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

**ANNEX 7**

to the Commission Implementing Decision on the financing of the multiannual action plan in favour of Sub-Saharan Africa for 2022-2026 Part 2

**Action Document for “The regional project on Peace and Security in the Great Lakes Region – Phase II”**

**MULTIANNUAL PLAN**

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

# 1 SYNOPSIS

## 1.1 Action Summary Table

<b>1. Title CRIS/OPSYS business reference Basic Act</b>	The regional project on Peace and Security in the Great Lakes Region – Phase II OPSYS number: ACT - 61030 Financed under the Neighbourhood, Development and International Cooperation Instrument ( <u>NDICI-Global Europe</u> )
<b>2. Team Europe Initiative</b>	No
<b>3. Zone benefiting from the action</b>	The action shall be carried out in the Member States of the International Conference of the Great Lakes Region (ICGLR): Angola, Burundi, Central African Republic (CAR), Democratic Republic of Congo (DRC), Kenya, Republic of Congo, Rwanda, South Sudan, Sudan, Tanzania, Uganda, Zambia
<b>4. Programming document</b>	Sub-Saharan Africa Multi-Annual Indicative Programme 2021-2027
<b>5. Link with relevant MIP(s) objectives / expected results</b>	Priority area 2 “Governance, Peace and Security, Culture”. Result 2.2 “African organisations active in the area of peace and security are able to carry out their tasks and to deliver on their mandate”
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>	
<b>6. Priority Area(s), sectors</b>	151 Government & Civil Society-general 152 Conflict, Peace & Security 322 Mineral Resources & Mining
<b>7. Sustainable Development Goals (SDGs)</b>	Main SDG: 16 – Peace and justice, strong institutions Other significant SDGs and where appropriate, targets: 5: Gender equality 8: Decent work and economic growth

	12: Sustainable Consumption and Production				
<b>8 a) DAC code(s)</b>	DAC 15150 Democratic participation and civil society DAC 15180 Ending violence against women and girls DAC 32210 Mineral/mining policy and administrative management				
<b>8 b) Main Delivery Channel</b>	International NGO - 21000 Public sector institutions – 10000 Multilateral organisations – 40000				
<b>9. Targets</b>	<input type="checkbox"/> Migration <input type="checkbox"/> Climate <input type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input checked="" type="checkbox"/> Human Rights, Democracy and Governance				
<b>10. Markers</b>  (from DAC form)	<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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Inclusion of persons with Disabilities @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Nutrition @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<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>	<b>Principal objective</b>
		Digitalisation @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
digital connectivity		YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>		

	digital governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	/
	digital entrepreneurship	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	digital skills/literacy	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	digital services	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Connectivity @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	digital connectivity	YES	NO	/
energy	<input type="checkbox"/>	<input type="checkbox"/>		
transport	<input type="checkbox"/>	<input type="checkbox"/>		
health	<input type="checkbox"/>	<input type="checkbox"/>		
education and research	<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 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-B2022-14.020121-C1-INTPA - East and Central Africa Total estimated cost: EUR 10 000 000 Total amount of EU budget contribution: EUR 10 000 000			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>13. Type of financing<sup>1</sup></b>	<b>Direct management</b> through: <ul style="list-style-type: none"> <li>- Grants</li> <li>- Procurement</li> </ul> <b>Indirect management</b> with the entity to be selected in accordance with the criteria set out in section 4.4.3.			

## 1.2 Summary of the Action

The Action is the second phase of a project coming to an end in 2022<sup>2</sup>. Its Overall Objective is to contribute to the consolidation of peace, security and mineral resources governance in the Great Lakes Region (GLR). This will be achieved via two Specific Objectives (SOs) : 1) By strengthening the contribution of the International Conference on the Great Lakes Region (ICGLR) to conflict prevention and resolution in the region; 2) By contributing to the improvement of the control of the mineral sectors in ICGLR Member States. The Action will contribute to further mitigate the conflict triggers that prevent the Great Lakes Region from realising its full human and economic development potential. OS1 will be achieved through two outputs including: 1) the reinforcement of ICGLR's Enhanced Joint Observation Mission (EJVM), tasked to monitor border security and investigate incidents that could lead to conflict escalation among Member States; 2) the development of an ICGLR early warning mechanism

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

<sup>2</sup> The regional Project on Peace and Security in the Great Lakes Region (phase I) was implemented by GIZ and the UN Office of the Special Envoy for the Great Lakes/UNDP (EUR 10 M; 48 months since 2018).

and mediation-focussed crisis management capacity. OS2 will be achieved through three outputs including: 1) the revision of the Regional Initiative against the Illegal Exploitation of Natural Resources (RINR) and development of guidance for new instruments; 2) decisive action to implement ICGLR's gold strategy; and 3) technical work to digitise mining certificates and adapt them in live with the evolving international due diligence standards.

The Action is expected to contribute to delivering on the Joint vision for 2030 set out at the latest European Union (EU)-African Union (AU) Summit held in February 2022, where leaders agreed on a renewed and enhanced cooperation for peace and security. The Action also responds to Priority area 2 "Governance, Peace and Security, Culture" of the Sub-Saharan Regional Multiannual Indicative Programme (SSA MIP) 2020-2027, more specifically to result 2.2 ("African organisations active in the area of peace and security are able to carry out their tasks and to deliver on their mandate"). It is expected to align with EU Member States' strategy for security engagement in the region under development at the time of drafting of this Action Document. It is also in line with the EU Gender Action Plan III (GAP III). Further, it is expected to represent a substantial building block of a Regional TEI "Building peace and security in the Great Lakes Region through responsible mining", should this TEI materialise. It will contribute to SDG 16 (Peace, Justice and Strong Institutions), SDG 12 (Sustainable Consumption and Production), SDG 8 (Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all), and SDG 5 (Gender Equality).

The two areas of focus of the Action are domains in which ICGLR has a distinct added value: 1) It is the sole African-led forum mandated to bring together the states of Eastern, Central, and Southern Africa around the search for concerted solutions to the challenges of peace and security in the GLR; 2) It is the only regional platform that has a strong political mandate, a renewed backing from Member States and a degree of technical expertise to work on curbing conflict financing linked to the minerals sector, via its Regional Initiative against the Illegal Exploitation of Natural Resources (RINR).

Despite a significant improvement in the security situation as well as a significant reduction of tensions among government of the region over the past two decades, the GLR continues to harbour important pockets of instability and lawlessness, and the economy of vast territories has fallen under the control of armed groups living from trafficking – among others of rare minerals – exploiting and terrorising local populations, and prohibiting any kind of balanced economic development. Armed groups' clashes with one another as well as with government and international forces cause significant human loss and suffering, and fuel an unabated flow of refugees and internally displaced persons (IDPs). Some of the armed groups are believed to be infiltrated by cells associated with terrorist Islamic groups and others thrive on tensions among governments of the region, with the ever present risk that their actions may re-ignite larger scale conflict escalation.

The mining sector is a key source of foreign exchange and economic activity for a majority of ICGLR Member States. In addition, artisanal mining is a particularly vital source of income for important parts of the population in several GLR countries, which lack other viable economic activities. At the same time, artisanal or small scale mining, in particular of gold, remains an important engine of conflict across the region. It is also widely associated with brutal working conditions, multifarious human rights, including labour rights violations particularly child labour as well as deep pollution of earth and water, and deforestation. Through the RINR, ICGLR has been striving to curb the illegal activities associated with the exploitation of tantalum, tin, tungsten (the "3 Ts") and gold. Despite important progress, much remains to be done across the countries of the region, both for those that have begun applying the Regional Certification Mechanism (RCM) and those that have not. At the same time, ICGLR Member States are increasingly turning their attention to using the mining sector as an engine for economic growth and they are keen to broaden the scope of the RINR to support the development of regional mineral transformation industries.

## 2 RATIONALE

### 2.1 Context

The Great Lakes Region (GLR) has made great strides in overcoming the legacy of violent conflict marked, among others, by the 1994 Rwandan genocide and the successive "Congo wars" (1996-2002). All governments of the region again maintain diplomatic relations – even if tense at times – and they regularly interact through the ICGLR<sup>3</sup>

<sup>3</sup> ICGLR was created in 2006. It has 12 Member States: Angola, Burundi, Central African Republic (CAR), Republic of Congo, Democratic Republic of Congo (DRC), Kenya, Uganda, Rwanda, Republic of South Sudan, Sudan, Tanzania, and Zambia).

and under the auspices of the “Peace and security framework for the DRC and the region” (PSF), established by the UN in 2013 in response to a major 2012 conflict resurgence in eastern DRC. Important points of contacts have taken place between Rwanda and its neighbours DRC, Uganda and Burundi in the course of 2021 that bode well for the future of regional cooperation but remain fragile, as demonstrated by the sharp resumption of tensions in the spring of 2022. At the domestic level, a number of governments have made significant progress in addressing the core governance issues that are at the root of instability, violence, and injustice, in particular through more transparent electoral processes and more determined action to combat corruption. Women, even if still suffering from discrimination and sexual and gender-based violence (SGBV), are increasingly represented at a high level in political decision-making bodies.<sup>4</sup> Keen to “turn the page” on the past, most ICGLR Member States are increasingly focussing their attention on economic development. In this respect, the DRC’s admission in the East African Community (EAC) in April 2022 is expected to be a turning point in fostering growth based on regional integration.

Still, this positive outlook remains in the balance as armed groups continue to create havoc, exploit and terrorise populations in many areas, fuelling an unabated flow of refugees and internally displaced persons (IDPs); the economy of vast territories has fallen under the control of criminal gangs; and the region remains awash with small arms. Eastern DRC, CAR and South Sudan are particular areas of concern. Some of the armed groups present in the region, such as the Allied Democratic Forces (ADF), are collectively perceived as a growing threat by ICGLR Member States, as they are increasingly infiltrated by cells associated with terrorist Islamic groups. Others, such as M23 and the FDLR (*Forces démocratiques de libération du Rwanda*), are remnants of past times, but their continued activity continues to pose a threat to local populations and bear a risk of conflict re-escalation between ICGLR core Member States – namely Rwanda and the DRC.

### **Mineral resources**

The mining sector is a key source of foreign exchange and economic activity for a majority of ICGLR Member States. For example, in the DRC, the mining sector contributes to about 30% of GDP, and in Tanzania and Zambia about 15%. Artisanal mining is a particularly vital source of income for important parts of the population of countries such as CAR, Burundi, the DRC and Sudan, which lack other viable economic activities. Some of the mineral production in the GLR is of strategic importance to key industries in the EU and beyond. Thus, about half of the global mine production of tantalum – a key input for the microelectronic industries – originates from the GLR. Despite national, international, and regional efforts – including through ICGLR – the illegal exploitation of minerals, in particular gold, remains an important engine of conflict across the region. It is also widely associated with brutal working conditions and multifarious human rights violations – with women and young people being major victims – as well as environmental degradation. At the same time, as they increasingly turn their attention to regional economic growth, Member States are keen to broaden the scope of ICGLR’s efforts in the mineral sector to support the development of regional mineral transformation industries. This would build upon and expand the scope of ICGLR’s Regional Initiative against the Illegal Exploitation of Natural Resources (RINR).

### **Institutional context**

Positive trends are visible at the institutional level as well. First, even if the ICGLR Conference Secretariat (CS) and other bodies continue to experience human resources and financial challenges, important reforms have been initiated since November 2020<sup>5</sup> to improve the organisation’s administrative and financial management. These efforts have begun to bear fruit in the form of increased Member States’ contributions<sup>6</sup>, accompanied with new hirings. Secondly, in March 2022, ICGLR’s political oversight body, the Regional Interministerial Committee (RIMC), gave the CS the green light to initiate an institutional review as well as a revision of the ICGLR Pact itself. The review should help address a number of structural deficiencies leading to overlaps and insufficient consistency of effort among ICGLR bodies. Third, the revision of the Pact is expected to help streamline priorities

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<sup>4</sup> E.g. women constitute 38.71 % of Members of Parliament in Burundi, 33.81% in Uganda, and a record 61.25% in Rwanda; Tanzania has a women President of the Republic as well as a women Defence Minister and a women Foreign Minister; Kenya has a women Chief Justice, etc.

<sup>5</sup> In November 2020, the 8<sup>th</sup> ICGLR Head of States Summit was held virtually. It acknowledged the dire financial situation of the ICGLR CS and strongly invited the Member States to honour their financial obligations. The Summit appointed a new Executive Secretary and encouraged the CS to adopt a result and performance-based management as well as a reform to revitalize the Organization.

<sup>6</sup> Five Member States out of 12 have honoured their financial obligations since November 2020.

in a way that should facilitate planning and mitigate against the risk of dispersion of effort that tends to characterise ICGLR's work. In the past, this dispersion – sometimes aggravated by partners – has undermined efficiency.

## 2.2 Problem Analysis

### Focus of the action

The action will focus on the consolidation of peace and security, and the effective control of mineral resources in the Great Lakes Region. By focussing on two areas only, the action aims to have a decisive impact in: (i) reducing the level of violence across the region that continues to generate large scale human rights, including labour rights violations, war crimes, SGBV, massive displacement, and severely hampers economic development; (ii) reining in the illegal exploitation of mineral resources that fuels conflict, deprives governments of fiscal revenues, similarly defies human rights including labour, children's and women's rights, and causes significant environmental damage. The two areas are complementary: reducing the level of violence is essential to lay the ground for fruitful cooperation among Member States and local communities on mineral resources management. Conversely, effective control of mineral resources extraction and management will significantly reduce the potential ability of non-state armed groups to carry out violence.

The two areas of focus of the Action are domains in which ICGLR has a distinct added value. Thus, ICGLR is the sole African-led forum that brings together the states of Eastern, Central, and Southern Africa around the search for concerted solutions to the challenges of peace and security in the region spanning across the memberships of the East African Community (EAC), the Economic Community of Central African States (ECCAS) and the Southern African Development Community (SADC). In the field of mineral governance, it is the only regional platform that has a strong political mandate, continued backing from Member States and a degree of technical expertise to work on curbing conflict financing linked to the minerals sector. With the RINR, it has developed a unique instrument of its kind at the regional level that has begun to have a demonstrable effect in several Member States, in particular through the implementation of the Regional Certification Mechanism (RCM) for tantalum, tin, tungsten (the "3 Ts") and gold. Its mandate also includes representing Member States in specialised international fora in this domain (e.g. OECD). In both domains the Action will build on the outcomes of the current Regional Project on Peace and Security in the Great Lakes Region (EUR 10M, end in 2022) implemented by GIZ and the UN. In the framework of this project, the Expanded Joint Verification Mechanism (EJVM), a decentralised organ comprised of military experts from ICGLR Member States, has been instrumental in reducing conflict escalation risks in the region. Moreover, ICGLR steered the revision of the Regional Certification Mechanism Manual and supported two additional countries to introduce the ICGLR certificate in national minerals export processes. This brings the number of countries implementing the mechanism to four (Burundi, DRC, Rwanda and Tanzania).

The choice to focus on two areas only is also based on the concern not to overburden the Conference Secretariat (CS), considering its limited human resources capacity. Furthermore, it takes into account the comparative advantage of working with the ICGLR instead of a range of other regional or national channels through which the EU can best support national reconciliation, democratic institution building, human rights, including labour rights protection, transparency in governance, economic integration, infrastructure development, women, youth and child empowerment, as well as the protection of victims of SGBV across the region. The Action has therefore been developed taking into account complementarities between the regional programme and national programmes in ICGLR's 12 Member States as well as possible complementarities with other regional actions undertaken within the SSA MIP 2020-2027.

The Action aims to support activities foreseen in ICGLR's 2022-26 Strategic Plan. Although the Plan will only be finalised in mid-2022, discussions with the ICGLR CS in April 2022 suggest that the Action's proposed outputs and outcomes will be in line with the Plan.

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

### Key stakeholders

The main stakeholders of the Action will be the ICGLR CS, ICGLR's decentralised entities, and ICGLR Member States. Other important stakeholders will include the Office of the Special Envoy of the UN Secretary General (O/SESG) to the GLR and other UN relevant organs and agencies. Women and youth organisations will be important partners of the Action, as will the Great Lakes Judicial Cooperation Network (GLJCN). Members of Parliaments of ICGLR Member States may be involved in legislative work in domains covered by the Action

through the ICGLR Forum of Parliaments. EU Delegations in the Region will be engaged in the Action where relevant; any EU political mission or security operation resulting from the EU Strategy for the Great Lakes region under development would also become a major project stakeholder. Other stakeholders include the OECD, private sector associations and private sector companies involved in the mining sector. EU Member States' agencies, private sector service providers, as well as national and international NGOs may be involved in the Action as implementing partners.

### ***ICGLR CS***

Project implementers will engage in particular with the Peace and Security Directorate (P&S Directorate) and the Technical Unit (TU) of the Democracy and Good Governance Directorate (D&GG), which will be the key CS-level implementers, respectively, of activities targeting Specific Objective 1 (SO1) and Specific Objective 2 (SO2). The Gender and Economic Development and Regional Integration Directorates will be engaged to ensure that the approach continuously addresses potential conflict-sensitivity, inclusion, and environmental risks. In view of the political intent of the Action, the Executive Secretary (ES) and his Deputy (DES) will be regularly engaged in the review of the Action's priorities and progress.

### ***ICGLR's decentralised entities***

The Expanded Joint Verification Mechanism (EJVM) will be the main ICGLR decentralised body benefitting from the Action (via output 1.1) in view of its role in monitoring illegal armed movements across borders, preventing conflict escalation in border areas, and supporting crisis mitigation among ICGLR Member States through the impartial investigation of incidents. As an important source of field information collection, EJVM is also expected to feed into ICGLR's early warning (EW) system and will be encouraged to cooperate with the P&S Directorate to that end (output 1.2).

### ***ICGLR Member States***

ICGLR Member States will participate in the Action at different levels. Their security services will participate through the EJVM and associated mechanisms. National bodies in charge of mineral resources will benefit from the advice provided through the project and be solicited to contribute both at technical level (e.g. digitisation of mining certificates) and at policy level (discussions on the modernisation of the RINR). National coordination mechanisms (NCMs), which act as the interface between the CS and national capitals, may be involved depending on their composition and the definition of their mandates (this varies from one Member States to another).

### ***United Nations***

As a major ICGLR partner, the O/SESG will be closely engaged in the Action. This will involve formal engagement through project support to activities co-initiated by the O/SESG and ICGLR, as well as informal engagement through frequent communication between project implementers and senior staff in the O/SESG's office, whose capacity for strategic planning as well as wide network of contacts should be leveraged to the benefit of ICGLR activities supported by the Action. The O/SESG will also participate in the Action's steering bodies (section 4.5). Other UN bodies and agencies will be involved as relevant.

### ***Great Lakes Judicial Cooperation Network (GLJCN)***

Bringing together the directors of public prosecution offices or their appointees of ICGLR Member States, the GLJCN will be a key partner of the Action for the implementation of actions related to curbing illicit flows linked to the trafficking of mineral resources under SO2.

### ***Civil society, women and youth groups***

Civil society groups, in particular youth and women's organisations, will contribute to project implementation as participants in the design and implementation of ICGRL's EW system (output 1.2) and their potential for outreach to conflict parties will be mobilised in support of ICGRL's mediation actions. Further, they will be key stakeholders in deciding the direction the RINR should take in the years to come. Action implementers will ensure that civil society stakeholders from ICGLR member states that focus on women, youth, human rights, and environmental protection in mining are involved in the RINR revision process (output 2.1).

### ***European Union and its Member States***

Commission Services and member states will be involved in the Action through the application of the EU Integrated Approach. Although project implementers will report in priority to EUD Bujumbura, they will also

entertain regular contacts with EUDs located in ICGLR Member States for the purpose of harmonising and/or deconflicting interventions. Should the TEI “Building peace and security in the Great Lakes Region through responsible mining” be launched, a structured consultation mechanism will be put in place to manage the synchronisation of interventions. Should a CSDP mission or operation be launched, appropriate channels of communication will be established to maximise synergies and complementarity. EU Member States will be involved through the Action oversight structures (section 4.5).

#### **OECD**

ICGLR and OECD have been partnering since 2010, working together to offer an international multi-stakeholder platform for dialogue on due diligence measures aimed at curbing conflict financing through mineral value chains. One concrete result of this partnership has been the OECD’s Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas, which is nowadays the most widely recognised international benchmark in the field. It is used by EU Legislation 2017/821 as a key point of reference. All activities under SO2 require exchanges between the ICGLR and the international community, and the OECD Forum on Responsible Minerals Supply Chains will continue to serve as the forum for these discussions.

## **3 DESCRIPTION OF THE ACTION**

### **3.1 Objectives and Expected Outputs**

The Overall Objective (Impact) of this action is to contribute to the consolidation of peace and security while improving mineral resources governance in the Great Lakes Region.

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

1. Enhance the effectiveness of ICGLR action to prevent and resolve conflicts in the Great Lakes Region.
2. Improve the control of the mineral sectors in ICGLR Member States.

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

Contributing to Outcome 1 (or Specific Objective 1)

- 1.1 Enhanced planning, deployment, data treatment and analysis capacity of the Expanded Joint Verification Mechanism (EJVM).
- 1.2 Enhanced capacity of ICGLR for early warning (EW) and mediation-focussed crisis management in the Great Lakes Region.

Contributing to Outcome 2 (or Specific Objective 2)

- 2.1 Updated concept for the ICGLR’s Regional Initiative against the illegal exploitation of Natural Resources (RINR) in line with current Member States’ demand.
- 2.2 Enhanced capacity of the ICGLR Secretariat to provide support to Member States on the reform of gold export regimes to prevent the smuggling of artisanal gold, in line with the ICGLR Strategy for Artisanal and Small-Scale Gold.
- 2.3 Enhanced capacity of ICGLR Member States to digitise RCM systems and procedures in line with evolving international due diligence standards.

### **3.2 Indicative Activities**

Activities relating to Output 1.1 : support to EJVM activity planning, methodology enhancement, and technical treatment of data; logistical support to EJVM.

Activities relating to Output 1.2 : support in identification of thematic and geographic focus and conceptual design of EW system; support to outreach to and consultations between CS, ICGLR’s decentralised organs, Member States’ capitals, UN partners, women and youth civil society groups, regional research institutions, regional EUDs, to identify sources, communication channels and information sharing modalities for EW system; design and development of IT base; CS capacity building in methodological approaches for mediation and preventive



diplomacy, identification of expertise requirements, designing inputs tailored to inform CS and Member States' action for preventive diplomacy, mediation and crisis response.

Activities relating to Output 2.1: support stocktaking of proposals for RINR revision; support to ICGLR Technical Unit (TU) in updating RINR, facilitating expert input on mineral value addition strategies and judicial cooperation; establish mechanisms for capturing the inputs and priorities of women, civil society and youth groups; support the organisation of consultations with the international community (e.g. EU, EU Member States, US, China) on further alignment with international due diligence standards such as EU Legislation 2017/821, support for the development of implementation guidance in relation to new or adjusted tools for Member States.

Activities relating to Output 2.2: provide capacity building to ICGLR TU for providing advisory services to Member States on gold export regimes; support to convening of a forum between ICGLR Member States and major gold importing countries about joint action for the prevention of illicit trade in artisanal gold; support exchanges between TU and GLJCN to foster regional cooperation for investigating and prosecuting gold smuggling.

Activities relating to Output 2.3: technical assistance to ICGLR TU for the design and definition of system requirements for the digitisation of RCM systems and procedures; support to exchanges between ICGLR TU and EU enterprises and other major mineral importers to determine data interfaces between ICGLR and importing countries; support the acquisition and set-up of hardware and open-source software systems in selected pilot countries; provision of assistance for adjustment of RCM in line with evolving international requirements.

### 3.3 Mainstreaming

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

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

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

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

The EIA (Environment Impact Assessment) screening classified the action as Category B (not requiring an EIA, but for which environment aspects will be addressed during design). While the action will have no direct impact on the environment, it is expected that efforts undertaken in the context of SO2 will indirectly contribute to stemming the negative environmental impact associated with artisanal and small-scale mining activities. Through the action, Member States will be encouraged to strengthen the participation of national authorities in charge of environmental protection in mine inspection teams.

##### **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). Artisanal mining and small-scale mining activity in Central Africa is often associated with the destruction of tropical rain forest, an important carbon sink. Through the improvement of monitoring capacity for artisanal mining activities as part of the Regional Certification Mechanism, the action can help mitigate this negative impact by reinforcing the oversight of mining practices.

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

As per the OECD Gender DAC codes identified in section 1.1, this action is labelled as G1. This implies that systematic efforts will be made to incorporate women in project domains that have traditionally been male-dominated so as to ensure that male counterparts gradually come to recognise the unique added value women can bring to the common objectives. This will be the case in particular in the work with EJVM and in the support to mining activities. Gender aspects will also be fully taken into account in the development of ICGLR's EW. Not only will women's groups be invited to contribute to the design of the system and to information collection, but gender (and age)-sensitive indicators will be included in the system set so as to document the specific risks women

are exposed to. The CS Gender Directorate will be continuously engaged to ensure that implementers monitor the risk for women and children that may arise from project activities on an ongoing basis.

### **Human Rights**

The implementation of the Action will be underpinned by a human rights-based approach (HRBA). First, support to the EJVM (output 1.1) aims to better detect border conflict escalation risks that inevitably lead to the loss of life, property/means of living, and forced displacement. Second, actual and potential risks of violence against civilians will be central to the design and selection of the indicators of ICGLR's EW system, and support to mediation activities will help (peacefully) neutralise violent actors with a positive impact on the security and safety of citizens (output 1.2). Third, decreasing the occurrence of human rights, including labour rights abuse associated with artisanal mining, in particular the widespread direct and indirect violence experienced by women, youth and children (as child labourers and/or as victims of violence) in the sector, will receive dedicated attention in the revision and improvement of RINR policy guidance.

### **Disability**

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0.

### **Democracy**

Democracy promotion is not directly targeted by the Action. Nonetheless, the participatory approach adopted in the implementation of activities under all outputs will contribute to enlarging decision-making practices based on wide-ranging consultative process with relevant stakeholders, including government, the private sector, Parliaments, and civil society.

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

Reducing the risks of conflict, mitigating their impact, and creating the security space for greater local population resilience is at the core of the Action. All activities undertaken under SO1 will contribute to this aim, as will a number of activities undertaken under SO2, in particular with regards to curtailing conflict financing related to the production of the 3Ts and artisanal gold.

### **Disaster Risk Reduction**

Disaster risk reduction is not directly targeted by the Action. It is expected, however, that both the reinforcement of EJVM and the development of ICGLR's EW system will help prevent a number of man-made disasters, including the destruction of villages and large scale displacement repeatedly occurring across the region. In addition, both the EW system and better oversight of mining activities supported by the Action will contribute to preventing disasters caused by mining activities (e.g. explosions, flooding, seismicity, landslides).

### **Other considerations if relevant**

N/A

## **3.4 Risks and Lessons Learnt**

<b>Category</b>	<b>Risks</b>	<b>Likelihood (High/ Medium/ Low)</b>	<b>Impact (High/ Medium/ Low)</b>	<b>Mitigating measures</b>
External environment	Political and social turmoil in individual ICGLR	High	Medium	Prevention by focussing EW efforts, among others, on identification of risks linked to electoral contests. Mobilisation of EU Member States' embassies via regional EUDs for concerted approach to other ICGLR Member States and CS to support dialogue initiatives in Member at risk of destabilisation

External environment	Border conflict escalation between ICGLR member states	Medium	High	Strengthened support to EJVM to expand and deepen scope of monitoring and investigation in support of conflict prevention and resolution
External environment	Insufficient commitment of ICGLR Member States in taking forward actions initiated by the project	Medium	High	Presentation of project results and plans at six-monthly meetings of the NCMs; bilateral political dialogue through EUDs and EU Member States embassies; political engagement through O/SESG
External environment	Issuance of false ICGLR export certificates for 3T minerals and gold	High	High	Strengthen respective structures and respective control mechanisms within the ICGLR. Create peer pressure amongst MS and provide technical support to MS to improve control mechanisms at country level
People and the organisation	Insufficient technical capacity of ICGLR CS	Medium	High	Incorporate on-the-job capacity-building elements in project activities; provision of additional technical expertise in dedicated areas; EUD advocacy with ICGLR leadership
People and the organisation	Inadvertent aggravation of SGBV and human rights violations through the Action	Low	Low	Engage the CS Gender and Economic Development and Regional Integration Directorates to put in place a joint monitoring system to ensure that project activities remain alert to any conflict sensitivity, inclusion, and environmental risk, including the risk of SGBV, and the risk of violations of human, women, children, poor labourers, and environmental defenders' rights that may arise from project activities.
Planning, processes and systems	Duplication with national or other regional efforts	Medium	Medium	Six-monthly consultations with EUDs of 12 ICGLR Member States and more sustained communication where risks of overlap or opportunities for cooperation have been identified

**Lessons Learnt:** The recommendations of the mid-term evaluation and the two ROM missions on the Phase I project as well as lessons shared by Phase I implementers and work with other African regional organisations have been taken into account in designing the Action. Key lessons include: i) Acquiring a strong degree of ownership of the beneficiary institution is essential to the success of the Action. For this, activities must be found relevant by the institution and match its priorities. Although the 2022-26 ICGLR Strategic Plan will only be finalised by the end of 2022, discussions with the ICGLR CS in April suggest that the Action's proposed outputs and outcomes will be in line with the Plan; ii) Activities must be tailored to the mandate of the institution. ICGLR's role to bring together Member States around a common agenda, not directly to implement actions in the field, except in few very specific areas (e.g. EJVM). This has a dual implication: a) multiplying field level activities would burden ICGLR and divert it from its main role; b) collaboration/ interaction should be systematically fostered between CS central structures and Member States in all thematic areas selected, with particular attention to domains where EU support is also provided at the national level; iii) Implementation must take into account the human resources ICGLR. Ignoring this will shift priorities towards those of the EU or the implementer as they are placed under the pressure of showing results. This will not be conducive to achieving the overall objective of the Action and will create resentment among ICGLR staff, reducing their willingness to cooperate; iv) The domains covered by the Action are sensitive. Confidence must therefore be built and maintained with the CS, other ICGLR bodies and Member States throughout implementation. The coordination and consultation structures proposed below shall serve this purpose.

### 3.5 The Intervention Logic

The Overall Objective (Impact) of this action is to contribute to the consolidation of peace, security and mineral resources governance in the GLR. SO1 and SO2 are complementary and will mutually reinforce one another : mitigating conflict risks (SO1) is essential to create the space needed for fruitful cooperation among ICGLR Member States in improving the governance of mineral resources; in turn, improving the governance of mineral resources will significantly contribute to the reduction of conflict risks and the impact of conflicts in the region.

Conflict will be better prevented and mitigated as: i) the reach and capacity of the EJVM in patrolling borders is enhanced (OP1.1); ii) the capacity of ICGLR in detecting risks of violence, including abuses against women and children and mass violence against civilian populations is increased thanks to the establishment of an efficient EW system (OP1.2); and iii its capacity to prevent conflict escalation is strengthened thanks to its enhanced mediation and preventive diplomacy know-how (OP1.2). Further, strengthened EJVM's capacity to investigate incidents will further increase the credibility and objectivity of its reports, contributing to reducing tensions among ICGLR Member States (OP1.1). In parallel, enhanced ICGLR mediation capacity will reduce the influence of conflict actors and create greater space for peaceful coexistence among the large majority (OP1.2).

Strengthened implementation of the RINR, with a reinforced focus on gold export regimes (OP2.2), will help cut an important link between gold exploitation and trade and the financing of rebel and terrorist groups, whilst the digitisation of mining certificates (OP2.3) will simplify the introduction of RCM procedures in Member States, increase the transparency of mining activities, eliciting greater mutual confidence among them, as well as greater international confidence in the ICGLR's regulatory mechanism, in line with EU legislation. At the same time, the updating of the RINR will usher in the gradual transition of a tool conceived to rein in illegal activities to a forward-looking instrument supporting the development of peaceful relations among Member States through economic cooperation (OP2.1).

### 3.6 Logical Framework Matrix

This indicative logframe constitutes the basis for the monitoring, reporting and evaluation of the intervention.

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

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

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

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

Results	Results chain (a): Main expected results (maximum 10)	Indicators (a): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
<b>Impact</b>	The occurrence of conflict has significantly decreased and mineral resources governance significantly improved in the Great Lakes Region	1 Number of UNSG reports to the UNSC per year focussing specifically on the Great Lakes Region  2 Number of reports published during the project period from UN Group of Experts on DRC indicating an overall reduction of illicit exploitation and trade in minerals as a source of conflict financing	1. 2 (2022) 2. 0 (2022)	1. 1 (2027) 2. 3 (2027)	1 UN Security Council agenda 2 Reports of UN Group of Experts on DRC	<i>Not applicable</i>
<b>Outcome 1</b>	1. Enhanced effectiveness of ICGLR action to prevent and resolve conflicts in the Great Lakes Region	1.1 Number of UNSG and AU PSC reports/communiqués referring to ICGLR's contribution to conflict prevention and resolution in the region  1.2 Number of security incidents in Eastern DRC, disaggregated by type	1.1 ICGLR Secretariat to provide data for 2022 1.2 2351 (2021)	1.1 5 (2027)  1.2 1600 (2027)	1.1 UNSG reports to the Security Council, PSC meeting communiqués 1.2 Kivu security tracker  <a href="https://kivusecurity.org/graph">https://kivusecurity.org/graph</a>	The quality of diplomatic relations among ICGLR Member States continues to improve None of the core Great Lakes countries is subject to a disruptive internal power transition
<b>Outcome 2</b>	2. Improved control of the mineral sectors in ICGLR Member States	2.1 Number of third-party audits carried out under the ICGLR auditing scheme  2.2. Number of mine sites inspected by ICGLR RCM implementing Member States	2.1 Number of audits carried out 6 months	2.1 20 (2027)	2.1 Audit reports; ICGLR activity reports  2.2 Member States' mining databases  2.3 Survey results	The political will to further advance RINR implementation remains high Capacities of national authorities in relation to

		2.1.3 Percentage of industry representatives confirming the relevance of the revised RINR instruments in preventing conflict financing in two surveys conducted with at least 25 respondents for each survey	prior to project start 2.2 ICGRL Secretariat to provide data for 2022 2.3 Baseline to be established through first survey one month after first deliberation of Ministers of Mines on proposal about revised RINR	2.2. 500 (2027) 2.3 75% (2027)		RINR implementation continue to improve
<b>Output 1 relating to Outcome 1</b>	1.1 Enhanced planning, deployment, data treatment and analysis capacity of the Expanded Joint Verification Mechanism (EJVM)	1.1.1 Number of EJVM missions carried out with logistical support from the EU-funded intervention  1.1.2 Number of incident verification reports produced by EJVM with the technical support of the EU-funded intervention  1.1.3 Number of patrolling reports produced by EJVM with the technical support of the EU-funded intervention	1.1.1 EJVM to provide 2022 data  1.1.2 0 (2022)  1.1.3 0 (2022)	1.1.1 12 (2027)  1.1.2 4 (2027)  1.1.3 6 (2027)	1.1.1 Progress and financial reports of the EU-funded intervention; EJVM patrolling plans  1.1.2 Progress reports of the EU-funded intervention; EJVM activity reports  1.1.3 Progress reports of the EU-funded intervention; EJVM activity reports	Member States continue to be committed to supporting EJVM work

<b>Output 2</b>  <b>relating to Outcome 1</b>	1.2 Enhanced capacity of ICGLR for early warning (EW) and mediation-focussed crisis management in the Great Lakes Region	1.2.1 Number of EW design meetings benefitting from the technical support of the EU-funded intervention  1.2.2 Proportion of EW capacity-building activities supported by the EU-funded intervention that involve at least four of the five following categories of participants: Secretariat, EJVM, JICF, Member States services, youth and/or women's groups  1.2.3 Proportion of Member States that find the EW products developed with the technical support of the EU-funded intervention useful  1.2.4 Number of preventive diplomacy/mediation policy inputs produced by the Secretariat benefitting from the technical support of the EU-funded intervention  1.2.5 Proportion of Member States that find the preventive diplomacy/mediation policy inputs developed by the Secretariat with the technical support of the EU-funded intervention useful	1.2.1 0 (2022)  1.2.2 0 (2022)  1.2.3 0 (2022)  1.2.4 0 (2022)  1.2.5 0 (2022)	1.2.1. 18 in total by 2027  1.2.2 90 % by 2027  1.2.3 80% (2027)  1.2.4 10 in total by 2027  1.2.5 80% (2027)	1.2.1. Progress reports of the EU-funded intervention; ICGLR activity reports  1.2.2 Progress reports of the EU-funded intervention; lists of participants; ICGLR activity reports  1.2.3 Short survey conducted in early 2027 involving at least 3 respondents by Member State  1.2.4 Progress reports of the EU-funded intervention; ICGLR activity reports  1.2.5 Short survey conducted in early 2027 involving at least 3 respondents by Member State	Member States perceive the potential benefit of an efficient ES system Sensitivities associated with information and intelligence sharing do not prevent the setting up of the EW system A sufficient level of trust can be established and maintained between the CS and Member States' capitals to enable CS technicians to make a useful input into policy making on preventive diplomacy and mediation
<b>Output 1</b>  <b>relating to Outcome 2</b>	2.1 The ICGLR's Regional Initiative against the Illegal exploitation of Natural	2.1.1 Number of regional consultative meetings on RINR organised with women and youth	2.1.1 0 (2022) 2.1.2 1 (2022)	2.1.1 6 (2027)	2.1.1 Meeting reports; Progress reports of the EU-	ICGLR Member States are willing to revisit the



	Resources is updated in line with current Member States' demand	groups with the support of the EU-funded intervention 2.1.2 Number of ICGLR Minister of Mines meetings on the updating of the ICGLR RINR organised with the support of the EU-funded intervention 2.1.3 Number of guidance documents for new RINR instruments that were developed with the support of the EU-funded intervention	2.1.3 0 (2022)	2.1.2 2 (2027)  2.1.3 2 (2027)	funded intervention; lists of participants  2.1.2 ICGLR Ministerial meeting reports; Progress reports of the EU-funded intervention  2.1.3 Text of guidance documents	design of the RINR Heads of State summits, RIMC and Minister of Mines meetings take place on a regular basis to deliberate on the proposed changes to the RINR
<b>Output 2 relating to Outcome 2</b>	2.2 Enhanced capacity of the ICGLR Secretariat to provide support to Member States on the reform of gold export regimes to prevent the smuggling of artisanal gold, in line with the ICGLR Strategy for Artisanal and Small-Scale Gold	2.2.1 Number of regional expert studies comparing gold export regimes (e.g. taxes, non-tax charges, procedures, institutions involved) in ICGLR Member States conducted with the support of the EU-funded intervention 2.2.2 Number of advisory missions conducted to ICGLR Member States with the support of the EU-funded intervention 2.2.3 Number of Member States that have provided input for regional ICGLR guidance document on the reform of gold export regimes drafted with support of the EU-funded intervention	2.2.1 0 (2022) 2.2.2 0 (2022) 2.2.3 0 (2022)	2.2.1 1 (2027) 2.2.2 6 (2027) 2.2.3 10 (2027)	2.2.1 RINR Committee meeting records; Progress reports of the EU-funded intervention 2.2.2 Mission reports; Progress reports of the EU-funded intervention; ICGLR activity reports  2.2.3 2.2.3 TU record and activity reports; Progress reports of the EU-funded intervention	The ICGLR Secretariat hires a sufficient number of personnel for the RINR TU  ICGLR Member States give ICGLR experts access to information on gold trading data
<b>Output 3 relating to Outcome 2</b>	2.3 Enhanced capacity of ICGLR Member States to digitise RCM systems and procedures in line with evolving	2.3.1 Number of ICGLR Member States for which detailed system requirements have been			2.3.1 TU records and activity reports; Progress reports of the EU-funded intervention	ICGLR Member States provide personnel for development

	international due diligence standards	developed with the support of the EU-funded intervention	2.3.1 0 (2022)	2.3.1 3 (2027)	2.3.2 TU records and activity reports; Progress reports of the EU-funded intervention  2.3.3 Meeting records; ICGLR activity reports; Progress reports of the EU-funded intervention	and set-up of IT systems for RCM digitisation  ICGLR Member States are willing to submit mining sector data to a regional database
		2.3.2 Number of countries that have compiled national trade data on the basis of systems developed with the support of the EU-funded intervention	2.3.2 0 (2022)	2.3.2 2 (2027)		
		2.3.3 Number of consultations supported by the EU-funded intervention involving the ICGLR Secretariat, Member State representatives and representatives of the international community on the inclusion of due diligence standards in the RCM	2.3.3 0 (2022)	2.3.3 5 (2027)		

## 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 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 of the Budget Support Component [For Budget Support only]

NA

### 4.4 Implementation Modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures<sup>7</sup>.

#### 4.4.1 Direct Management (Grants)

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

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

The purpose of the grant is to contribute to the expected results under the specific objective 1 "Strengthen ICGLR's contribution to conflict prevention and resolution in the Great Lakes Region" and more precisely to output 1.2 "Enhanced capacity of ICGLR for early warning (EW) and mediation-focussed crisis management in the Great Lakes Region".

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

Lead applicants may be international NGOs.

Co-applicants of the actions may be from the category listed above.

#### 4.4.2 Direct management (Procurement)

##### **Procurement: (direct management)**

Procurement will contribute to the expected results under specific objective 1 "Strengthen ICGLR's contribution to conflict prevention and resolution in the Great Lakes Region" and more precisely to output 1.1 "Enhanced planning, deployment, data treatment and analysis capacity of the Expanded Joint Verification Mechanism (EJVM)".

<sup>7</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.

#### 4.4.3 Indirect Management with a pillar assessed entity

A part of this action may be implemented in indirect management with an entity, which will be selected by the Commission's services using the following criteria: having physical presence in the beneficiary region, and previous engagement with ICGLR and its Members States in the field of natural resources governance. The implementation by this entity entails the expected results under the specific objective 2 "Ensure the control of the mineral sectors in ICGLR Member States is improved".

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

If grant beneficiaries cannot be identified in direct management, that part of the Action may be implemented under indirect management in accordance with criteria identified in section 4.4.3.

If negotiations for indirect management with a pillar assessed entity fail, that part of the Action may be implemented under direct management in accordance with the implementation modalities identified in section 4.4.1.

#### 4.5 Scope of geographical eligibility for procurement and grants

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

#### 4.6 Indicative Budget

<b>Indicative Budget components<sup>8</sup></b>	<b>EU contribution (amount in EUR)</b>
<b>Implementation modalities</b> – cf. section 4.4	
<b>Objective/Outputs 1</b> Strengthen ICGLR's contribution to conflict prevention and resolution in the Great Lakes Region	<b>3 000 000</b>
Grants (direct management) – cf. section 4.4.1	2 000 000
Procurement (direct management) – cf. section 4.4.2	1 000 000
<b>Objective/Outputs 2</b> Ensure the control of the mineral sectors in ICGLR Member States is improved	<b>7 000 000</b>
Indirect management with a pillar assessed entity - cf. section 4.4.3	7 000 000
<b>5.2 Evaluation</b> <b>5.3 Audit</b>	(will be covered by another Decision)
<b>Contingencies</b>	N/A

<sup>8</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>Totals</b>	<b>10 000 000</b>
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#### 4.7 Organisational Set-up and Responsibilities

The entities in charge, respectively, of the implementation of components 1 and 2 of the Action will be responsible for the detailed budgeting, planning and implementation of the activities foreseen under those components. They will be responsible for all tendering procedures and calls for grants necessary for the implementation of the outputs contributing to those components and the oversight of all implementing entities.

They will be legally and financially accountable to the Union for the sound management of the resources entrusted to them.

Both entities will work in close daily collaboration with ICGLR CS staff and other ICGLR stakeholders as required for the implementation of activities. ICGLR will be informed in written prior to the launch of any activity foreseen in the work plan, any new phase of an existing activity, the selection of any provider of consultative services and any grantee. The entities will ensure the suitable involvement of youth, women, and private sector stakeholders in the planning of activities. ICGLR will be primarily responsible for identifying the relevant stakeholders.

Both entities will be responsible for ensuring the coordination between the two components of the Action, entertaining a regular flow of communication with EUDs in the region for the purpose of fostering synergies, and monitoring the quality and transparency of interaction between EUD Bujumbura, the implementing agencies of the two components, the ICGLR CS and the O/SESG.

A technical coordination committee (TCC) involving ICGLR directors, the two entities, EUD Bujumbura, and staff from the O/SESG will be set up by the two entities to follow up on project implementation. The TCC will meet on a monthly basis. The implementing partners of the EU Regional Migration Project (RMP) will be invited to participate as an observer in TCC meetings and will be able to offer suggestions. Similarly, EUD Bujumbura will ensure that the peace and security implanting entity under the Action is invited to take part in technical coordination meetings of the RMP. This will help maintain coherence across both Actions and avoid ICGLR staff overload.

A steering committee (SC) composed of the ICGLR Executive Secretary, the UN Special Envoy (with an observer status) and the EU Head of Delegation in Bujumbura will be set up to review the Action and its impact on a six-monthly basis. The implanting entities will provide secretariat function to the SC.

In order to ensure the sustained ownership of the Action by ICGLR Member States, the implementing entities in charge of the components will present project plans and results at the six-monthly meetings of the National Coordinators and collect their views and suggestions. They may also be invited to participate in specialised Member States' meetings at the discretion of the ICGLR CS. In all cases, a short summary of the exchanges will be shared with Member States for comment, and action points will be followed-up by the implementing entities at the next meeting.

In order to ensure continued coherence of EU action across the region, six-monthly consultations with the EUDs in the 12 ICGLR Member States as well as EU headquarters will be organised by implementing entities under the guidance of EUD Bujumbura. This will ensure that risks of overlap are avoided and all opportunities for cooperation or complementarity are identified. Should the Regional TEI "Building peace and security in the Great Lakes Region through responsible mining" materialise, it will feature as a standing item on the agenda of the six-monthly consultations. Any other regional EU funded initiatives in the sector will be featured as well, if deemed necessary.

Should any EU Member State decide to undertake to support any of ICGLR's programmes over the duration of the Action, appropriate consultative structures will be put in place to ensure the coherence of the European Union's approach. Consultations may take the form of a representative of the said Member State and/or its contractor(s) participating in the coordination and oversight structures described above.

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.

## 5 PERFORMANCE MEASUREMENT

### 5.1 Monitoring and Reporting

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

Each implementing entity will have specific responsibilities for monitoring and reporting under this action. Common indicators will as much as possible be used in order to allow Action Document wide reporting. Indicator values will be measured at regional basis depending on the nature of the activities.

### 5.2 Evaluation

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

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

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

The Commission shall inform the implementing partner at least 1 month in advance of the dates envisaged for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports may be shared with the partners 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, apply the necessary adjustments.

The financing of the evaluation may 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.

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<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 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.

## 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.

The present Action identifies as <b>Contract level</b>		
<input checked="" type="checkbox"/>	Single Contract 1	Indicatively: <b>grant</b> (EUR 2 000 000) to contribute to the prevention of violence against civilian populations, through the development of an early warning (EW) system and mediation-focussed crisis management capacity.
<input checked="" type="checkbox"/>	Single Contract 2	Indicatively: <b>procurement</b> (EUR 1 000 000) to support the Expanded Joint Verification Mechanism.
<input checked="" type="checkbox"/>	Single Contract 3	Indicatively: <b>contribution agreement with a pillar assessed entity</b> (EUR 7 000 000)

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<sup>10</sup> [Ares\(2021\)4450449](#) - 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](#).