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**ANNEX 5**

to the Commission Implementing Decision on the financing of the action plan for the Resilience Rapid Response Pillar for 2024 – Part 1

**Action Document for European Union-Caribbean-Resilient programme (EU-CA-RES)**

**ANNUAL 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>	European Union-Caribbean-Resilient programme (EU-CA-RES) OPSYS number: ACT-62687 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
<b>2. Team Europe Initiative</b>	No
<b>3. Zone benefiting from the action</b>	The action will be carried out in the Caribbean in the following countries: 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>	Rapid Response Pillar (RRP), Resilience and linking humanitarian and development actions component
<b>5. Link with relevant MIP(s) objectives / expected results</b>	Priority area 2.2.1. Caribbean-EU Partnership for a Green Deal Specific Objective 1: The Caribbean is more resilient to the impacts of climate change and natural hazards.
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>	
<b>6. Priority Area(s), sectors</b>	Disaster Risk Reduction, 740 – Disaster prevention and preparedness, 160 – Social Protection
<b>7. Sustainable Development Goals (SDGs)</b>	Main SDG <ul style="list-style-type: none"> <li>- SDG 13 (Take urgent action to combat climate change and its impacts)</li> <li>- SDG 9 (Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation); and</li> <li>- SDG 11 (Make cities and human settlements inclusive, safe, resilient and sustainable).</li> </ul>
<b>8 a) DAC code(s)</b>	DAC 43060 – Disaster Risk Reduction – 70% DAC 16010 – Social protection – 30%

<b>8 b) Main Delivery Channel</b>	United Nations Agencies – 41100				
<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 type="checkbox"/> Biodiversity <input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	
	Aid to environment @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Gender equality and women's and girl's empowerment	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	
	Inclusion of persons with Disabilities @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Nutrition @	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" 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 digital governance digital entrepreneurship digital skills/literacy digital services		YES <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	NO <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
Connectivity @		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
digital connectivity energy transport		YES <input checked="" type="checkbox"/> <input type="checkbox"/>	NO <input type="checkbox"/> <input checked="" type="checkbox"/>		

	health	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	education and research	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Migration @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities @	<input type="checkbox"/>	<input checked="" 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): 14.020320 Total estimated cost for 2024: EUR 10 000 000 Total amount of EU budget contribution for 2024: EUR 10 000 000			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>13. Type of financing<sup>1</sup></b>	<b>Indirect management</b> with the entity(ies) to be selected in accordance with the criteria set out in Section 4.3.1.			

## 1.2 Summary of the Action

The multiple dimensions of vulnerability of the Caribbean have been exacerbated over recent years, triggered primarily by the combination of four major humanitarian and development challenges: (i) the COVID-19 pandemic; (ii) increased migration due to political and governance crises coupled with economic crises (Haiti, Cuba and the Venezuelan forced migration and refugee crisis) (iii) the regular Atlantic hurricane seasons; and (iv) a wide range of recurrent natural hazards (floods, droughts, volcanic eruptions and earthquakes,) posing new and intensified sources of volatility through their impacts on land and marine ecosystems, health, food security and livelihoods, infrastructure and coastal landscapes.

In this context, the overall objective of the EU programme is to strengthen the Caribbean's resilience to the impacts of crisis, including those caused by climate change by: (i) increasing coverage and adequacy of **inclusive shock responsive and gender-inclusive social protection schemes**; and (ii) **accelerating the recovery capacities**. Mobilising sustainable investments from the **private sector** to reduce risks and build back better in critical infrastructure and increase resilience will be mainstreamed across both pillars. The programme will contribute to:

### 1. more coverage and adequacy of shock responsive social protection mechanisms:

- institutionalise shock responsive social protection at national and regional level;
- strengthen planning, design and implementation of cash-based assistance to respond to shocks, and support most vulnerable and affected households;
- develop and strengthen social protection delivery systems (delivery of cash, care and support services to respond to large-scale shocks), including digital options for improved and more accountable programme operation;
- develop strategies for shock responsive social protection financing;

### 2. accelerating recovery capacities

- strengthen policy, institutions, governance for recovery;
- promote financial mechanisms for recovery and private sector engagement in sustaining both recovery and multi-hazard early warning systems;
- support the review and update of preparedness plans for multidimensional risks
- provide guidelines for recovery that improves its roll-out.
- train communities in recovery and disaster resilient construction technologies and support the construction of resilient and green community-based infrastructure.

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

In particular, by providing training and supporting construction of resilient, climate-proof infrastructure, the project increases **absorptive capacity**, enabling communities to better withstand and recover from the impacts of external shocks. Moreover, by improving social protection programmes and systems, the project provides a safety net for vulnerable populations, enabling them to better cope with and recover from external shocks and increase their **adaptive capacities**. Private sector involvement in delivering basic services will also contribute to this. Furthermore, by strengthening policies, institutions, communities, governance structures and financial mechanisms for resilient recovery processes, the project supports systemic changes and increases the **transformative capacities** of communities and countries.

The project will be implemented at regional and national level, by indirect management, with a set of experienced organisations, building on lessons learned from past initiatives. Sustainability will be ensured by close engagement with national authorities and specialised regional stakeholders, like: (i) the Caribbean Development Bank (CDB); (ii) the World Bank (WB); (iii) the Organisation of Eastern Caribbean States (OECS); and (iv) the Caribbean Disaster Emergency Management Agency (CDEMA). The Caribbean Community Implementation Agency for Crime and Security (IMPACS) and the Regional Security System (RSS), which form part of the CARICOM Regional Response Mechanism will also be involved. The action complements the other main EU-funded programmes under this priority area and implements the Humanitarian-Development-Peace nexus in close coordination with Commission services.

### 1.3 Zone benefitting from the Action

The action will be carried out in the Caribbean.

The EU contribution will cover activities at regional and national levels (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) in areas most prone to climate change and other climate-related shocks. It will complement current ongoing activities carried out by other EU-funded partners in the region.

## 2 RATIONALE

### 2.1 Context

Caribbean countries, a set of mostly Small Island Developing States (SIDS), have a history of dealing with large shocks. The region is threatened by both economic and natural hazards. These countries have specialised in tourism and commodity exports, disproportionately exposing them to global economic cycles through changes in tourism demand and commodity prices. They are also located in a region that is highly exposed to a range of natural hazards – from volcanic eruptions to earthquakes and hurricanes – which damage their infrastructure stock, reduce tourism demand, and destroy agricultural production. Hazards have often caused severe damage to economies and livelihoods in the region, affecting disproportionately the most vulnerable groups, including older people, women and children.

Disasters caused by natural hazards are a threat to development, and their costs are rising. The annual average cost of disasters in developing countries has risen from USD 23 billion to USD 150 billion over the past 30 years, and the number of affected people has tripled to 2 billion in the same period (Hallegatte et al. 2017). Population growth, rapid and unplanned urbanisation, poor-quality infrastructure, and ineffective disaster risk governance have added to this increased damage from natural hazards. In the Caribbean, direct damage due to natural disasters have averaged almost USD 1.6 billion per year over the last 20 years. In 2017, Irma and Maria, two Category 5 hurricanes, hit the Caribbean in the same week, causing severe damage on small island states and territories. In Dominica, losses and damage amounted to 226% of its gross domestic product (GDP). During the 2020-2021 period, more than 30 severe weather events impacted the economy of countries in the region. With the eruption of the La Soufriere volcano in 2021, Saint Vincent and the Grenadines counted losses amounting to more than USD 400 million. Similarly, the 2021 earthquake in Haiti caused losses totalling USD 1.6 billion and hurricane ELSA affected several Caribbean countries. Declining freshwater availability, rising sea levels, coastal erosion, and flooding are common throughout the region due to environmental degradation and climate change. These

further exacerbate economic losses due to damage to critical infrastructure during disasters. Due to global warming, global climate models predict hurricanes will likely cause more intense rainfall and pose an increased coastal flood risk due to higher storm surge caused by rising seas. In addition, hurricanes that form are more likely to become intense.

The impact and severity of disasters that follow a hazardous event depend on the choices made over time by governments, the private sector and others. Even though disaster risk reduction renders benefit four times the costs in terms of avoided and reduced loss, investment in disaster risk management (DRM) has been very low in most countries and represents a tiny proportion of international development assistance. The majority of DRM related development financing is used for emergency response. This is because decision makers tend not to prioritise investment in resilience due to lack of immediate gains or benefits.

The EU-Caribbean Partnership on the Green Deal, as reflected in the Caribbean window of the MIP for the Americas and the Caribbean for 2021-2027, aims to implement the external dimensions of both the Green Deal, the EU adaptation strategy as well as the EU action plan on the Sendai Framework for Disaster risk reduction and the EU biodiversity strategy. It is aligned to Title II of the Caribbean Protocol of the future EU-OACPS Partnership Agreement, that aims to help make the Caribbean more resilient to the impact of climate change and natural hazards, and support an inclusive green transition in Caribbean countries. Interventions under the EU-Caribbean Partnership on the Green Deal, including this one, will also be a concrete step in implementing the Global Gateway, the Commission's strategy to make the EU a global partner of reference and its contribution towards fostering respectful and qualitative partnerships and co-investment. It aims to connect the EU and its partners across the globe, create links and not dependencies, and strengthen the EU's and our partners' resilience and open strategic autonomy.

The multiannual pipeline of annual action programmes (AAPs) under Priority Area 1 – Caribbean-EU Partnership for a Green Deal is built around three complementary and consistent actions. The first programme, Euroclima Caribbean (EUR 35 m), was adopted under the AAP 2021 covering the areas of climate adaptation and mitigation, biodiversity, the circular economy and renewable energy and energy efficiency. The second programme, the Caribbean resilience programme (EUR 15 m) was adopted under the AAP 2022. The proposed action will continue the EU's work in the region in a coherent way in terms of resilience building, DRM, and recovery and preparedness through building back better, including a focus on ecosystem-based solutions.

The EU has invested a substantial amount of resources in promoting resilience throughout the Caribbean. Programmes have been implemented both through regional mechanisms, focused on resilience building, disaster management and governance and preparedness, and at country level, targeting mainly preparedness and post-disaster recovery. In doing so, the EU has worked with and supported governments and regional organisations that play a key role in climate change adaptation, including the CDB through, for example: (i) the 11th EDF CARE programme with which complementarities exist; (ii) CDEMA; and (iii) the Caribbean Catastrophe Risk Insurance Facility (CCRIF SPC). This has already made the EU a lead partner in the Caribbean resilience agenda.

The proposed action will build on past successes, while incorporating some important lessons learned to amplify and sustain the results achieved in terms of better physical resilience and an improved Humanitarian- Development – Peace nexus. In particular, the proposed action will be designed to ensure:

- the EU plays a continuous prominent role in policy dialogue with the countries/region;
- a structural collaboration with countries and regional actors such as CDEMA, OECS and CDB;
- a stronger focus on resilience of physical infrastructure and disaster risk financing strategies for longer-term impact of the proposed action;
- mobilisation of investments from other international financial institutions active in the region, particularly under the European Investment Bank (EIB) window; and
- private sector involvement at all stages.

The EU-CA-RES would also find complementarities with actions under other priority areas/partnerships, mainly through: (i) resilience mainstreaming in key economic and social policies at country level; (ii) infrastructure and policy-based investments; and (iii) the addition of the risk-informed dimension both at the level of capital project investments and of the fiscal and financial policies.

## 2.2 Problem Analysis

Caribbean countries are not prepared for the new challenges posed by climate change, compounded by uncertainty on future tourism markets and a lack of fiscal space. The strategies that have worked in the past will not be enough in the future. Climate change threatens to intensify natural hazards and brings new sources of volatility through impacts on health, agriculture yields and coastal landscapes. The post-COVID-19 world brings more uncertainty on prospects for tourism. Many countries have also depleted their fiscal space and coping capacity while dealing with past crises.

There is a strong economic and social rationale to invest in disaster risk reduction (DRR). Investing in resilient infrastructure, for example, can provide a net benefit of USD 4.2 trillion, with USD 4 in benefits for each USD 1 invested (Hallegatte, Rentschler and Rozenberg 2019). When countries rebuild stronger and more inclusively after disasters, they can reduce the impact on livelihoods and well-being by as much as 31% (Hallegatte, Rentschler and Walsh 2018). Investing in people by providing universal access to early warning systems can reduce losses of well-being from disasters by an estimated USD 11 billion (Hallegatte et al. 2017). In addition, mortality from disasters has declined over time due in part to economic development and better disaster management, especially for disasters where early warning is possible (UNDRR 2019).

Despite these opportunities, there has been insufficient investment in DRR and DRM, especially disaster risk mitigation and preparedness (United Nations International Strategy for Disaster Risk Reduction; World Bank). Between 2010 and 2020, only 6.5% of total official development assistance for disaster risk management was directed toward risk-reduction activities. The literature points to several reasons for this phenomenon: (i) countries lack resources to invest in DRR and may have a limited understanding of disaster risks and vulnerabilities; and (ii) their governments tend to favour politically visible post-disaster initiatives over pre-disaster risk reduction. Supply is also a problem: far more international development assistance is available for disaster response and recovery, which has long been identified as a moral hazard in the sector (Keefer 2009; Tanner, Bahadur and Moench 2017, Wilkinson 2012; World Bank 2013b).

The new challenges experienced in the Caribbean call for more consistent approaches to resilience, building on stronger institutions, robust analytics and more transparent prioritisation. New mechanisms need to be put in place before a disaster to protect lives and livelihoods, which is the objective of proper DRM, supported by this action. To boost resilience and better prepare for future shocks and stresses, Caribbean governments need to focus on three main areas:

- increasing government efficiency by (i) improving investment management and infrastructure maintenance, (ii) clarifying procurement rules for emergency situations, (iii) allocating budgets transparently, (iv) ensuring fiscal rules are robust, and (v) layering risk financing strategies;
- empowering households and the private sector by (i) increasing both the coverage and adequacy of social protection, (ii) strengthening worker skills for resilience, (iii) improving access to finance, and (iv) facilitating access to risk information;
- reducing future physical risk by (i) investing in critical infrastructure, (ii) better enforcing building codes and standards systematically and (iii) implementing widely nature-based coastal protection strategies.

Stakeholders and target groups include: (i) governmental institutions at all levels (ministries in charge of national disaster risk management, climate change, biodiversity, planning and finance, health, education, social protection and other relevant government institutions, at regional, national and sub-national level); (ii) private sector (insurance companies, private sector investors, finance providers, business associations, and small and medium-sized enterprises) and (iii) non-governmental organisations and institutions (academia and civil society organisations (CSOs) and communities, including women and young people).

National governments and municipalities will need to include disaster risk-informed decision-making within their development agendas. Capacities in relation to the technical, legal and policy aspects of disaster risk management will need to be boosted to support, accelerate and mainstream risk-informed development in an efficient and timely manner. Regional, national and local fora will need to be established/strengthened to ensure multisectoral and interdisciplinary coordination. Regional institutions such as CDEMA, OECS and CDB will be supported through the programme and will collaborate closely in relation to the regional action to improve resilience. In particular,



CDEMA will play a key role in mainstreaming the regional Comprehensive Disaster Mechanism in the country policies and will help the National Disaster Management Offices implement the related policies and promote the exchange of good practice between CARICOM countries and Dominican Republic and Cuba in disaster risk management. In addition, since 2020, CDEMA in collaboration with United Nations Development Programme have been working to put into operation the Caribbean Resilient Recovery Facility (CRRF) that was launched in 2021. Under this new dispensation, resilient recovery is recognised as a proactive exercise with programmatic interventions and an increased role in coordinating/mobilising recovery actions. OECS and CDB, as key institutions for the countries in the region, will be involved in the strategies at regional, sub-regional and national level.

The private sector will play an important role in developing and operating risk-informed development mechanisms as well as sustainability mechanisms for early warning systems and recovery processes in the region. Strong legal and institutional frameworks will: (i) set the right incentives for physical and financial risk reduction in the public and private sector; (ii) support clear and effective governance for integrated multi hazard early warning, preparedness, inclusive recovery and emergency response processes; and (iii) create accountability for existing and new risks.

The ultimate beneficiaries of the action are the people in the Caribbean region. As the impacts of climate change and disasters are more pronounced for people in the most vulnerable situations such as children, older people, girls and women, displaced people and minorities, a major programme objective will be to tailor the interventions to the needs of these groups. Also, a specific attention will be paid to the rights, needs and inclusion of persons with disabilities.

### 3 DESCRIPTION OF THE ACTION

#### 3.1 Objectives and Expected Outputs

The **overall objective** of this action is to increase the resilience to external shocks in the Caribbean.

The **specific objective** of this action is to make institutions and communities better prepared to prevent and minimise impacts and recover from slow and rapid onset events.

The **outputs** to be delivered by this action to help achieve the corresponding specific objective comprise the following items.

1. Social protection programmes and systems in targeted countries are strengthened and better able to respond and provide effective, integrated support to vulnerable people affected by extreme weather events and other shocks.
2. Stakeholders' capacities and evidence are strengthened to make evidence-based policy and operational decisions to improve the social protection system and make it more responsive to shocks.
3. Support is provided to implement multi-hazard early warning systems (MHEWS) actions prioritised in country work programmes.
4. Policy, institutions, communities, governance and financial mechanisms are strengthened to plan and implement resilient recovery processes.
5. Capacities are stepped up to use digital tools for conducting post-disaster needs assessment and develop recovery frameworks.

#### 3.2 Indicative Activities

Activities relating to Output 1

- Activity 1.1: Support the enabling environment (both regional and national), institutionalisation of shock responsive social protection (SRSP) (governance, policies)

- Activity 1.2: Strengthen planning, design and implementation of cash-based assistance to respond to shocks and support most vulnerable and affected households (data, targeting, transfer amounts, monitoring and evaluation, etc.)
- Activity 1.3: Developing and strengthening social protection delivery systems (SP information management systems, Grievance and Redress Mechanisms (GRM), payment solutions etc.), including digital options for better and more accountable programme operation
- Activity 1.4: Operational support to social and child protection systems for increased integrated delivery of cash, care and services support to respond to large-scale shocks affecting vulnerable children and their families
- Activity 1.5: Development of strategies, options and tools for shock responsive social protection financing.

#### Activities relating to Output 2

- Activity 2.1: Build, maintain, and transform capacities on shock responsive social protection (training, change management support, tailored courses)
- Activity 2.2: South-south learning and exchange
- Activity 2.3: Generation of evidence that enables national partners to make informed decisions to build and strengthen shock responsive social protection systems and replicate successful and cost-effective approaches.

#### Activities relating to Output 3

- Activity 3.1: Developing of MHEWS gaps and roadmaps
- Activity 3.2: Private-sector engagement on MHEWS and recovery

#### Activities relating to Output 4

- Activity 4.1: Review existing institutional arrangements, policies and practice for recovery
- Activity 4.2: Support the review and update of preparedness plans for multi-dimensional risks
- Activity 4.3: Promote financial mechanisms for recovery
- Activity 4.4: Improve community level recovery preparedness. Training of communities in recovery and disaster-resilient construction technologies and supporting the construction of resilient and green community-based infrastructure: This activity is designed to prepare communities so they can play an effective role in recovery and reconstruction. It will include preparing community-based recovery plans and developing the skills of young people and women in disaster-resilient construction technologies. The component could also pilot the use of resilient reconstruction materials and techniques through the reconstruction of critical community infrastructures such as roads, bridges, community centres, markets, and houses for the most vulnerable.

#### Activities relating to Output 5

- Activity 5.1: Build national capacities to undertake and adapt post-disaster needs assessment (PDNA) and disaster risk financing (DRF) methodologies to national context and selected sectors together with FPI using most recent digital tools.
- Activity 5.2: Guidelines for recovery that improves recovery implementation. These include guidelines and standards for reconstruction of houses, health, education, water and sanitation, etc. The aim of sector recovery guidelines is to ensure that they inform sector ministries on the standards and procedures for build back better and more resilient infrastructure.
- Activity 5.3: Knowledge and technological innovation harnessed for recovery management (development of case studies, lessons learned and best practices).



### 3.3 Mainstreaming

#### **Environmental protection & climate change**

##### **Outcomes of the strategic environmental assessment (SEA) screening**

The SEA screening concluded that no further action was required.

##### **Outcomes of the environmental impact assessment (EIA) screening** (relevant for projects and/or specific interventions within a project)

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

##### **Outcome of the climate risk assessment (CRA) screening** (relevant for projects and/or specific interventions within a project)

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

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

As per the OECD Gender DAC codes identified in Section 1.1, this action is labelled as G1. This implies that women and girls, older people, and people with disabilities face greater vulnerability and exposure to disaster. Female-headed households are more likely to be poor than male-headed households. Women generally face higher unemployment rates and a higher burden of care for older people and children as well as experience more difficulties in accessing credit. Women and girls are especially vulnerable to gender-based violence during disasters. Disasters also have a disproportionate effect on girls' education. A growing body of evidence shows a risk of exposure to gender-based violence, child marriage, unwanted pregnancy, and school dropout in the face of climate-related disasters. There is a positive association between girls' education and better resilience to climate disasters at country level. They are the main beneficiaries of better designed, targeted and implemented resilience programmes. This implies that specific vulnerabilities for women will be addressed, including for unaccompanied girls, women and girls with disabilities and older women. The higher protection risks and special assistance required for women and girls will be addressed, including appropriate and safe shelter, sanitation and health facilities, protection from gender-based violence and increased support for participation in decision-making.

Another specific area to watch out for is how this will be mainstreamed in the design of policies, strategies and programmes aimed at safeguarding local populations in the face of the negative effects of disasters and in the recovery thereafter.

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#### **Human rights**

Resilience to climate change and natural hazards is inextricably linked to human rights. The programme will ensure respect for human rights as set out in the EU human rights strategy, specifically for the Caribbean as it is very vulnerable to climate change hazards, as shown during the last hurricane seasons.

The action will apply the human rights-based approach (HRBA) and its working principles (participation, non-discrimination, accountability and transparency) throughout, ensuring equality of treatment and access for stateless people, migrants, asylum seekers and refugees.

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#### **Disability**

As per the OECD Disability DAC codes identified in Section 1.1, this action is labelled as D1. This implies that people with disabilities are a particularly important group among the target populations of social protection interventions. Their needs will therefore be taken into consideration during implementation.

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#### **Reduction of inequalities**

The action will address the population's social protection and recovery needs. In addition to securing livelihoods for poor and vulnerable groups, shock responsive social protection measures supported by the action enable households to invest in key sectors for their development in the medium to long term, and, in so doing, to become economically productive. They also protect target groups against the economic impacts of individual and collective risks. The action aims to improve access for the population, particularly women, to needs-based social protection

benefits and therefore helps step up their social and economic participation. The dynamic nature of the social register helps ensure that those who are eligible receive prompt, demand-based support.

### **Democracy**

Caribbean countries have a long and stable democratic tradition, except for the unrest in Haiti and the democratic deficiency there. Governance issues are also to be mentioned (e.g. Cuba). The country dialogues and the action design will be carried out according to participatory democracy principles.

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

Peace and resilience will be at the centre of this action. It will always take conflict sensitivity issues into account, it will always seek to promote peace, and it will always promote the inclusion and participation of the marginalised groups. The particular situation of Haiti will be factored in when developing further methodologies.

### **Disaster risk reduction (DRR)**

Integration of DRR and climate change adaptation (CCA) has become particularly important in the Caribbean, with its unequal burden of disasters due to an accumulated layers of hazards and vulnerabilities and the resulting risks. The main scope of the programme is better resilience, disaster risk management, disaster risk financing, and recovery and preparedness.

The action will line up with the regional and national strategies (e.g. CARICOM Regional Framework for Achieving Development Resilient to Climate Change, Caribbean Community Climate Change Centre (CCCCC) and the Comprehensive Disaster Management Strategy of the Caribbean Disaster Management Agency (CDEMA), and ongoing projects such as the Enhancing Climate Resilience in CARIFORUM Countries. Under the Regional Spotlight Initiative programme, and for the first time in the Caribbean, there were guidelines developed on integrating ‘violence against women and girls including family violence’ (VAWG/FV) into DRR/M in the Caribbean, including in the response to COVID-19. This is a significant achievement in positioning gender and VAWG/FV considerations in the work of the CDEMA on DRR/M. The guidelines will support the Comprehensive Disaster Management strategy and promote awareness of definitions, tools, databases, key publications and reports available on gender-based violence in the Caribbean. In addition, the action may leverage synergies with other bilateral and global interventions (e.g. Global Alliances for Social Protection and Global Shield Against Climate Risks, Global Initiative for Disaster Risk Management).

While our ongoing DRM programmes are focusing on responding to demands coming from countries in terms of mainstreaming DRM, emergency and response capacities strengthening and disaster risk financing (CARE under the ACP-EU DRR, EURECA) and climate services (CLIMSA), the EU-CA-RES programme will focus on strengthening the shock responsive social protection and recovery mechanisms, building on past experiences in the region.

### **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>
	Beneficiary countries of the proposed			The proposed action will build on achievements, lessons identified and contribution from beneficiaries gathered

Stakeholder Risk	<p>programme vary in size, population, economic development, exposure, vulnerability and implementation capacity. Identifying the most pressing needs of each beneficiary can be a challenge.</p>	<b>Medium</b>	<b>Medium</b>	<p>during the previous programmes. It will also ensure that it will benefit as many Caribbean countries as possible. To address capacity issues, the action will include a capacity building component and technical assistance services to support national/regional organisations. The activities will focus on assessing and improving countries' capacity by responding to their specific needs, while adapting the technical and operational knowledge and expertise to the situation in the country. In tailoring country-specific activities, the action will bring together expertise from across the organisations and externally to provide feasible and actionable solutions. This approach would ensure that short-term development challenges are addressed while maintaining and improving technical and operational knowledge in the long term.</p>
Strategic Risk	<p>Selection of countries/hazards for activities under the action may result in confusion or duplication and may not be aligned with countries' priorities</p>	<b>Medium</b>	<b>Medium</b>	<p>To avoid duplication with existing initiatives in Caribbean countries, the EU and the implementing partner are working closely with the other development partners and regional organisations active in the Caribbean region to align and complement the different programmes. The proposed action will use existing operational and coordination mechanisms such as the Eastern Caribbean Development Partner Group and the CDM Coordination and Harmonization Council to ensure synergies and complementarity with other initiatives in the same areas. Moreover, the use of Euroclima Caribbean's dialogue mechanism as the entry point for regional and national consultations will ensure consistency with all other EU-funded activities and the full involvement of bilateral EU Delegations. Furthermore, EU and organisation representatives will liaise with programmes funded by other partners in the same area (e.g. ECHO, USAID and Canada's support to CDEMA, EURECA, EUROCLIMA, CARE, etc.) and participate where relevant in their steering committees.</p>

Strategic Risk	Regional, national and/or local authorities fail to make the required investments to support disaster risk management and climate change adaptation policy making and strategies/action plans within the action's lifetime and after it is closed	<b>Medium</b>	<b>Medium</b>	Programme activities will be implemented as much as possible in coordination with regional organisations, and will be demand-driven at the national level, to maximise ownership, increase budget allocation and ensure sustainability beyond the implementation period of the action. Evidence-based programming will motivate investments in disaster risk management and climate change adaptation. Advocacy for increasing domestic financing for disaster risk management will be promoted, as well as integrated approaches to climate change adaptation. Moreover, strengthening governance in disaster risk management will be at the core of the action.
Strategic Risk	A significant disaster event or unprecedented crisis (e.g. COVID-19 pandemic) occurring in one or several Caribbean countries during implementation can affect project activities.	<b>High</b>	<b>High</b>	Disaster risk is factored into the design of this proposed action: Demand-driven approach for its different components allowing quick reaction to specific needs, and flexibility in the implementation of the different activities in consultation with the EU.

### Lessons Learnt:

The following are the key lessons learnt taken from the EU in the Caribbean and previous disaster risk management programmes.

- The political and economic imperative for disaster risk management is weak in the face of competing priorities, and decision makers do not systematically prioritise investments in the building of resilience.
- Preparedness is still hampered by coordination, and there are challenges to receiving timely information and communication.
- Risk assessments are still often pursued as a standalone activity and not as an integral part of disaster risk management, climate change adaptation, recovery, and long-term development planning. Moreover, there are differences in the methodologies applied and the data used for risk assessment, not allowing for results to be compared and a common strategy to be developed to maximise synergies and cooperation.
- While some governments may be advanced in physical and operational planning for disaster risk management, these plans often lack a component that addresses the fiscal and financial risks of disasters and health emergencies.
- Few countries have institutional arrangements for recovery with strong management capacity, supported by policies that promote risk-informed development and resilience.
- A lot of attention is required to promote real absorption and project management capacities of potential beneficiaries and implementation partners to ensure long-term sustainability of the results. Sufficient technical support must be made available for beneficiaries from the beginning to ensure effective implementation during a project's usual lifetime.
- Programme design that is based on evidence and wide consultation contributes to ownership.
- Regional institutions could be involved in implementing the programme according to their original mandate and their confirmed key qualifications and strengths.

Therefore, the action will focus on:

- a continuous role for the EU in policy dialogue with the countries/region;
- a structural collaboration with regional actors such as CDEMA, OECS and CDB;
- a stronger focus on the resilience of physical infrastructure, ecosystem-based solutions and disaster risk financing strategies for longer-term impact of our action;
- mobilisation of investments from other international financial institutions active in the region, linking this to the European Investment Bank (EIB) window;
- private-sector involvement at all stages.

The programme would also find complementarities with actions under other priority areas/partnerships, mainly through: (i) resilience mainstreaming in key economic and social policies at country level; (ii) physical and natural infrastructure and policy-based investments; and (iii) the addition of the risk-informed dimension both at the level of capital project investments and of the fiscal and financial policies. The action will also be aligned with the national adaptation plans in countries that have them.

### 3.5 The Intervention Logic

The underlying intervention logic for this action is to increase the resilience of Caribbean countries to external shocks. The specific objective is to make institutions and communities better prepared to prevent, minimise the impacts of and recover from slow and rapid onset events.

This will be achieved through:

- empowering households and communities – accelerating the implementation of the comprehensive disaster management policy at country level and increasing coverage and adequacy of inclusive shock responsive social protection schemes for most vulnerable people together, which complements what other Commission services are doing;
- increasing government efficiency – accelerating recovery capacities and reducing future physical risks, which complements what FPI is implementing.

FPI is coordinating the cooperation between the United Nations, the World Bank and the EU on crises assessments. It is in charge of the tripartite contacts, extensively involving other EU services in this work. A series of projects have been carried out that aim to develop joint methodologies for the assessments, boost capacity building for potential participants, and strengthen the tripartite cooperation around assessments. Activities will be implemented in close coordination with the regional organisations and other development partners. Private sector engagement will be encouraged to sustain multi-hazard early warning systems as well as improving recovery and increasing resilience and build back better. Consistency between the overall EU interventions in the area of the Green Deal will be ensured, bringing EU Member States into the picture, linking the action to the regional Team Europe initiative on the green transition, and raising the EU's profile with our counterparts.

All the above will:

- boost the capacities of DRR practitioners and government counterparts in developing disaster and climate risk-informed policies and plans;
- improve the infrastructure and capacity of governments, local and regional institutions and communities so they can respond to adverse events or withstand a disaster; and
- boost the region's capacity to recover from disasters.

If this successfully materialises, institutions and communities will be better prepared to prevent, minimise the impacts of and recover from slow and rapid onset events. This in turn will reduce the impact of disasters, including those related to climate change and epidemics, and increase the resilience of Caribbean countries to external shocks.



### 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 the contracting stage. If baselines and targets are not available for the action, they should be notified for each indicator on signature of the contract(s) linked to this action document, 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 or 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, without an amendment being required to the Financing Decision.

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

Results	Results chain (a): Main expected results (maximum 10)	Indicators (a): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
<b>Impact</b>	To increase the resilience of Caribbean countries to external shocks	1. Number of countries that adopt and implement national disaster risk reduction strategies in line with the Sendai Framework for Disaster Risk Reduction 2015–2030  2. Direct economic loss attributed to disasters in relation to global GDP (SDG 1.5.2) (GERF 1.4)	1.TBD in the inception phase (2024)  2. TBD in the inception phase (2024)	1.TBD in the inception phase (2028)  2.TBD in the inception phase (2028)	1. Sendai Framework Monitoring report  2. Post-disaster needs assessments, other sources (TBD)	<i>Not applicable</i>
<b>Outcome</b>	Institutions and communities are better prepared to prevent,	1.1 Number of countries and cities with climate change and/or disaster risk reduction	1.1 TBD in the inception phase (2024)	1.1 TBD in the inception phase (2028)	1.1 National development policies and,	Economic and political situation is

	<p>minimise the impacts of and recover from slow and rapid onset events</p>	<p>strategies (based on a gender analysis) developed with EU support</p> <p>1.2 Number of countries and cities with climate change and/or disaster risk reduction strategies (based on a gender analysis) being implemented with EU support</p> <p>1.3 Total value of resilience investment projects (including risk reduction or adaptation to climate change projects) initiated based on or including recommendations from the EU</p> <p>1.4 Out of the total number of countries supported by the EU, the percentage of those countries that have adopted preparedness and response measures</p>	<p>1.2 TBD in the inception phase (2024)</p> <p>1.3 TBD in the inception phase (2024)</p> <p>1.4 TBD in the inception phase (2024)</p>	<p>1.2 TBD in the inception phase (2028)</p> <p>1.3 TBD in the inception phase (2028)</p> <p>1.4 TBD in the inception phase (2028)</p>	<p>strategies; Sendai Monitoring</p> <p>1.2 National development policies, strategies and plans; Sendai Monitoring</p> <p>1.3 National and sectoral development budgets</p> <p>1.4 National development policies, strategies and plans;</p>	<p>sufficiently stable</p> <p>Disaster risk management is considered a priority for achieving sustainable development objectives</p> <p>Key government departments are interested in strengthening disaster risk governance and integrated solution</p> <p>Multi-stakeholder involvement is ensured</p>
<b>Output 1</b>	<p>Social protection programmes and systems in targeted countries are strengthened and better able to respond and provide effective, integrated support to vulnerable people affected by shocks</p>	<p>1.1.1 Number of countries with an improved enabling environment (policy, coordination, finance) to support shock responsive social protection (SRSP)</p> <p>1.1.2 Number of social protection system components</p>	<p>1.1.1 TBD in the inception phase (2024)</p> <p>1.1.2 TBD in the inception phase (2024)</p>	<p>1.1.1 TBD in the inception phase (2028)</p> <p>1.1.2 TBD in the inception phase (2028)</p>	<p>1.1.1 Progress reports for the EU-funded intervention, analytical products</p> <p>1.1.2 Progress reports for the EU-funded intervention,</p>	<p>Governments maintain an ongoing engagement on DRM and CCA</p>

		that are improved and used as a result of technical assistance			policies and plans prepared	
		1.1.3 Number of tools that have been developed and used by targeted countries to provide effective and integrated support to households affected by a large-scale shocks	1.1.3 TBD in the inception phase (2024)	1.1.3 TBD in the inception phase (2028)	1.1.3 Progress reports for the EU-funded intervention, investment plans	
		1.1.4 Number of social assistance systems where links to information and knowledge, other services and/ or other direct outreach and case management were established or strengthened	1.1.4 TBD in the inception phase (2024)	1.1.4 TBD in the inception phase (2028)	1.1.4 Pre- and post-training test reports	
<b>Output 2</b>	Stakeholders' capacities and evidence are strengthened to make evidence-based policy and operational decisions to improve the social protection system and make it more responsive to shocks	2.2.1 Number of beneficiaries benefiting from improved social protection systems that ensure service continuity in response to a crisis	2.2.1 TBD in the inception phase (2024)	2.2.1 TBD in the inception phase (2028)	2.2.1 Progress reports for the EU-funded intervention, response plans, contingency plans, standard operating procedure (SOP)	Governments have the institutional capacity to support the activities, share information and promote cooperation between national institutions
		2.2.2 Number of people completing courses and trainings with increased capacities in SRSP	2.2.2 TBD in the inception phase (2024)	2.2.2 TBD in the inception phase (2028)	2.2.2 Progress reports for the EU-funded intervention, post-disaster assessments,	

		<p>2.2.3 Number of events that facilitate south-south exchange and inter-governmental collaboration, and promote lessons-learning in social protection</p> <p>2.2.4 Number of social protection knowledge products produced</p>	<p>2.2.3 0 (2024)</p> <p>2.2.4 TBD in the inception phase (2024)</p>	<p>2.2.3 TBS in the inception phase (2028)</p> <p>2.2.4 TBD in the inception phase (2028)</p>	<p>recovery frameworks</p> <p>2.2.3 progress report for EU-funded intervention</p> <p>2.2.4 Pre- and post-training test reports</p>	
<b>Output 3</b>	Support the implementation of multi-hazard early warning systems (MHEWS) actions prioritised in country work programmes	<p>3.3.1 Number of countries that have formulated MHEWS gap analysis and MHEWS implementation plans with EU support, subsequently poised to receive assistance through the EW4All Initiative</p> <p>3.3.2 Number of initiatives being implemented by the private sector in support of MHEWS and recovery</p>	<p>3.3.1 TBD in the inception phase (2024)</p> <p>3.3.2 TBD in the inception phase (2024)</p>	<p>3.3.1 TBD in the inception phase (2028)</p> <p>3.3.2 TBD in the inception phase (2028)</p>	<p>3.3.1 Progress reports for the EU-funded intervention</p> <p>3.3.2 Progress reports for the EU-funded intervention</p>	Governments have the institutional capacity to support the activities and to share information and promote cooperation between national institutions
<b>Output 4</b>	Strengthened policy, institutions, communities, governance and financial mechanisms to plan and implement resilient recovery processes	<p>4.4.1 Number of recovery institutional instruments supported by the action (disaggregated by country and type: governance arrangements, policies, SOPs/plans, strategies)</p> <p>4.4.2 Number of countries that have developed or updated preparedness plans that address multidimensional risks</p>	<p>4.1 – TBD in the inception phase (2024)</p> <p>4.2 TBD in the inception phase (2024)</p>	<p>4.1 – TBD in the inception phase (2028)</p> <p>4.2 TBD in the inception phase (2028)</p>	<p>4.1 Progress reports for the EU-funded intervention</p> <p>4.2 Progress reports for the EU-funded intervention</p>	Governments supported by the action are keen to advance their recovery programme and have the institutional capacity across key sectors in government

		<p>4.4.3 Number of recovery financial mechanisms supported by the action (disaggregated by country)</p> <p>4.4.4 Number of community recovery preparedness initiatives supported by the action (disaggregated by country and type: community recovery plans, community infrastructure constructed, case studies/pilots, etc.)</p> <p>4.4.5 Number of community persons trained in recovery preparedness (disaggregated by sex, country and young people)</p>	<p>4.3 TBD in the inception phase (2024)</p> <p>4.4 TBD in the inception phase (2024)</p> <p>4.5 TBD in the inception phase (2024)</p>	<p>4.3 TBD in the inception phase (2028)</p> <p>4.4 TBD in the inception phase (2028)</p> <p>4.5 TBD in the inception phase (2028)</p>	<p>4.3 Progress reports for the EU-funded intervention</p> <p>4.4 Progress reports for the EU-funded intervention</p> <p>4.5 Training reports, and Progress reports for the EU-funded intervention</p>	and strong network at the community level
<b>Output 5</b>	Increased capacities in using digital tools for conducting post-disaster needs assessment and developing recovery frameworks	<p>5.5.1 Number of countries that have adapted PDNA and/or DRF guides</p> <p>5.5.2 Number of national government officials trained in PDNA and DRF methodologies</p> <p>5.5.3 Number of PDNAs conducted</p> <p>5.5.4 Number of countries that have developed guidelines for recovery implementation (disaggregated by sector)</p>	<p>5.1 – TBD in the inception phase (2024)</p> <p>5.2 TBD in the inception phase (2024)</p> <p>5.3 TBD in the inception phase (2024)</p> <p>5.4 TBD in the inception phase (2024)</p>	<p>5.1 – TBD in the inception phase (2028)</p> <p>5.2 TBD in the inception phase (2028)</p> <p>5.3 TBD in the inception phase (2028)</p> <p>5.4 TBD in the inception phase (2028)</p>	<p>5.1 Progress reports for the EU-funded intervention</p> <p>5.2 Training reports and Progress reports for the EU-funded intervention</p> <p>5.3 Progress reports for the EU-funded intervention</p> <p>5.4 Progress reports for the EU-funded intervention</p>	Governments supported by the action maintain an ongoing engagement on disaster risk financing to support decision-making

		5.5.5 Number of knowledge products for recovery developed (disaggregated by thematic area/topic)	5.5 TBD in the inception phase (2024)	5.5 TBD in the inception phase (2028)	5.5 Progress reports for the EU-funded intervention	
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## 4 IMPLEMENTATION ARRANGEMENTS

### 4.1 Financing Agreement

It is not envisaged to conclude a financing agreement with the partner countries to implement this action.

### 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 the Commission adopts this financing decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer in duly justified cases.

### 4.3 Implementation Modalities

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

#### 4.3.1 Indirect Management with an entrusted entity

This action may be implemented via indirect management with organisations, which will be selected by the Commission using the following criteria:

- technical expertise and experience working in the areas of shock responsive social protection mechanisms and recovery – including social protection, climate change and/or disaster risk management;
- capacity and presence in the geographical areas where the action is being implemented;
- established partnerships and access, working with governments in the areas of shock responsive social protection and recovery;
- sufficient operational and financial absorption capacity and strengthened platforms for sector policy dialogue, in close collaboration with the EU Delegation and partners in the region.

The implementation by these organisations entails delivering on the specific objective (outcome) and related outputs of the action while ensuring results-based monitoring and reporting.

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

If the envisaged implementation modality (indirect management) cannot be implemented due to circumstances outside of the Commission's control, the action will be implemented through: Grant(s): **direct management**.

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

- To deliver on the specific objective (outcome) and related outputs of the action.

##### (b) Types of applicants targeted

- International organisations.

<sup>2</sup> [www.sanctionsmap.eu](http://www.sanctionsmap.eu). The sanctions map is an IT tool used for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). If there is a discrepancy between the published legal acts and the updates on the website, then the OJ version prevails.

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

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 applies, subject to the following provisions.

The Commission's responsible authorising officer may extend the geographical eligibility in urgent cases, cases where services are unavailable in the markets of the countries or territories concerned, or in other duly substantiated cases where applying the eligibility rules would make it impossible or exceedingly difficult to carry out this action (Article 28(10) NDICI-Global Europe Regulation).

For this multi-country action, natural persons who are nationals of, and legal persons who are effectively established in the following countries and territories covered by this action, are also eligible: CARIFORUM Member States.

#### 4.5 Indicative Budget

<b>Indicative Budget components</b>	<b>EU contribution (amount in EUR)</b>
<b>Implementation – see Section 4.3</b>	
<b>Indirect management with an entrusted – see Section 4.3.1</b>	<b>10 000 000</b>
<b>Evaluation – see Section 5.2 Audit – see Section 5.3</b>	<b>May be covered by another Decision</b>
<b>Contingencies</b>	<b>0</b>
<b>Totals</b>	<b>10 000 000</b>

#### 4.6 Organisational Set-up and Responsibilities

Given the multi-stakeholder nature of the action, appropriate steering structures will be established at regional level. They will provide general direction and monitor progress along key parameters throughout the action's implementation to ensure that targets are being met. In addition, multi-stakeholder implementation teams will be established to undertake activities within their respective areas. They will comprise of members from key government authorities, members of civil society organisations and implementing partners. The implementation teams and the steering structures will be supported by the organisation entrusted with the implementation of the action (identified in Section 4) to ensure continuous progress and compliance with rules and regulations governing the overall intervention.

As part of its prerogative of budget implementation and to safeguard the financial interests of the EU, the Commission may participate in the above-mentioned governance structures set up for governing the implementation of the action and may sign or enter into joint declarations or statements, for the purpose of increasing the visibility of the EU and its contribution to this action and ensuring effective coordination.

#### 4.7 Pre-conditions

Pre-conditions include respective consultations with governmental institutions and regional bodies.

### 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 forms part of the implementing partner's responsibilities. To this end, the implementing partner must establish a permanent internal, technical and financial monitoring system for the action and produce regular progress reports (at least annually) and final reports. Every report will provide an accurate account of the action's implementation, the difficulties encountered, the changes introduced, and how far its results were achieved

(outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project arrangement) 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 it has recruited directly to perform independent monitoring reviews (or recruited by the responsible agent contracted by the Commission to implement such reviews).

Roles and responsibilities for data collection, analysis and monitoring:

The implementing partners (identified in Section 4.4.4) will be responsible for the monitoring and reporting on indicators of the logframe matrix, on an annual basis at the very least. This includes the collection of baselines and data (on an annual basis for the latter). The implementing partners will prepare periodic progress reports which will be compiled and shared with relevant stakeholders. The reports will be consolidated by implementing partners on an annual basis.

## 5.2 Evaluation

A mid-term and/or final evaluation(s) will be carried out for this action or its components via independent consultants contracted by the Commission.

If a mid-term evaluation is to be carried out, it will be carried out for problems solving and learning purposes, in particular to identify possible adjustments to the programme.

The final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular that several agencies were cooperating in the implementation of the programme.

The Commission will inform the implementing partner of the dates planned for the evaluation missions at least 2 months in advance. The implementing partner must collaborate efficiently and effectively with the evaluation experts and, among other things, 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. The implementing partner and the Commission will analyse the evaluations' conclusions and recommendations and, where appropriate, make the necessary adjustments.

Evaluation services may be contracted under a framework contract.

## 5.3 Audit and Verifications

Without prejudice to the obligations applicable to contracts concluded for implementing this action, the Commission may, on the basis of a risk assessment, contract independent audit or verification assignments for one or more contracts or agreements.

# 6 STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt a new approach to pooling, programming and deploying strategic communication and public diplomacy resources.

In line with the 2022 document entitled '[Communicating and Raising EU Visibility: Guidance for External Actions](#)', it will remain a contractual obligation for all implementing EU-funded external actions to inform the relevant audiences of the EU's support for their work by displaying the EU emblem and, as appropriate, a short funding statement 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 organisations 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

A primary intervention<sup>3</sup> (project/programme) is a coherent set of activities and results structured in a logical framework aiming to deliver development change or progress. Identifying the level of the primary intervention will allow for:

- articulating actions or contracts according to an expected chain of results, therefore allowing them to ensure efficient monitoring and reporting of performance;
- differentiating these actions or contracts from those that do not produce direct reportable development results, defined as support organisations (i.e. audits, evaluations);
- having a complete and exhaustive mapping of all results-bearing actions and contracts.

Primary interventions are identified when each action is designed by the responsible department (Delegation or headquarters operational unit).

The level of the primary intervention chosen can be modified (directly in OPSYS) and the modification does not constitute an amendment of the action document.

The intervention level for this action identifies as (tick one of the four following options);

<b>Action level (i.e. Budget Support, blending)</b>		
<input checked="" type="checkbox"/>	Single action	Present action: all contracts in the present action
<b>Group of actions level (i.e. top-up cases, different phases of a single programme)</b>		
<input type="checkbox"/>	Group of actions	Actions reference (CRIS#/OPSYS#): <Present action> <Other action(s)>
<b>Contract level</b>		
<input type="checkbox"/>	Single Contract 1	<foreseen individual legal commitment (or contract)>
<input type="checkbox"/>	Single Contract 2	<foreseen individual legal commitment (or contract)>
	(...)	
<b>Group of contracts level (i.e. series of programme estimates, cases in which an action includes, e.g. four contracts, two of which – a technical assistance contract and a contribution agreement – are aiming to fulfil the same objectives and complement each other)</b>		
<input checked="" type="checkbox"/>	Group of contracts 1	2 contribution agreements with international organisations (EUR 6 000 000 and EUR 4 000 000) – total amount EUR 10 000 000

<sup>3</sup> 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, constituting an effective level for the Commission's operational follow-up of its operations on the ground. See more on the [concept of intervention](#).