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

**ANNEX II**

of the Commission Implementing Decision on the financing of the annual action plan part 3 in favour of the Latin America and Caribbean region for 2021

**Action Document for a Caribbean Cooperation Facility**

**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>	Caribbean Cooperation Facility OPSYS/CRIS number: 2021/043-440 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)/ Overseas Association Decision/European Instrument for International Nuclear Safety Cooperation Regulation
<b>2. Team Europe Initiative</b>	<input checked="" type="checkbox"/> Not applicable
<b>3. Zone benefiting from the action</b>	The action shall be carried out in Antigua and Barbuda, The Bahamas, Barbados, Belize, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, and Trinidad and Tobago.
<b>4. Programming document</b>	Regional multi-annual indicative programming for the Americas
<b>5. Link with relevant MIP(s) objectives/expected results</b>	<ul style="list-style-type: none"> <li>- Partnership for a Caribbean Green Deal</li> <li>- Partnership for Economic Resilience and Trade</li> <li>- Partnership for Governance, Security and Human Development</li> </ul>
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>	
<b>6. Priority Area(s), sectors</b>	Not applicable
<b>7. Sustainable Development Goals (SDGs)</b>	Main SDG (1 only): SDG (17) Partnerships for the goals Other significant SDGs (up to 9) and where appropriate, targets: SDG (8) Decent work and Economic Growth SDG (10) Reduced Inequalities SDG (13) Climate Action SDG (16) Peace, Justice and Strong Institutions SDG (5) Gender Equality
<b>8 a) DAC code(s)</b>	43010 Multisector aid (100%)

<b>8 b) Main Delivery Channel @</b>	10000 Public sector institutions 20000 Non-governmental institutions and civil society 40000 Other multilateral institutions 60000 Private sector institutions			
<b>9. Targets</b>	<input type="checkbox"/> Migration <input checked="" type="checkbox"/> Climate <input checked="" type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Biodiversity <input checked="" type="checkbox"/> Education <input checked="" type="checkbox"/> 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	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment @	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Gender equality and women's and girl's empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade development	<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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Nutrition @	<input checked="" type="checkbox"/>	<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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Combat desertification @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation @	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>11. Internal markers and Tags</b>	<b>Policy objectives</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Digitalisation @ Tags: digital connectivity digital governance digital entrepreneurship job creation digital skills/literacy digital services	<input type="checkbox"/>	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Connectivity @ Tags: transport people2people	<input type="checkbox"/>	<input checked="" type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

	energy digital connectivity		<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Migration @ (methodology for tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities (methodology for marker and tagging under development)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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-B2021-14.020141-C1-INTPA For Regional Programme, specify amount per budget line used EUR 9,000,000 Total estimated cost: EUR 9,000,000 Total amount of EU budget contribution EUR 9,000,000			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>13. Type of financing<sup>1</sup></b>	<b>Direct management</b> through: - Procurement  <b>Indirect management</b> with the entity(ies) to be selected in accordance with the criteria set out in section 4.3.2.			
<b>14. Type of measure</b>	<input checked="" type="checkbox"/> Cooperation facility			

## 1.2. Summary of the Action

The future Agreement between the EU and the Organisation of Africa, Caribbean and Pacific States (OACPS) and NDICI-Global Europe are resetting the “rules of the game” in the engagement with the Caribbean region after decades of EDF-driven philosophy, bringing to the forefront the geopolitical ambitions of the Commission and redefining our relationship with Caribbean regional institutions. The Caribbean Window under the Regional Indicative Programme for the Americas has been designed to consolidate this paradigm shift, establishing three priority areas (“Partnerships”) that translate the ambitions of the post-Cotonou Caribbean Protocol into a set of objectives for the next 7 years.

In this context, there is a need to articulate the implementation of the Caribbean Window with a strengthened policy and political dialogue at regional level that reinforces the EU-Caribbean Partnership. At the same time, the EU must be able to advance its strategic orientations and interest in the post-Brexit Caribbean, including towards the 9 countries that have no bilateral Multiannual Indicative Programme (MIP) for the period 2021-2027. This requires capacity to quickly engage and respond to political opportunities and to rapidly address identified short-term needs of the partners for key policy reforms and initiatives. The provision of EU Member States’ expertise from public and para-public institutions is fundamental to rise the EU profile in the region.

To this end, the Caribbean Cooperation Facility will deliver a vast menu of demand-driven activities (e.g. technical assistance, exchange of experts, peer-to-peer learning, organisation of workshops, etc) that will support the political and policy dialogue and the coordination of EU-Caribbean cooperation, accompany Caribbean stakeholders to push forward reforms and initiatives of strategic importance for the advancement of EU-Caribbean and common values, and help regional partners to address targeted needs linked to the Caribbean regional integration process.

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

The bulk of the action will be implemented through indirect management with MS organisation(s): the availability of EU expertise will maximise the EU impact in the region and will create bonds between Caribbean and European professionals, experts and civil servants, which would facilitate in the medium and longer term the creation of genuine partnerships between the two regions. A limited part of the Action is foreseen to be delivered by direct management in view of covering sensitive issues or urgent needs (support to policy/political dialogue and targeted actions to be delivered in 2022).

## 2. RATIONALE

### 2.1. Context

The future Agreement between the EU and the Organisation of Africa, Caribbean and Pacific States (OACPS) and NDICI-Global Europe are resetting the “rules of the game” in the engagement with the Caribbean region after decades of EDF-driven philosophy, bringing to the forefront the geopolitical ambitions of the Commission and redefining our relationship with Caribbean regional institutions. This is reflected in a new approach for policy and political dialogue with the region that takes into account the new bodies established under the Caribbean post-Cotonou Protocol. The exact definition of the modalities for dialogue and coordination between the EU and the Caribbean partners is currently under discussion and should be agreed at the first Regional Council of Ministers after the signature of the EU-OACPS Agreement.

On this basis and following extensive consultations with Caribbean partner countries and organisations (CARICOM/CARIFORUM and OECS), the EU has embarked in the programming of resources for the Multiannual Financial Framework (MFF) 2021-2027. The Caribbean Window under the Regional Indicative Programme for the Americas (hereafter the Caribbean Window) has been designed to consolidate this paradigm shift, establishing three priority areas (“Partnerships”) for cooperation that translate the ambitions of the post-Cotonou Caribbean Protocol into a set of objectives for the next 7 years.

1. *Partnership for a Caribbean Green Deal*, which reflects the convergence of priorities between the EU and the Caribbean in the areas of climate change and green transition, supporting the ambition to take benefit of likeminded partners in international fora and supporting countries green transformational impact.
2. *Partnership for Economic Resilience and Trade*, which reflects the convergence in the area of Jobs and Growth and Digital where the EU can step up taking advantage of Economic Partnership Agreement (EPA), bringing up the interest of EU IFIs, private sector and Member States and promoting economic diversification to reduce the vulnerability of the region to the external shocks.
3. *Partnership for Governance, Security and Human Development*, which reaffirms EU commitment to crucial areas like Education, Health and Social protection in line with The New European Consensus on Development and the 2030 Agenda for Sustainable Development and the Gender Action Plan III 2021-2025.

These three Partnerships are fully aligned to the Agenda 2030 and will contribute to the achievement of SDGs (3) Good Health and Wellbeing, (5) Gender Equality, (7) Affordable and Clean Energy, (8) Decent work and Economic Growth, (9) Industry, Innovation and Infrastructure, (10) Reduced Inequalities, (11) Sustainable Cities and Communities, (12) Responsible Consumption and Production, (13) Climate Action, (14) Life Below Water, (15) Life on Land, and ; (16) Peace, Justice and Strong Institutions. The Caribbean window is also aligned with regional policies and priorities, like the CARICOM Human Resource Development 2030 Strategy, the CARICOM Single Market and Economy (CSME); the CARICOM Strategic Plan (2015-2019) and its successor, the Economic Partnership Agreement (EPA) between the EU and CARIFORUM, as well as the Paris Agreement and the Sustainable Development Goals (SDGs).

Regional integration, especially through CARICOM and OECS, and cooperation remain the key approach to address the region and its countries’ main challenges, largely related to its high vulnerability to natural disasters and the negative effects of climate change; a limited policy and fiscal response capacity to external economic shocks; low competitiveness and a lack of diversification of its economic base; an underdeveloped institutional capacity; and the mounting security risks (including cyber and irregular migration). The Caribbean Window will provide response to the challenges faced by the Caribbean region and its countries through regional programmes. However, the high degree of heterogeneity between the different countries and the different level of ambition set by the region require

targeted support that facilitates dialogue and stimulates key reforms and initiatives that help to advance the EU-Caribbean Partnerships and common values. Additionally, only 7 of the 16 Caribbean countries have bilateral Multiannual Indicative Programmes (MIP), namely Belize, Cuba, Dominican Republic, Guyana, Haiti, Jamaica, Suriname. The remaining 9 countries, namely Antigua and Barbuda, the Bahamas, Barbados, Dominica, Grenada, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Trinidad and Tobago, have no bilateral MIP. Therefore, the partnership with these countries will be supported under the Caribbean Window. The above set up requires an effective articulation between the actions at different levels, ensuring economies of scale for smaller islands without MIP and full complementarity between regional actions and bilateral programmes for countries with MIP.

The new situation created with the renewed “Post-Cotonou” political agreement combined with the post-brexite Caribbean, the impacts of Covid-19 and the potential economic headwinds and pressures on global trade is also an opportunity to reshape and strengthen the partnerships between the Caribbean countries and the EU Member States (MS). The EU and its MS main strategic interests in the region continue to be stability and shared values, trade (in particular progress in the implementation of the EU-CARIFORUM Economic Partnership Agreement) and global challenges such as climate change and organised crime. These priorities are shared with the Caribbean states.

## 2.2. Problem Analysis

This Action would respond to several challenges identified through discussions with regional and bilateral partners and through lessons learned from past cooperation programmes with the region. In particular:

1. A “policy first” approach requires a change of perspective in the way that development cooperation is delivered and received. This entails an enhanced dialogue, less business-as-usual, more involvement of non-traditional cooperation stakeholders (e.g. private sector), more use of financing instruments that are new to the cooperation practices. The technical capacity of beneficiaries and implementing partners in this regard has not yet been fully developed. The Action would fill the knowledge and expertise gaps and promote inclusive approaches.
2. In the Caribbean, the EU lacks flexible instruments to respond in a swift way to specific requests for EU support, which in many cases only require short-term expertise and limited financial resources. Under the new MFF 2021-2027, this limitation is particularly evident in relation to the countries without a bilateral MIP, which entirely rely on regional funds under the Caribbean Window of the MIP for Americas. This action will therefore ensure that non MIP countries and regional organisations maintain a regular policy and political dialogue with the EU and that immediate needs emerging in such dialogues can be addressed. The action would also complement national instruments for countries with a MIP, in particular to support their policy alignment to the three priority areas (Partnerships) under the Caribbean Window. This “demand-driven” approach within the framework of common priority areas would give both the partner countries/institutions and the EU the necessary adaptability and flexibility, would allow to better support strategic, transformational and catalytic initiatives put forward by reformers in the countries, and would allow the EU to engage in policy dialogue in a wider number of areas important to our partners.
3. Given the cultural and economic prominence of the UK in the English-speaking Caribbean, BREXIT has considerably weakened the traditional ties between the EU and the region. This Action will therefore aim to create new connections and exchanges between public and private entities from both the EU-27 and the Caribbean, based on mutual interests, needs and benefits, and thus taking creating dialogue and bonds – not only between institutions, but also between people.
4. The EU expertise available under existing global initiatives (TAIEX and twinning) and continental programmes (Eurosocial), cannot be mobilised to the extent required to support the needs and expectations of the Caribbean. A similar consideration applies to triangular cooperation programmes such as Adelante. This Action would complement the support available under existing programmes and scale it up to a level that becomes a solid and recognized basis to reinforce the EU-Caribbean partnership.
5. Despite the clear “like mindedness” between the EU and the Caribbean in many aspects – democracy, human rights, climate change, etc. – the cooperation between the regions within multilateral fora is not a constant. The Action would aim also to strengthen the existing partnerships and support initiatives that contribute to put forward alliances at international level. Particular attention will be given to activities related to education and culture, important pillars for consolidating partnerships and promoting EU values.

6. With the imminent signature of the EU-OACPS Agreement and the entry into force of its Caribbean Protocol, new joint institutions will be established, including a Caribbean-EU Council of Ministers. In parallel, the NDICI-Global Europe instrument requires a redefinition of the role of regional organisations, in particular CARICOM/CARIFORUM, vis-a-vis the EU regional cooperation programmes. The exact modalities for regional political and policy dialogue in this framework are still under definition and should be agreed and adopted by the first Caribbean-EU Council of Ministers, to take place in 2022. This Action would support the preparatory work and the organisation of the first Council of Ministers and help consolidate the approach to coordination and policy/political dialogue with the Caribbean. The support to the agreed modalities for coordination and dialogue will be covered by a subsequent Cooperation Facility/support measure.

The main beneficiaries of the Action will primarily be duty bearers (Caribbean governments, public institutions, local authorities), Caribbean regional organisations, right holders (people) through civil society representatives (women's rights organisations, human rights organisations, academia etc.), private sector entities and implementing partners. Other beneficiaries include: EU Member States and institutions, EU academia and NGOs; third countries' counterparts as stakeholders of triangular cooperation and exchanges. The diversity of actors involved in the Action will foster dialogue and co-creation.

### 3. DESCRIPTION OF THE ACTION

#### 3.1. Objectives and Expected Outputs

The **Overall Objective (Impact)** of this Action is to contribute to the sustainable development of the Caribbean countries and the region as a whole.

The **Specific Objective (Outcome)** of this Action is:

1. The three EU-Caribbean Partnerships and EU values are promoted and strengthened.

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

- 1.1 Political and policy dialogue and coordination between the EU and the Caribbean is enhanced.
- 1.2 EU values and know how are spread, including on key cross cutting issues such as gender equality, human rights and youth empowerment.
- 1.3 The capacity of Caribbean stakeholders to play an important role in the EU-Caribbean Partnerships and other global initiatives is increased.

#### 3.2. Indicative Activities

The activities financed through this Action will be defined based on the priority orientation of the political and policy dialogue and further identification of regional and countries' needs, taking into account existing implementation gaps.

Activities related to the outputs listed above may include:

##### **Support for the implementation of the Caribbean Window under the Regional MIP for Americas**

- Support for identification, formulation and monitoring (incl. feasibility studies, impact assessments, support for specific public policy formulation, etc.)
- Technical assistance (TA) and capacity building to governments, public institutions and regional organisations, including exchange of experiences and study-visits
- Support to donor and programme coordination, including the articulation between regional and bilateral programmes under the Caribbean Window

### **Support for policy dialogues with governments**

- Organisation or participation to seminars, meetings, congresses or other events (inc. preparation of meetings documents, reports and outcomes)
- Specific thematic studies

### **Support for strategic communication**

- Actions to raise awareness, understanding and support for the EU.

### **Support for public diplomacy**

- Foster, maintain and connect networks and communities
- Develop long-term initiatives with key stakeholders, including the cultural sector, academia, youth networks, civil society etc. to create improved understanding about the EU and its partnership with the Caribbean.

## 3.3. Mainstreaming

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

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

The EIA (Environment Impact Assessment) screening classified the action as Category B (not requiring an EIA, but for which environment aspects will be addressed during design.

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

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

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

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G1. This implies that gender equality is a significant objective with particular attention to reinforcing political dialogue and knowledge on gender equality in the concerned region and ensuring women (and girls where relevant) can meaningfully participate in the events organised.

### **Human Rights**

A human rights-based approach will be applied during the implementation of the Action, with particular attention to promoting the rights of women, girls, and vulnerable groups, including refugees, displaced people and migrants, as well as indigenous people. All actions will ensure the application of the five HRBA working principles: respect to all rights, accountability, transparency, non-discrimination and participation.

### **Disability**

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D1. This implies that disability is a significant objective and actions will support respect of the rights of persons with disabilities including those in the workplace.

### **Democracy**

The Action will seek ways to engage with new social actors and in particular with youth, with the objective to enhance their skills, employability, capacity to participate to policy and political dialogue.

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

Resilience to external shocks is a main priority for the region and an objective of the three EU-Caribbean partnerships. The action will help to upgrade the dialogue with the region and contribute to sustain and/or expand programmes' results. Short term support to manage and address the impact of shocks that might arise will raise the capacity of the region and its countries to respond to crisis. .

**Disaster Risk Reduction**

Assistance to support the region's ability to better mitigate risk (e.g. irregular settlements in risk-prone areas, increased risk of flash floods associated with deforestation and climate change) especially for vulnerable communities is foreseen to be provided under the EU-Caribbean Green Deal Partnership. Complementary support through this action might help to support triangular cooperation activities, in particular considering the added value of Cuba and its inability to work with several implementation partners due to the US embargo.

**Other considerations if relevant**

Not applicable.

## 3.4. Risks and Lessons Learnt

Category	Risks	Likelihood (High/Medium/Low)	Impact (High/Medium/Low)	Mitigating measures
Planning, Processes, and Systems	Lack of coherence and prioritisation of the different activities within each individual country; lack of a well-defined strategy in the different countries	Medium	Medium	*Elaboration (each country) of Annual Work Plans oriented to results  *The system of country and Delegations focal points to be established for the coordination of the Caribbean Window will ensure coherence and prioritisation of the requests from the different Ministries/institutions. Focal points must have the necessary authority or depend on a high-level official with the necessary authority to prioritise the different requests.
People and the Organisation	Insufficient interest on the part of stakeholders in the activities	Low	Low	Intense reach out of the 7 EU Delegations in the Caribbean at the beginning of the Action to present the Facility to potential stakeholders and regular engagement with the relevant Ministries/institutions during its implementation. The quality and success of the first activities are crucial.
People and the Organisation	Competing priorities and limited human resources hampering active participation in project activities	Low	Low	The 7 EU Delegations in the Caribbean must ensure an active engagement with the intended stakeholders to properly understand the feasibility and interest/commitment/availability for each of the activities.
People and the Organisation	Non-availability of qualified experts of the EU Member States or other countries	Low	Low	*The Annual Work plans will give an early notice of the kind of expertise that will be required.  *The implementing partner in charge of identifying the relevant TA/experiences should aim at further enriching its database of experts.
Planning, Processes, and Systems	Activities under the Action overlap with or duplicates existing EU support.	Low	Low	*Regular meetings of the Steering Committee of the Action, composed by one representative of each of 7 EU Delegations in the Caribbean, should allow for exchange of information about upcoming and ongoing

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
				activities in the 16 countries covered by the Action. *Quarterly reports produced by the EU Delegation in Barbados on Regional programmes also contributes to keeping everyone abreast of upcoming and ongoing activities at Regional level. *Communication among implementing partners of different EU funded programmes will be facilitated by the EU Delegations.

**Lessons Learnt:**

Lessons learnt from EU experience with “Twinings”, TAIEX, EUROSOCIAL and the EU-Cuba Exchange of Experts Programme, where Quality Technical Cooperation is/was provided, based on the demand of partner countries and adopting a peer-to-peer approach have been taken into account, in particular:

- (i) It is essential that the beneficiary institutions ensure an adequate priority to the Action’s activities and that participants are wisely chosen.
- (ii) A management format where the beneficiary countries, working jointly with the EU Delegations, are in charge of the direction of the activities while specific tasks are delegated to the implementing partner, reinforces both ownership by the beneficiary countries and relations between the EU and the beneficiary countries.
- (iii) This kind of interventions are a basis to facilitate policy dialogue on public policies and global challenges, as well as to ensure coherence with other national and EU policies.
- (iv) When maintained after the end of the specific activities, the relationships established between beneficiary institutions and foreign expert/institutions are priceless.
- (v) The high quality of the expertise and the flexibility in terms of content and timing offered by this kind of programmes put forward the credibility of the EU as a reliable international partner.
- (vi) The decentralised nature of these actions, led by the EU Delegations and the beneficiary countries, is paramount to well define strategic activities responding to relevant beneficiary’s needs.
- (vii) The straightforward approval process and the dialogue with beneficiary countries from the planning of the activities allow for speedy actions, avoiding bureaucratic delays.

### 3.5. The Intervention Logic

Through a vast menu of demand-driven activities (ranging from technical assistance, exchange of experts to organisation of events and trainings) the Cooperation Facility will contribute to (a) enhance the coordination of EU cooperation and the political and policy dialogues at regional level and with no MIP countries; (b) accompany Caribbean stakeholders to address policy reforms that are key for the advancement of the three EU-Caribbean Partnerships and of our common values (gender equality, women and youth empowerment, social inclusion of most vulnerable people); and (c) increase the capacity of Caribbean stakeholders to play an important role in the EU-Caribbean Partnerships and other global initiatives.

Driven by a “policy first” approach, the three EU-Caribbean partnerships are expected to be addressed by bilateral, multi-country and regional programmes. Through the above mentioned outputs, the present Action will contribute to strengthen these partnerships and enable the EU to intensify the political and policy engagement with the Caribbean, responding to identified short term needs of strategic importance. The Action will respond to particular needs of the nine countries without bilateral allocation; it will promote joint work with relevant regional organisations and address targeted needs linked to the Caribbean regional integration process; it will complement the bilateral actions of MIP countries in view of fostering regional integration and multi-country cooperation. Ultimately, all the above will contribute to the sustainable development of the Caribbean countries and the region as a whole.

In order to ensure ownership and pertinence of the actions, the activities will be demand-driven and linked to the dialogue between Parties, both at bilateral and regional level. Request may come from the Government of the beneficiary/ies country or from regional organisations/agencies. Proposals for activities can also come from the EU and benefit directly civil society and private sector initiatives.

The support will be mobilised on basis of terms of reference that will identify: the main result to which the action will contribute, the synergies with related regional goals/initiatives, the sustainability or catalytic effect of the activity. In policy areas where specific support is available under other national or regional programmes, they will be the default option.

### 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 regional counterparts.

### 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 60 months from the date of adoption by the Commission of this Financing Decision.

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

### 4.3. Implementation Modalities

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

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

#### 4.3.1. Direct Management (Procurement)

Part of this Action may be implemented through service contracts signed and managed by the European Union as contracting authority. These services contracts will finance, inter alia, actions to accompany political and policy dialogues and most pressing needs of no MIP countries and regional organisations. This will contribute mainly, to output 1.1, but could also contribute to output 1.3.

#### 4.3.2. Indirect Management with a Member State Organisation

Part of this Action may be implemented in indirect management with an entity (ies), which will be selected by the Commission's services using the following criteria: experience in managing EU funded programmes; experience in working with EU and third countries' Public Administrations; experience in building and managing a database of officials/experts from, among others, EU Public Administrations; experience in managing logistical support for events; capacity to operate in the Caribbean (but a fixed presence of the implementer in the region would not be required).

The implementation by this entity will contribute mainly to output 1.2 and 1.3, but could also support output 1.1, and may include the following activities (and associated logistics): (i) technical assistance (TA) and exchange of experiences (including study-visits). TA can be provided by consultants/private companies or by experts from the 27 EU Public Administrations, European Commission's line DGs and EU Agencies, regional/international organisations, Health institutions or Higher Education Institutions; where relevant, the TA/expertise can come from a non-EU country with a view to enhance triangular cooperation, in particular with Latin America. (ii) Organisation or participation to seminars, congresses or other events; (iii) Financing studies and other relevant initiatives.

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

In case implementation through indirect management cannot take place due to circumstances outside of the Commission's control, the Commission reserves then the possibility to consider identifying alternative implementation modalities in direct management, and notably to entities which offer similar technical competences and/or capacities and/or experience to those of the entities originally foreseen in direct management.

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

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply subject to the following provisions.

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

#### 4.5. Indicative Budget

<b>Indicative Budget components<sup>3</sup></b>	<b>EU contribution (amount in EUR)</b>
Procurement (direct management) – cf. section 4.3.1	500,000
Indirect management with MS Organisation(s) - cf. section 4.3.2	8,500,000
<b>Evaluations</b> – cf. section 5.2 <b>Audits</b> – cf. section 5.3	Covered by other decision

<sup>3</sup> N.B: The final text on audit/verification depends on the outcome of ongoing discussions on pooling of funding in (one or a limited number of) Decision(s) and the subsequent financial management, i.e. for the conclusion of audit contracts and payments.

<b>Contingencies<sup>4</sup></b>	N.A.
<b>Totals</b>	<b>9,000,000</b>

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

The EU Delegation in Barbados is responsible for the coordination of the whole Action and to this end will closely work with the different EU Delegations in the region. The final organisational set-up will be based on the following indicative proposed structure:

1. **Coordination.** The overall coordination among EU Delegations, Caribbean countries and regional organisations will be based on the mechanism for coordination and dialogue under the Caribbean Window that is currently being discussed between the various stakeholders. It is envisaged that the agreed mechanism will entail a system of focal points in each Caribbean country, regional organisations and EU Delegation in the region. The same focal points should be involved in the coordination of this Action.
2. **Operations.** Each EU Delegation will be responsible to explore and identify with the relevant counterparts the needs to be covered and channel the requests to the EU Delegation in Barbados with a view to define indicative pipeline/work plans. These work plans will be validated by the EU Delegation in Barbados, who will ensure the coherence with the objectives of the three EU-Caribbean partnerships. The work plan will be updated regularly and include activities that may have received ad hoc validation due to the need to provide quick response. Activities will be developed by the implementing partner in cooperation with the beneficiary/ies and the relevant EU Delegation/s (selection of experts, agendas, etc), and include a beneficiary/ies evaluation/feedback, a final short report with recommendations to the beneficiary/ies, and when possible a final debrief to the relevant EU Delegation/s.  
  
NB: Only non-MIP countries and regional organisations and respective EU Delegations will have access to funding for support activities under direct management. The Delegation covering the non-MIP country(ies)/regional organisation requesting the support will be in charge of procuring the service.
3. **Oversight.** A Steering Committee, composed by representatives of the 7 EU Delegations in the Caribbean will be established under the Chair of the EU DEL in Barbados. The Steering Committee will meet at least once a year. It will oversee the progress of the Action, discuss main implementation difficulties and remedial actions and identify possibilities for joint and triangular interventions. The EUD Barbados will ensure the day-to-day management and monitoring and coordination.
4. **Budget.** The distribution of activities between countries and applicants would remain flexible and subject to the decisions taken by the EUD Barbados in application of the principle of proportionality and relevance for EU-Caribbean political and policy dialogue. Non-MIP countries will have access to a higher proportion of the budget as there is need to cover their bilateral needs (indicative ratio 3:1 – indicative budget for non-MIP countries EUR 4.5 million).
5. **Selection of expertise by the implementing partner.** The experts' selection process should maximize the range of experiences from different Public Administrations, Universities and companies of EU MS and, when duly justified, of third countries. The implementing partner will be responsible to identify the most relevant response to the requests and will provide expertise in close coordination with the beneficiary. The beneficiary will be closely involved in the selection of the expertise.

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.

<sup>4</sup> Consider that contracts where no financing agreement is concluded, contingencies have to be covered by individual and legal commitments by 31 December of N+1.

## 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.

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, a final evaluation will be carried out for this action or its components via an implementing partner.

It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that it is an innovative action in the Caribbean.

Presence of gender equality and human rights expertise will be ensured in monitoring and evaluation teams as necessary.

The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination<sup>5</sup>. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

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

### 5.3. 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.

Action documents for specific sector programmes under the Caribbean Window of the MIP for Americas 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.

This Cooperation Facility, however, does not include dedicated funds for strategic communication because this will be covered for the time being by an ongoing contract managed by the EU Delegation to Barbados and lasting until 2024. In a second phase, strategic communication and public diplomacy will be funded by a subsequent Cooperation

<sup>5</sup> See best [practice of evaluation dissemination](#)

Facility. Strategic communication and public diplomacy for the Caribbean sub-region will be primarily managed by the EU Delegation to Barbados, in view of its regional mandate. The EU Delegation to Barbados will closely coordinate with headquarters, which has the overall responsibility for Regional and global strategic communication and public diplomacy.

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.