020)17 final of 25.11.2020; SWD(2020)284 final of 25.11.2020.

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>3</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 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 développement (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;

<sup>3</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.

(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.

### 3. 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 activities 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)

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#### **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.

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#### **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.

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**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.

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**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.

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**Disaster Risk Reduction**

The action does not contain activities related to disaster risk reduction.

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### 3.4 Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
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

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	<p><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.</p>					



<b>Outcome 1: Technical Assistance</b>	<p><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, understanding and approval of the EU at regional level. To this end, a dedicated Strategic plan will be drawn out by headquarters.</p>	<p>Number of technical assistance contracts supporting AAP 2021/2022</p> <p>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;</p> <p>Number of sector specific gender analysis done or updated (if more than 5 years old)</p> <p>EU awareness, brand recognition and approval rates among target public</p>	<p>0</p> <p>TBD</p> <p>TBD</p> <p>Baseline survey 2022</p>	<p>10</p> <p>TBD</p> <p>TBD</p>	<p>EU-AU commission reports</p> <p>Opinion survey 2027</p>	<p>The two continents are committed and engaged in win win partnership,</p> <p>The political and social context remain stable in the two continents</p>
<b>Output 1.1</b>	<p>Actions implementing the Regional MIP priorities are identified, formulated, implemented and monitored making use of appropriate technical expertise.</p>	<p>Number of Actions identified/formulated/monitored through technical assistance</p> <p>Number and % of new actions that are gender responsive/targeted (G1+G2)</p> <p>Total funding in support of GEWE actions (G1 and G2)</p>	<p>0</p> <p>TBD</p> <p>TBD</p>	<p>5</p> <p>TBD</p> <p>TBD</p>	<p>CRIS/OPERATIONS</p>	

<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>4</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  1.2: No green fund accreditation	9 pillars assessment completed  30  1.1: 9 Pillars  1.2: Accreditation received	Report of the 9 pillar assessment ; IOC Reports	Availability of experts/consultants to undertake 9pillar assessment (EAC); The financial means is made available to the IOC over the whole implementation period.

<sup>4</sup>

Detailed indicators, baselines and targets will be defined in the Strategic Communication and Public Diplomacy strategic plan, to be developed.

<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>	<p>2 projects started with delays of more than 6 months after the signing of financing agreements</p> <p>20 ongoing projects</p>	<p>All ongoing projects implemented within the initial timeframes</p> <p>At least 5 new projects designed and implemented in the next 3 years with disaggregated data</p>	<p>Project Reports</p> <p>Financing agreements signed with Development Partners</p>	<p>Financing agreements signed with Development Partners</p>
<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	<p>Updated Internal Audit Instruments</p> <p>The number of audit queries reduced by 30% in each financial year</p> <p>Internal controls increased by 30%</p>	<p>Audit Reports</p> <p>Internal Audit Instruments documents</p>	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	<p>2.1 The SDP has a monitoring and evaluation framework</p> <p>2.2 Key Performance indicators in the Strategic Development Plan for the 5 domains of intervention</p>	<p>2.1: 0</p> <p>2.2: 0</p>	<p>2.1: 1</p> <p>2.2: 5</p>	IOC Reports	Successor SDP approved in under implementation
<b>Output 2.7</b>	Strengthening the operational management systems within the IOC	<p>1.1.1 Financial management manual implemented</p> <p>1.1.2 Procurement manual implemented</p> <p>1.1.3 Audit manual implemented</p> <p>1.1.4 Budget is drawn based on programme based budgeting</p>	<p>1.1.1: 10%</p> <p>1.1.2: 20%</p> <p>1.1.3: 10%</p> <p>1.1.4: 0%</p>	<p>1.1.1: 100%</p> <p>1.1.2: 100%</p> <p>1.1.3: 100%</p> <p>1.1.4: 50%</p>	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.	<p>2.1.1 Number of ministerial conferences on key themes including GEWE</p> <p>2.1.2 Number of meeting of project national focal points (% on GEWE)</p> <p>2.1.3 Number of consultations with civil society on regional policies (% on GEWE)</p> <p>2.1.4 .Number of thematic areas where regional policies have equivalent national strategies</p>	<p>2.1.1: 1 per annum</p> <p>2.1.2: 1 per annum</p> <p>2.1.3: 0</p> <p>2.1.4: 1</p>	<p>2.1.1: 3 per annum</p> <p>2.1.2: 1 per annum</p> <p>2.1.3: 3 per annum</p> <p>2.1.4: 3</p>	IOC Reports	Political will for this coherence between national and regional

<p><b>Outcome 3</b></p> <p><b>OACPS-EU Partnership's institutional framework</b></p>	<p><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 Partnership Agreement (Post-Cotonou)</p> <p><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.</p>	<p>A strengthened political partnership between the parties to generate mutually beneficial outcomes on common and intersecting interests and in accordance with shared values.</p>	<p>OACPS Secretariat ongoing restructuring</p> <p>Ongoing JPA meetings (virtual due to covid)</p>	<p>An OACPS Secretariat fit for purpose, efficient and modern</p> <p>Regular JPA and RPAs meetings</p>	<p>Secretary-General (SG) and Committee of Ambassadors (CoA) reports to the OACPS Council of Ministers (CoM)</p> <p>EU reports</p>	<p>EU and OACPS political will and engagement</p>
<p><b>Output 3.1.1</b></p>	<p>The capacity of the OACPS secretariat and Antenna office to implement the new OACPS-EU Partnership Agreement (Post-Cotonou) is strengthened</p>	<p>Development of operating modalities for joint institutions, such as Rules for Procedures (RoPs)</p> <p>Use of digitalisation, procurement and outsourcing</p> <p>Finalisation of revised organigram and hiring of missing staff</p>	<p>0</p>	<p>RoPs JPA</p> <p>RoPs RPAs</p> <p>RoPs Joint Council of Ministers</p> <p>Adoption of digital work tools such as Teams, WebEx</p>	<p>Reports of meetings</p>	<p>Sufficient political and financial means</p>
<p><b>Output 3.1.2</b></p>	<p>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</p>	<p>Number of joint declarations and activities at international level organised (% of declaration on GEWE)</p>	<p>0</p>	<p>Number of joint actions to influence the global agenda</p>	<p>Reports</p>	<p>Political willingness from EU and OACPS</p>

<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	<p>Number of trainings on project and financial management</p> <p>Revised website, and revamped social media, with focus on OACPS-EU partnership</p> <p>Outreach to OACP States on OACPS-EU Partnership and new Post-Cotonou agreement</p>	0	<p>1 training on project and financial management of EU-funded operational activities</p> <p>1 revised website</p> <p>Revised Facebook, twitter; opening of Instagram</p> <p>XX outreach activities</p>	Reports	OACPS Secretariat and Member States's political will to modernise operational and visibility 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	<p>Number of JPAs and RPAs meetings organised</p> <p>Number and quality of staff dedicated fully or partly to JPA and RPAs activities disaggregated by sex</p>	1 JPA	<p>1 JPA annually</p> <p>3 RPAs</p>	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

## 4. 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 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 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>5</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>6</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 specialisation or its administrative powers, on condition that the activities concerned do not fall within the scope of a

<sup>5</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>6</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://publications.europa.eu)



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>7</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>7</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 \(europa.eu\)](#)

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

Art.195 of the Financial Regulation<sup>8</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.

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<sup>8</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)

#### 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>	20 000 000	N.A.

## 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

# **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 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>9</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>9</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.

## APPENDIX 1 REPORTING IN OPSYS

An Intervention<sup>10</sup> (also generally called project/programme) is the operational entity associated to a coherent set of activities and results structured in a logical framework aiming at delivering development change or progress. Interventions are the most effective (hence optimal) entities for the operational follow-up by the Commission of its external development operations. As such, Interventions constitute the base unit for managing operational implementations, assessing performance, monitoring, evaluation, internal and external communication, reporting and aggregation.

Primary Interventions are those contracts or groups of contracts bearing reportable results and respecting the following business rule: 'a given contract can only contribute to one primary intervention and not more than one'. An individual contract that does not produce direct reportable results and cannot be logically grouped with other result reportable contracts is considered a 'support entities'. The addition of all primary interventions and support entities is equivalent to the full development portfolio of the Institution.

Primary Interventions are identified during the design of each action by the responsible service (Delegation or Headquarters operational Unit).

The level of the Primary Intervention is defined in the related Action Document and it is revisable; it can be a(n) (group of) action(s) or a (group of) contract(s).

Tick in the left side column one of the three possible options for the level of definition of the Primary Intervention(s) identified in this action.

In the case of 'Group of actions' level, add references to the present action and other action concerning the same Primary Intervention.

In the case of 'Contract level', add the reference to the corresponding budgetary items in point 4.6, Indicative Budget.

<b>Option 1: Action level</b>		
<input checked="" type="checkbox"/>	Single action	Present action: all contracts in the present action
<b>Option 2: Group of actions level</b>		
<input type="checkbox"/>	Group of actions	Actions reference (CRIS#/OPSYS#): <Present action> <Other action>
<b>Option 3: Contract level</b>		
<input type="checkbox"/>	Single Contract 1	<foreseen individual legal commitment (or contract)>
<input type="checkbox"/>	Single Contract 2	<foreseen individual legal commitment (or contract)>
<input type="checkbox"/>	Single Contract 3	<foreseen individual legal commitment (or contract)>
	(...)	
<input type="checkbox"/>	Group of contracts 1	<foreseen individual legal commitment (or contract) 1> <foreseen individual legal commitment (or contract) 2> <foreseen individual legal commitment (or contract) #>

<sup>10</sup> [ARES \(2021\)4204912](#) - For the purpose of consistency between terms in OPSYS, DG INTPA, DG NEAR and FPI have harmonised 5 key terms, including 'action' and 'Intervention' where an 'action' is the content (or part of the content) of a Commission Financing Decision and 'Intervention' is a coherent set of activities and results which constitutes an effective level for the operational follow-up by the EC of its operations on the ground. See more on the [concept of intervention](#).