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

**ANNEX 2**

of the Commission Implementing Decision on the financing of the annual action plan in favour of the Republic of Zambia for 2022 part 1

**Action Document for Support Measures – Cooperation Facility for Zambia**

**ANNUAL MEASURE**

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation, and measure in the sense of Article 23(1) of NDICI-Global Europe Regulation.

## 1. SYNOPSIS

### 1.1. Action Summary Table

<b>1. Title</b> <b>CRIS/OPSYS</b> <b>business reference</b> <b>Basic Act</b>	Support Measures – Cooperation Facility for Zambia CRIS number: NDICI AFRICA/2022/044-084 OPSYS ref.: ACT-60799 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
<b>2. Team Europe Initiative</b>	<input checked="" type="checkbox"/> Not applicable
<b>3. Zone benefiting from the action</b>	The action shall be carried out in Zambia
<b>4. Programming document</b>	Multi-annual Indicative Programme (MIP) 2021–2027 for Zambia
<b>5. Link with relevant MIP(s) objectives/expected results</b>	The horizontal and transversal nature of the action means that it contributes to all objectives outlined in the MIP 2021-2027
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>	
<b>6. Priority Area(s), sectors</b>	Not applicable
<b>7. Sustainable Development Goals (SDGs)</b>	Main SDG (1 only): 17 (partnerships for the goals) Other significant SDGs (up to 9) and where appropriate, targets: 2, 3, 5, 6, 8, 9, 13, 15, 16
<b>8 a) DAC code(s)</b>	Main DAC code – 400 – Multisector / cross-cutting Sub-code 1 – 43010 Multisector aid. Priority area 1: 140 – Water Supply & Sanitation, 230 – Energy, 310 – Agriculture, forestry, aquaculture. Priority area 2: 410 – General environment protection, 130 – Population Policies/Programmes & Reproductive Health, 110 – Education Priority area 3: 150 – Government and Civil Society
<b>8 b) Main Delivery Channel</b>	42001 – European Commission – Development Share of Budget

	12000 – Recipient Government			
<b>9. Involvement of multilateral partners</b>	No			
<b>10. Targets</b>	<input type="checkbox"/> Migration <input checked="" type="checkbox"/> Climate <input checked="" type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Biodiversity <input checked="" type="checkbox"/> Education <input checked="" type="checkbox"/> Human Rights, Democracy and Governance			
<b>11. Markers (from DAC form)</b>	<b>General policy objective @</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality and women's and girls' empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade development	<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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>12. Internal markers and Tags:</b>	<b>Policy objectives</b>	<b>Not targeted</b>	<b>Significant objective</b>
Digitalisation @ Tags: digital connectivity digital governance digital entrepreneurship job creation digital skills/literacy digital services		<input type="checkbox"/>	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

	Connectivity @ transport people2people energy digital connectivity	<input type="checkbox"/>	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Migration @ (methodology for tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities (methodology for marker and tagging under development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>BUDGET INFORMATION</b>				
<b>13. Amounts concerned</b>	Budget line(s) (article, item): 14.020122 Total estimated cost: EUR 6 000 000 Total amount of EU budget contribution EUR 6 000 000			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>14. Type of financing</b>	<b>Direct management</b> through: - Grants - Procurement			
<b>15. Type of measure</b>	<input checked="" type="checkbox"/> Cooperation facility <input type="checkbox"/> Measures in favour of Civil Society			

## 1.2. Summary of the Action

The new financing instrument NDICI-Global Europe may entail changes in the administration of EU development assistance to Zambia. Appropriate provision of sensitisation and technical support will be required for the new coordination structure that will be put in place by the Government of Zambia to facilitate the EU MS- Zambia partnership.

The Support Measures – Cooperation Facility support to EU's cooperation with Zambia will allow flexibility to further the EU and Zambia partnership towards a more collaborative and added-value approach, by building on the ways in which best practice, innovation, pilot programmes, systems development and capacity building can improve the effectiveness and quality of programming, implementation, monitoring, auditing and evaluation of previous, on-going and planned actions.

In addition, the Support Measures – Cooperation Facility will aim to support the implementation of Zambian and EU cooperation activities through the provision of ad hoc assistance to deal with challenges faced throughout programme cycles. This will lay the foundation for future actions, such as a range of studies, identification and formulation missions, with a substantial focus on visibility including Team Europe's position as main partner for Zambia.

Improving awareness around EU's contributions to the Zambian society while also highlighting the wider impact of a Team Europe approach is crucial. The enhancement of the EU's strategic communication and public diplomacy will be key to ensuring that EU and Zambia Cooperation is widely known and in doing so the Support measures-Cooperation Facility will be used to support comprehensive awareness-raising, strategic communication and visibility, public diplomacy initiatives and donor coordination activities that will enhance EU Member States and European financial institutions coordination under the Team Europe approach. A follow-up to the regional campaign "We See Africa" led by HQ in seven African countries including Zambia may be conducted in Zambia under the present TCF.

The Support Measures – Cooperation Facility will contribute directly towards achieving the objectives of the EU-Zambia MIP 2021-2027 and other financial instruments. It builds directly on Zambia’s development priorities and will reinforce relations between the EU and Zambia in a context of increasing geopolitical competition. It will also facilitate strategic communication and, public diplomacy.

The Support Measures – Cooperation Facility will address specific needs to enhance policy dialogue in strategic areas, support joint programming with EU Member States, enhance the mainstreaming of crosscutting issues such as human rights, gender (CLIP - Country-Level Implementation Plan - GAP III) and climate change and support to the private sector, which faces more and more of these issues with regard to trade with third countries and especially with the EU. Support will be aimed at policy implementation, policy development and new programme identification, specific capacity building related to new policy orientations and programmes, and complementary activities in focal sectors.

Overall, the facility will contribute mainly to SDG 1 – No Poverty, SDG 5 – Gender equality and Women empowerment, SDG 10 – Reducing Inequalities and SDG 17 partnerships for the goals. The facility will also contribute to significantly and where necessary to 2, 3, 6, 8, 9, 13, 15, 16. It is complementary to and has synergies with the entire portfolio in as far as it will contribute to programming, implementation and evaluation as appropriate.

## 2. RATIONALE

### 2.1 Context

Zambia is a peaceful, landlocked country with a liberalised economy. It is a rich country in terms of natural resources (land, water, mineral resources, wildlife, forests), with great potential for economic growth and development.

In the past decades, Zambia’s economic growth has essentially been supported by copper mining. In 2020, the mining sector was the largest contributor to the economy, accounting for 21 % of GDP. It represents an estimated 30 % of domestic revenue. Copper itself accounts for more than 70% of exports of goods. The sector is the country’s main supply of foreign exchange. Although Zambia is a member of the Extractive Industry Transparency Initiative (EITI) and has progressed in its indicators, governance remains a critical issue. The lack of fiscal-policy stability affects investments, production and employment in the sector. Unsustainable mining practices have added to Zambia’s challenges with environmental degradation, human rights (working conditions, child labour) and livelihood, more particularly poverty and inequality.

Zambia’s agricultural sector represents the backbone of its rural economy and could significantly contribute to economic diversification and growth, to increasing resilience and preparedness for disasters (e.g. linked to climate change), to poverty reduction and diversified nutrition. It is also a sector that receives substantial focus in Zambia’s Nationally Determined Contribution<sup>1</sup> and where efforts to align with commitments show promise. About 60 % of the population depends on agriculture for livelihood, and a large subset of the population, 80 %, live below the international poverty line. Agriculture remains a substantial contributor to non-traditional exports. Despite a declining contribution to GDP, employment in the sector remains high, but with a low level of labour productivity, resulting from unskilled subsistence agriculture, lacking access to productive assets and market opportunities. Limited crop diversity increases vulnerability to both environmental and market shocks. Over recent years, like many countries, Zambia has been experiencing unpredictable and more frequent adverse weather patterns, causing droughts and floods, with negative impacts on resources and livelihoods. However, there is huge potential for public and private sector investments in traditional or export agriculture and associated value chains, owing to Zambia’s geographic location and agro-ecological diversity. This potential can boost Zambia’s exports to the EU market contributing to its economic growth. Zambia could benefit from the Economic Partnership Agreement that is currently implemented by five Eastern and Southern Africa countries. Attention will thus need to be paid to issues related to trade and investment<sup>2</sup>. To unfold this potential, especially in rural areas, access to energy and water as well as improving water efficiency and management remain critical, necessitating investments and management capacities in the agriculture-forestry-biodiversity-water and climate nexus, as well as the electricity-water nexus. Furthermore, Zambia recognises

<sup>1</sup> Updated in July 2021: [Microsoft Word - Final Zambia Revised and Updated NDC 2021 .doc \(unfccc.int\)](#)

<sup>2</sup> The EPA is currently under negotiations for its deepening towards a comprehensive and modern FTA encompassing all cross-cutting issues such as climate change and labour.

that conservation of biodiversity, proper land management and fighting climate change is critical to ensuring that Zambia achieves its aspirations of a green economy and attainment of socio-economic development for all.

Today the country is faced with many challenges. Zambia continues to struggle to translate economic growth into poverty eradication and reduction of inequalities, despite impressive growth rates in the last decade and reaching low middle-income status (LMIC) in 2011. Zambia is once again in the throes of a debt crisis, having borrowed extensively during the last decade, and now being unable to service the debt. Exogenous shocks (climate change, COVID-19 pandemic) have amplified Zambia's macroeconomic vulnerabilities, which have increased over the years, as long-awaited structural reforms and their implementation have not yet taken place. This, combined with a depreciation of more than 50 % of the Zambian Kwacha (ZMW) versus the USD and a consequent inflation exceeding 15 % in 2020<sup>3</sup>, has resulted in recession and a default on the debt in 2020. The long-term economic and fiscal consequences, including access to finance, shrinking fiscal space and further currency depreciation negatively impacts Zambia's competitiveness and economic recovery. In December 2020, Government of the Republic of Zambia (GRZ) launched the Economic Recovery Programme 2021-2023, as a successor to "Zambia plus"<sup>4</sup> under the 7<sup>th</sup> NDP, largely under-implemented and falling short of its targets<sup>5</sup>. However, it should be noted that the Kwacha has appreciated significantly since May 2021. There has also been a successful presidential transfer of power as a result of the general elections held in August 2021. H.E. Hakainde Hichilema was elected. This has led to watchful donor and investor optimism and created expectations from the Zambian population at large which remain to be translated in action.

Zambia is a country of young people, with the majority of the population under the age of 35 (83 %), out of which 46 % are children (0-14 years) and 37 % youth (15-35 years). The estimated median age is 17.6 years (2020), which is one of the lowest in the region and globally. With an average population growth of 3 % per year, an increasing number of youth is looking for access to social services and employment while the situation is currently already constrained. Youth unemployment rate has reached nearly 52% driven to a great extent by a persisting mismatch between job, relevant skills and training and employment opportunities<sup>6</sup>.

In Zambia, poverty is increasing in absolute and relative terms. 54.4 %<sup>7</sup> of the population (60.5 % according to the WB latest estimates<sup>8</sup>) is considered poor and 40.8% extremely poor. Poverty is primarily a rural phenomenon as 77 % of the poor population live in rural areas. Rapid urbanisation, due to rural poverty and lack of prospects in rural areas, risks to further aggravate the situation. Zambia is among the countries with the highest income inequality levels in the world<sup>9</sup>. Zambia's malnutrition rates remain among the highest in the world. The country ranked 143 of 189 in the 2019 Human Development Index, with 48 % of the population unable to meet their minimum calories requirements, and more than one-third of children under five years are stunted.

Gender inequality remains highly prevalent and all pervasive in Zambian society. A significant barrier to gender equality are the prevailing gender and social norms that limit female access to most sectors including education and health (especially sexual and reproductive health) services.

Zambia is characterised by large regional socioeconomic disparities, while GRZ's shrinking fiscal space is crowding out social sector spending. Where relevant, the EU engagement will address opportunities and challenges of specific territories, in view of ensuring an inclusive and sustainable development. As far as possible and when assessed more efficient, a geographic approach of EU engagement in Zambia will be carried out through integrated, cross-sectoral actions, particularly in the governance and social sectors. "Team Europe" (EU and EU member states) and "whole-of-society" approaches will be at the core of the EU action in Zambia, and engagement with non-governmental actors will be essential. Civil Society Organisations (CSOs) are expected to play a key role in the implementation of the 2021-2027 MIP.

## 2.2 Problem Analysis

EU's cooperation in Zambia requires technical assistance aimed at policy implementation, support for policy development and new programme identification, specific capacity building related to new policy orientations and programmes, and complementary activities such as strategic communication in focal sectors. These may be in the

<sup>3</sup> Bank of Zambia, Statistics Fortnightly Time Series

<sup>4</sup> The Economic Stabilization and Growth Programme (ESGP) 2017-2019

<sup>5</sup> Issues Paper for the 8<sup>th</sup> NDP, ministry of national development Planning, November 2020

<sup>6</sup> [https://www.zamstats.gov.zm/phocadownload/2010\\_Census/2010%20Census%20of%20Population%20National%20Analytical%20Report.pdf](https://www.zamstats.gov.zm/phocadownload/2010_Census/2010%20Census%20of%20Population%20National%20Analytical%20Report.pdf)

<sup>7</sup> Living Conditions and Monitoring Survey - 2015. Central Statistical Office, Lusaka.

<sup>8</sup> World Bank estimates, international poverty rate (USD 1.9 in 2011 PPP) - Macro Poverty Outlook, Sub-Saharan Africa 10/2020.

<sup>9</sup> Gini index 49.5 (2018) - Ibid

form of capacity building, policy related evidence building, consultations, seminars/conferences, trainings, assessment/studies, awareness-raising, strategic communication, public and economic diplomacy initiatives, local, regional or international, in the framework of EU-Zambia cooperation or strategic partnership.

Furthermore, the new financing instrument Global Europe may entail changes in the administration of EU development assistance and appropriate provision of sensitisation and technical support will be required for the new coordination structure that will be put in place by the Government of Zambia.

The Support Measures – Cooperation Facility will allow the EU Delegation to Zambia and COMESA to act with more agility and flexibility to further enhance the EU and Zambia partnership towards a more collaborative and added-value approach. This will be done by building on best practices, innovation, pilot programmes, systems development and capacity building. This approach will also expand and deepen the range of EU's partners and stakeholders in Zambia therefore furthering its reach and improving the effectiveness and quality of programming, implementation, monitoring, auditing and evaluation of previous, on-going and planned actions. Focus will be placed on improving awareness around the EU's contributions to the Zambian society while also highlighting the wider Team Europe approach, human rights and gender impact.

A new area of partnership around digitalisation in the public, private and civil society domains will aim to mainstream digital solutions in the Delegation's actions to ensure that activities meet new developmental innovation standards. The Support Measures – Cooperation Facility will remain as an instrument for; ensuring that cross-cutting issues (human rights and gender and climate change) are included and adequately considered across the Delegation's entire portfolio; minimising the risk that the socio-economic relief measures and ensuring growth policies are funded at the expense of investments in a more sustainable future

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

The stakeholder analysis for the Support Measures – Cooperation Facility will be appropriately addressed in each and every different action that the facility will finance. In general terms, collaboration with the Government of Zambia, civil society and development partner coordination is working very well in Zambia. It mainly relies on a joint shared analysis and on the recognition that the Zambian 7<sup>th</sup> and 8<sup>th</sup> NDP and vision 2030 are in line with the priorities of the EU and MS in Zambia, and the process of development for the two NDPs has included wide stakeholders' consultations.

The main target groups include the Government's coordinating structure, line ministries, other government institutions, EU MS, implementing partners of EU development assistance, the private sector, and civil society with whom the EU collaborates to deliver development assistance. These target groups are largely duty bearers or organisations seeking to hold duty bearers to account.

The final beneficiaries are the rights holders, i.e. citizens of Zambia benefiting from EU funded projects, and more efficient and effective governance. Specific attention will be paid to women and youth as well as to groups living in the most vulnerable situations, such as persons with disabilities, incarcerated persons, etc.

### 3. DESCRIPTION OF THE ACTION

#### 3.1 Objectives and Expected Outputs

The **Overall Objective** (Impact) of Support Measures – Cooperation Facility is to work with the Government of Zambia, Member States present in the country, cooperating partners, civil society and the private sector to contribution to effectiveness of the EU-Zambia cooperation.

The **Specific Objectives (Outcomes)** of this action are to:

1. Improved capacity of the Zambian government for effective management and coordination of EU funded interventions
2. EU delegation applies evidence based approach including gender -specific or sex-disaggregated data to its programme and project management cycle

3. Increase awareness, understanding and support to EU policy and our partnership in the country.

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

- **EO1:** Government Coordination Unit trained in Global Europe procedures, implementation MIP 2021-2027 and are fully equipped.
- **EO2:** Studies, gender specific analysis and reports in support of the MIP 2021-2027 being conducted and technical assistance being provided
- **EO3:** Strategic communication, including awareness raising campaign to the wider public, as a follow up to the pilot Africa campaign led in 2021.

### 3.2 Indicative Activities

To achieve the outputs above, main **activities** of the Cooperation Facility are as follow:

**EO1 – Government Coordination Unit trained in Global Europe procedures, implementation MIP 2021-2027 and are fully equipped.**

Activities under this EO could include specific expertise and assistance to be provided on a short or medium-term basis to ensure the success and quality of EU cooperation and partnership with Zambia. For instance but not limited to:

- Technical assistance to support coordination and management of EU interventions in Zambia.
- Technical assistance to support the design, management and coordination of main objectives including gender equality and women's empowerment and the environment/climate change.
- Equipment for ensuring a good functioning of the coordination structure.
- Support for coordination including CLIP (Country-Level Implementation Plan) with EU MS.
- Organisation of events around the partnership.

**EO2 – Studies, gender specific analysis and reports in support of the MIP 2021-2027 being conducted and technical assistance being provided**

Activities under this EO could include specific expertise and assistance to be provided on a short or medium-term basis to ensure the success and quality of ongoing and future programmes supported by the EU and other instruments. For instance but not limited to:

- Technical assistance for the successful identification, stakeholders' analysis, formulation, preparation, implementation, monitoring, results data collection, financial management and instruments and audit and gender and human rights sensitive evaluation of programmes in Zambia.
- Technical assistance to potentially contribute to implementation of the Team Europe approach.
- Exchange of lessons learnt, best practices and exchange of public expertise. The same applied for private sector expertise.
- Support for coordination.
- Gender and environment/ climate change mainstreaming and specific analyses.
- Support for Team Europe coordination
- Training, conferences and seminars.
- Awareness raising, promoting access to information, strategic communication & visibility operations.

**EO3 – Awareness activities conducted**

Activities under this EO could include specific expertise and assistance to ensure the effective and adequate participation of stakeholders and beneficiaries, including those representing the people living in the most vulnerable situations in the implementation and promotion of EU priorities and strategic objectives, such as gender equality, and women's empowerment, human rights, disability, and democracy, culture, environment and climate change, regional or and good governance, among others but not limited to:



- Support policy dialogues with events, conferences, studies, fellowships, exchange platforms to support sector dialogues leading to policy reforms and engagement with GRZ and other stakeholders (such as CSO, women's organisation and human rights organisation)
- Provision of resources to for necessary Government structures to coordinate stakeholder's meaningful participation in policy development, review, implementation and policy monitoring.
- Financing communication including strategic communication and fight against disinformation and visibility actions on EU cooperation and public diplomacy specific interventions to promote EU's policies as well as its multilateral agenda in the partner country.
- Promote understanding and awareness of the EU's values, interests and specific policies, including human rights, foreign and security policy, science and research, gender equality, visibility of the Team Europe approach, fight against disinformation, as well its multilateral agenda.
- Strengthen networks and long-term relationships with key target audiences and partners (e.g. youth, students, academics, think tanks, CSOs, business, creative industries), including leveraging existing EU programmes, in order to facilitate future cooperation across policy areas.
- Economic diplomacy.
- Exchange of lessons learnt and best practices.

The list above is not limited and further expertise and services could be identified at a later stage during the implementation period of the Support measures-Cooperation Facility on a needs based analysis.

### 3.3 Mainstreaming

The Support Measures – Cooperation Facility will mainstream gender, climate change, environmental issues, human rights and democracy by assisting that they are adequately addressed by all stakeholders and integrated in implementation; that its broad range of activities ensure, for instance, the equal participation of women, persons with disabilities and incarcerated persons, do not negatively affect the environment or apply low-carbon choices; but also, by ensuring that the targeting and mainstreaming of these issues are improved per specific objective.

In that respect, the facility maybe used to perform specific environmental impact assessments, climate risk assessments and gender assessments as and when necessary under priority areas of the 2021-2027 MIP. The recommendations will be integrated into the design of all the assignments to be undertaken under this Cooperation Facility.

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

##### **Outcomes of the SEA screening**

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

##### **Outcomes of the EIA (Environmental Impact Assessment) screening**

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

##### **Outcome of the CRA (Climate Risk Assessment) screening**

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

As per OECD DAC codes identified in section 1.1, this action is labelled as Rio Marker 1 for biological diversity, climate change adaptation and climate change mitigation. This implies that the Support measures-Cooperation Facility will support the mainstreaming of all three aspects as well as facilitate the identification and implementation of specific interventions aiming at protecting biodiversity and supporting climate change mitigation and adaptation. As and when necessary this may include TA for the production of SEA, EIA and CRA.

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

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G1. This implies that the Support measures-Cooperation Facility shall assist that gender equality and empowerment of women and girls are adequately



addressed by all stakeholders and integrated at all stages of its implementation. The action will contribute towards the gender equality strategy<sup>10</sup> and the GAP III<sup>11</sup> priorities.

#### Human Rights

The Facility shall assist and ensure the integration and realisation of human rights throughout its actions. The HRBA will be promoted as a working methodology, ensuring meaningful and inclusive participation, non-discrimination and equality as well as accountability and transparency.<sup>12</sup>

#### Disability

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D1. This implies that the action is not considered relevant for the inclusions of persons with disabilities but is cognisant of their inclusion at every opportunity.

#### Democracy

The facility activities shall help assist and support the promotion of democracy and good governance; support stability and resilience as well as reinforce the relations between the EU and Zambia.

#### Conflict sensitivity, peace and resilience

As per the OECD conflict, security, peace and resilience codes identified in section 1.1, this action is labelled as D0. But its activities could help support stability and resilience.

#### Disaster Risk Reduction

As per the OECD disaster risk reduction codes identified in section 1.1, this action is labelled as D0. But its activities could help support stability and resilience

### 3.4 Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Risk level (High/ Medium/ Low)	Mitigating measures
3	Lack of commitment and ownership by the Government on the assistance provided by the facility, as well as by other assistance.	L	L	Inclusive dialogue via this instrument as well as via other dedicated instrument will be encouraged throughout to ensure good understanding, transparency, accountability, participation, and ownership.
3	Low quality of outputs from contracted technical assistance.	L	M	Ensure clear Terms of reference; close scrutiny of offers during evaluation to ensure best candidates are selected; and regular review of progress on assignments.
3	Capacity building support undermined due to staff high turnover in Government institutions.	L	M	This risk is to be mitigated by involving concerned bodies at both institution and individual levels in the capacity building elements of project and by developing durable and streamlined systems.

#### Lessons Learnt:

The TCF has proved to be a flexible instrument that allows the EU Delegation to quickly respond to the needs for technical support in order to facilitate the preparation of new interventions or to assist in the implementation of our cooperation.

<sup>10</sup> [https://ec.europa.eu/info/policies/justice-and-fundamental-rights/gender-equality/gender-equality-strategy\\_en#gender-equality-strategy-2020-2025](https://ec.europa.eu/info/policies/justice-and-fundamental-rights/gender-equality/gender-equality-strategy_en#gender-equality-strategy-2020-2025)

<sup>11</sup> [https://ec.europa.eu/international-partnerships/system/files/join-2020-17-final\\_en.pdf](https://ec.europa.eu/international-partnerships/system/files/join-2020-17-final_en.pdf)

<sup>12</sup> [https://ec.europa.eu/international-partnerships/news/taking-forward-commitment-reducing-inequalities-human-rights-based-approach-toolbox-adopted\\_en](https://ec.europa.eu/international-partnerships/news/taking-forward-commitment-reducing-inequalities-human-rights-based-approach-toolbox-adopted_en)  
Page 9 of 19

The results oriented mission (ROM) report from 2018 noted that while TCF IV was managed through indirect management, the TCF V was managed through direct management. The report expressed concern that this change could affect the partnership between the EU and NAO; however, this has not been the case as the EU provides updates on the TCF to the NAO at the monthly portfolio meetings where the use of the funds is routinely agreed. The use of direct management has also aided with the NAO's workload, and enabled speedier implementation.

The Support Measures – Cooperation Facility will continue to be implemented via direct management and build on findings and recommendations of the 2018 ROM and successes and lessons learnt of the TCF VI in the effort to improve flexibility and agility in the provision of funds.

### 3.5 The Intervention Logic

The underlying intervention logic is to support the EU Zambia partnership. It will enable the EU to provide technical assistance and expertise in three areas: (i) support the MIP implementation; (ii) support the integration and mainstreaming of cross-cutting issues in EU's international cooperation and policies in the cooperation and partnership with Zambia; and iii) support EU policies and priorities in Zambia, and promote EU values and culture.

Through logistical training support, conferences, seminars or peer to peer exchanges, the capacity on EU-Zambia partnership will be improved. The active participation of a broad range of stakeholders, especially those representing people living in vulnerable situations, will ensure their interests are heard and lead to more effective interventions.

We will support and improve targeting and mainstreaming of cross-cutting issues through capacity building support to Government (duty bearers), CSOs (representing the right-holders voices) including women's organisations and human rights organisations, and the private sector as well as awareness-raising and visibility campaigns.

Strategic communication, fighting against disinformation, promoting access to information and participation and visibility activities will improve and consolidate the narrative on EU's cooperation and strategic partnership as well as increase the awareness of the Team Europe approach in Zambia.

The measures carried out by the facility will aid Government of Zambia's implementation of activities in the MIP's priority areas.

### 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 (@): Main expected results (maximum 10)	Indicators (@): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
<b>Impact</b>	Contributing to effectiveness of the EU-Zambia cooperation.	<p>Improvement of Zambia rating on the multidimensional poverty index.</p> <p>Perception of the quality of EU-Zambia partnership by key stakeholders (EU Delegation, Zambian public, including civil society, and Zambian Government Ministries).</p> <p>Country score or ranking in the World Justice Project Rule of Law Index</p> <p>Country ranking according to the Bertelsmann Transformation Index (BTI)</p> <ul style="list-style-type: none"> <li>- Political transformation</li> <li>- Governance</li> </ul>	To be established in the inception period	10% increase from the baseline	<p>Mid Term Review and Final evaluation of Cooperation Facility.</p> <p>WB and World Economic Forum report</p>	<i>Not applicable</i>
<b>Outcome 1</b>	Improved capacity of the Zambian government for effective management and coordination of EU funded interventions.	<p>1.1 Coordination unit in the government is fully operational</p> <p>1.2 Percentage of EU interventions applying gender and human rights-based approach</p> <p>1.3 Percentage of new actions that are gender responsive</p>	<p>1.1 0</p> <p>1.2 To be established in the inception period</p> <p>1.3 To be established in the inception period</p>	<p>1.1 60%</p> <p>1.2 100 ( per year)</p> <p>1.3 100 ( per year)</p>	EAMR	
<b>Outcome 2</b>	EU funded interventions apply a gender-sensitive approach (e.g. evaluation based on sex-disaggregated data) and an evidence based approach to their programmes and project management cycle.	<p>2.1 Percentage of interventions supported by evidence based and gender-specific or sex-disaggregated data research. (GAP III indicator)</p> <p>2.2 Percentage of research recommendation accepted by EU</p>	<p>2.1 0</p> <p>2.2 0</p>	<p>2.1 100%</p> <p>2.2 90%</p>	EAMR	<p>Political and social stability.</p> <p>The Government of the Republic of Zambia remains</p>

						committed to the implementation of the MIP 2021-2027.
<b>Outcome 3</b>	Improved awareness of EU priorities and EU MS – Zambia cooperation amongst Zambians.	3.1 Awareness level of EU MS and Zambia partnership	To be established in the inception period	3.1. – 10 %	EAMR	
<b>Output 1 related to Outcome 1</b>	Government Coordination Unit trained in Global Europe procedures, implementation MIP 2021-2027 and are fully equipped Coordination is fully equipped.	1.1.1 Number of trainings conducted on the new instruments. 1.1.2 Number of staff demonstrating capacity to implement the new instruments in the Government as a result of the trainings disaggregated by sex. 1.1.3 Number of staff trained in cross cutting issues such as gender and human rights based approach disaggregated by sex, 1.1.4 Number of staff trainings in designing and implementing gender responsive actions disaggregated by sex 1.1.5 Percentage of the units equipped	1.1.1 0 1.1.2 0 1.1.3 0 1.1.4 0 1.1.5 0	1.1 4 (per year) 1.1.2 8 1.1.3 8 1.1.4 8 1.1.5 70%	EAMR Progress reports	
<b>Output 2 related to Outcome 2</b>	Studies in support of the MIP 2021-2027 being conducted	2.2.1 Number of inception studies funded by TCF. 2.2.2 Number of thematic studies funded by TCF. 2.2.3 Number of sector specific analyses done undertaken through Cooperation Facility support. 2.2.4. Number of programme specific gender analysis done or updated (GAP III) 2.2.5. Number of days technical assistance provided	2.2.1 0 2.2.2 0 2.2.3 0 2.2.4 0	2.2.1. 2 (per year) 2.2.2 4 (per year) 2.2.3 1 2.2.4 1000 days	EAMR Progress reports	Willingness by the government, line ministries, non-state actors and implementing agencies to participate in activities funded by the EU.
<b>Output 3 related to Outcome 3</b>	Strategic communication activities implemented, reaching new audiences	3.1.1 Number of publicity events, consultations, trainings and workshops conducted through Cooperation Facility support.	3.2.1 0	3.1.1 4 (per year)	EAMR Progress reports	

		3.1.2 Percentage of communication activities implemented.	3.2.2 0	3.1.2 70%		
		3.1.3 Number of political dialogue meetings organised disaggregated by subject and type of participants (national authorities, civil society, women's organisations, etc).	3.2.3 0	3.1.3 3 ( per year)		

## 4. IMPLEMENTATION ARRANGEMENTS

### Financing Agreement

In order to implement this action, it is 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 entry into force of the financing agreement.

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 Budget Support

N/A

### 4.4 Implementation Modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures<sup>13</sup>.

#### 4.4.1 Direct Management (Grants)

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

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

Grants will be awarded to provide financial assistance to support the capacity for the implementation of output 1, output 2 and output 3.

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

Legal entities, natural persons or groupings without legal personality, local authorities, public bodies, international organisations, NGOs, economic actors such as SMEs or business associations, profit or non-profit organisations, political analysts, think tanks and EU Member State administrations or their mandated bodies and, when the activities under the grant necessitate, the Government of the Republic of Zambia.

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

Under the responsibility of the Commission's authorising officer responsible, a grant may be awarded without a call for proposals to the Government of the Republic of Zambia under outputs 1 and/or 2 and/or 3.

Under the responsibility of the Commission's authorising officer responsible, pursuant to Articles 195 (c) (de jure monopoly) of the Financial Regulation, the recourse to an award of a grant without a call for proposals is justified due to the fact that Government of the Republic of Zambia; has a legal mandate to undertake activities which fall under its competence and is responsible for formulating and implementing the relevant policies which are embedded in the EU-Zambia partnership. The action foresees improving the capacity of the Government for effective management and coordination of EU funded interventions, mainstreaming of transversal considerations in jointly formulated projects with the Government, and raising awareness of the EU including in Government.

#### 4.4.2 Prize(s)

N/A

<sup>13</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 Direct Management (Procurement)

EO1 – Government Coordination Unit trained in Global Europe procedures, implementation MIP 2021-2027 and are fully equipped.

Capacity of Government to manage interventions and actions that contribute to the quality of the EU cooperation and partnership with Zambia is enhanced:

A number of supply contracts for equipment and service contracts will be signed for technical assistance, cooperation or support to implementation, coordination, and exchanges; training, conferences and seminars; awareness-raising, strategic communication and visibility campaigns.

EO2 – Studies in support of the MIP 2021-2027 being conducted technical assistance being provided.

A number of service contracts will be signed for technical assistance, cooperation or support to implementation, coordination, and exchanges; training, conferences and seminars; awareness-raising, strategic communication and visibility campaigns; evidence-building studies, sectoral analyses focusing on Gender, youth and most vulnerable populations, research including publications and dissemination thereof.

EO3 – Strategic Communication:

A number of service contracts will be signed for technical assistance, cooperation or support to implementation, coordination, and exchanges; training, conferences and seminars; awareness-raising, strategic communication and visibility campaigns; CSO consultations, evidence-building studies, research including publications and dissemination thereof.

#### 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</b>	<b>EU contribution (amount in EUR)</b>
<b>Implementation modalities – cf. section 4.4</b>	
<b>Output 1 - Government coordination unit trained in Global Europe procedures, implementation MIP 2021-2027 and are fully equipped</b> composed of:	<b>1 200 000</b>
Grants (direct management) – cf. section 4.4.1	1 000 000
Procurement (direct management) – cf. section 4.4.3	200 000
<b>Output 2 - Studies, reports, technical assistance and activities concerning the implementation of EU-Zambia partnership are realised</b> composed of:	<b>2 600 000</b>
Grant – cf. section 4.4.1	500 000
Procurement (direct management) – cf. section 4.4.3	2 100 000

<b>Output 3 - Strategic communication composed of:</b>	<b>2 000 000</b>
Grants (direct management) – cf. section 4.4.1	200 000
Procurement (direct management) – cf. section 4.4.3	1 800 000
<b>Evaluation</b> – cf. section 5.2 <b>Audit</b> – cf. section 5.3	<b>200 000</b>
<b>Contingencies</b>	<b>N.A.</b>
<b>Total</b>	<b>6 000 000</b>

## 4.7 Organisational Set-up and Responsibilities

This action will be managed and implemented by the EU Delegation to Zambia and COMESA.

Due to the very nature of the Support Measures – Cooperation Facility, the majority of the contracts will be procured from consultancy firms and others. Each provider or grantee will be responsible for the attainment of each contract's specific objectives. As appropriate and in accordance with the partnership commitments of the Paris, Accra and Busan declarations the Support Measures – Cooperation Facility will use existing structures within the Government and among stakeholders without creating new parallel structures.

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

## 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. Indicators shall be disaggregated at least by sex. All monitoring and reporting shall assess how the action is taking into account the human-rights based approach and gender equality.

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).

Due to the nature of the Support Measures – Cooperation Facility, its main performance indicator will be the levels of commitment and disbursement of EU development cooperation resources in Zambia, especially focusing at the MIP 2021-2027. This will involve the successful identification, formulation, implementation and evaluation of financed actions.

An overall monitoring for the Cooperation Facility will be conducted through regular reports on the implementation of the Support Measures – Cooperation Facility with EU Delegation staff and the Zambia coordinating body, and at least bi-annually.

As described above, specific and objectively verifiable indicators will be identified and measured, according to the expected results and activities specified in the terms of references of each specific contract.

## 5.2 Evaluation

Having regard to the nature of the action, a final evaluation will be carried out for this action or its components via independent consultants contracted by the Commission. It will be carried out for accountability and learning purposes at various levels. All evaluation shall assess to what extent the action is taking into account the human rights-based approach as well as how it contributes to gender equality and women's empowerment. Expertise on human rights and gender equality will be ensured in the evaluations teams.

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

The evaluation reports may be shared with the partners and other key stakeholders following the best practice of evaluation dissemination. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, apply 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 the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audit or verification assignments for one or several contracts or agreements.

## 6. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

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

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

The present Action identifies as;

Action level		
<input checked="" type="checkbox"/>	Single action	Present action: all contracts in the present action