

## ANNEX 1

### **of the Commission Decision on the Annual Action Programme 2013 – Part 2 in favour of Intra-ACP cooperation to be financed from the 10<sup>th</sup> European Development Fund**

#### **Action Fiche for ACP-EU Natural Disaster Risk Management in the CARIFORUM**

#### **1. IDENTIFICATION**

Title/Number	<b>“ACP-EU Natural Disaster Risk Management in the CARIFORUM”</b>  Beneficiary Countries: Antigua and Barbuda, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Republic of Suriname, Republic of Trinidad and Tobago, Saint Christopher (St. Kitts) and Nevis, Saint Lucia, St. Vincent & the Grenadines, The Bahamas, The Dominican Republic  CRIS Number FED/024-192		
Total cost	Total cost, corresponding to the total amount of EDF contribution: EUR 20 000 000 00 (0.74% of Intra-ACP Multi Annual Indicative Programme)		
Aid method / Method of implementation	<i>Project approach</i> Direct centralized management Partially decentralized management with the Dominican Republic Joint management with the Caribbean Development Bank		
DAC-code	74010	<b>Sector</b>	Disaster Prevention and Preparedness

#### **2. RATIONALE**

##### **2.1. Sector context<sup>1</sup>**

The Forum of the Caribbean Group of African, Caribbean and Pacific (ACP) States (CARIFORUM) comprises small states with developing economies prone to natural hazards. Both hydro meteorological and climate related hazards, such as hurricanes, wind storms or floods, as well as geological hazards, such as earthquakes or volcanic eruptions are recurrent in the region. In these small states, **single catastrophic events can have a disproportionate negative effect on both the national and regional economies<sup>2</sup>**, also due to the interaction of a number of driving forces (in intensity and frequency) such as climate change, environmental degradation, demographic pressure, unplanned urban growth, trans-boundary nature of natural hazards, etc.

Such factors intensify the effects disasters have on people, in particular the poorest and most vulnerable, their assets and livelihoods and their ability to recover. Furthermore, they also strain the ability of the public sector in reconstruction efforts and lead to higher debt levels. **Disaster mitigation and resilience, the focus of this Programme, is therefore a particularly relevant and important component of economic policy in the region**, in the attempt to reduce exposure of governments to divert substantial resources for relief operations, recovery and reconstruction.

<sup>1</sup> Please refer to the list of acromyms at the end

<sup>2</sup> The economic and social losses following natural disasters in the Caribbean states are significant. According to the Centre for Research on Environmental Decisions (CRED) data base, around USD 1.5 billion are lost every year. With limited economic diversification and tourism and agriculture being two of the major foreign exchange earners for the Caribbean, natural disasters can mean devastation for local economies (source: European Commission’s Humanitarian Implementation Plan (HIP)/DIPECHO for the Caribbean for 2013, 23/10/2012.

Several initiatives, dating back to the 1980s, at both national and regional levels, have been designed to reduce this vulnerability. These include the establishment of regional and national institutional and legislative frameworks as well as the development of programmes to address preparedness, response, mitigation, prevention and recovery.

In 2001, the Caribbean Community (CARICOM), through broad based stakeholder consultations, adopted a strategy and results framework for **Comprehensive Disaster Management (CDM)** with the goal of integrating it into sustainable development decision-making and planning. This Strategy was revised in 2006, as a result of the need for greater emphasis on the reduction of disaster loss through better risk management.

The outcome of this revision process was the *Enhanced CDM Strategy and Programming Framework 2007-2012*<sup>3</sup>, on the enhancement of regional sustainable development. This has been closely aligned to the global and regional agendas such as the Hyogo Framework for Action, CARICOM's Regional Programming<sup>4</sup>, the Caribbean Single Market and Economy and the St. George's Declaration of Principles for environmental sustainability.

The Caribbean Disaster Emergency Management Agency (CDEMA) has been particularly engaged in these efforts, namely with the development of the *Enhanced CDM Strategy and Programming Framework (CDM)* and in strengthening regional and national capacities. Also the Caribbean Development Bank (CDB) has developed a strategic and proactive approach to Disaster Risk Management (DRM) in order to avoid further cycles of vulnerability and better secure its investments in the region. However addressing prevention, mitigation and preparedness to natural hazards has proven complex as it is still a slowly emerging issue in the policy agenda in the region, in particular among Ministries of Finance and Planning, and in linking national action with community level needs and priorities.

This Programme is the Caribbean component of the 10<sup>th</sup> EDF Intra-ACP Cooperation Strategy (2008-2013), in which the ACP Group and the EU recognise the need to increase efforts with regard to *ex ante* Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA). It is also anchored in the EU's general and specific guidelines on disaster resilience. In this regard, it responds directly to the implementation priorities B (Regional Action Plans on DRR) and C (Integration of DRR into EU's External Action) of the *EU Strategy for Supporting DRR in Developing Countries – Implementation Plan*<sup>5</sup> and 3 of the 5 priorities of the *Global Climate Change Alliance (GCCA)*<sup>6</sup>: adaptation to climate change, promotion of disaster risk reduction (DRR) and integration of climate change into poverty reduction efforts.

It also echoes the recommendations of the Communication *EU Approach to Resilience: learning from food security crises*, in particular, on the following aspects: i) anticipation of crises by assessing risks, ii) focus on prevention and preparedness and iii) enhancement of crisis response.

## **2.2. Lessons learnt**

Since 2007, two projects funded under the 9<sup>th</sup> EDF have been implemented by the Caribbean Disaster Emergency Management Agency (CDEMA). These are the *Institutional Support and Capacity Building for Disaster Management in the Caribbean Project*, and the Caribbean sub-regional component of the *ACP-EU Natural Disaster Facility (NDF)*. This Programme thus builds upon progress made through these previous projects, in particular the NDF, as it is its natural continuation.

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<sup>3</sup> Reference for the region in the process of extension, beyond 2012. The next programming cycle will seek to build on the national, sectorial and regional strengths, processes, partnerships, synergies and momentum gained thus far.

<sup>4</sup> CDM is a building block in the Implementation Plan for the Regional Framework for Achieving Development Resilient to Climate Change.

<sup>5</sup> COM (2009) 84 final and SEC (2011) 215 final, respectively.

<sup>6</sup> COM (2007) 540 final.

Recent reports emanating from a Result Oriented Monitoring (ROM) exercise conducted for this Caribbean component of the NDF (managed by CDEMA) and from other development partners also supporting Disaster Risk Management (DRM) in the region have highlighted several strengths and weaknesses which have been taken into consideration in the design of this Programme, among which:

- High relevance of the project and prospects of direct impact in contributing to enhancing the safety levels of the targeted populations;
- Highly participatory approach in project design, which in turns engendered a high level of ownership and buy-in;
- Dilution of control over implementation as a result of participation of a large number of partners and beneficiaries at the national and regional level;
- Responsiveness to national needs should be improved within the Comprehensive Disaster Management (CDM) framework;
- Clear synergies with the climate change agenda should be sought and interaction between Climate Change Adaptation (CCA) and Disaster Risk Reduction (DRR) practitioners and policy makers should be actively supported;
- Need for a comprehensive Management Information System (MIS) within CDEMA;
- CDEMA and National Disaster Offices (NDOs) need to put more emphasis in capturing tangible results and high quality outputs should be applied and used.

This Programme also results from a wide stakeholder consultation survey started in November 2012 (at the request of the CARIFORUM), which further validated the issues identified in the above-mentioned ROM. This Programme will also address the gaps and priorities as identified through these initiatives. Furthermore, the baselines provided for by CDEMA's DRM Audit<sup>7</sup>, and by the 2010 EU-financed study, "Technical Assistance to a study on the current actions and initiatives in the field of civil protection in the Caribbean in order to promote, enhance and reinforce the regional cooperation mechanisms", have been taken into consideration, in particular in identifying capacities, needs and gaps of DRM in the region.

Finally, this Programme will contribute to filling in the gaps between humanitarian and other development interventions, acknowledging CDEMA's key role in the region, as well as by serving as an anchor initiative that could further leverage coordinated DRR efforts in the region, in particular by mainstreaming it at the level of Ministries of Finance, Planning and Economic Development. The role expected from the Caribbean Development Bank (CDB) will be instrumental in this regard.

### **2.3. Complementary actions**

The Programme complements current national and regional EDF envelopes, on-going Intra-ACP programmes from the 9<sup>th</sup> and 10<sup>th</sup> EDF, the Directorate-General for Humanitarian Aid and Civil Protection (DG ECHO) DRR Programme (DIPECHO) for 2013, as well as activities supported by other donors including CDB, the Canadian International Development Agency (CIDA), the Australian Agency for International Development (AusAID), the United Kingdom's Department for International Development (DFID), the United Nations Development Programme (UNDP) and the United States Agency for International Development (USAID).

CDEMA has a number of on-going initiatives that complement this Programme, among which are the aforementioned *ACP-EU Natural Disaster Facility* (NDF with EUR 1.8 million) and the "CDM Harmonized Implementation Programme" (HIP Phase I, with USD 14.8 million, supported by CIDA, AusAID, DFID and CDEMA's participant states). Activities envisioned under this Programme, and as requested by CARIFORUM's members, have been developed with a view to carrying on HIP's

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<sup>7</sup> Assesses CDEMA's participant countries in their capacity for CDM in the areas of: administration and finance, institutional capacity, preparedness and response, mitigation and research, education, information and training.

activities when the latter ends (December 2014). CDEMA also supports *CARICOM's Regional Climate Change Strategy and Implementation Action Plan* (also supported by the EU and the CDB), which includes a significant component on DRR, that this Programme will be aligned with.

CDB, on the other hand has identified support to DRR and CCA among its 2010-2015 strategic objectives. As such, this Programme has also been designed to complement its operations in the region, through: i) the *Community Disaster Risk Reduction Fund (CDRRF)*, supported by CIDA and DFID, a multi-donor Trust Fund, focused on reducing vulnerability at the community/local level; ii) the *Climate Action Line of Credit*, which the CDB has received from the European Investment Bank (EIB), to address the severe vulnerability of CDB's borrowing member countries to the effects of climate change.

The Programme will complement DIPECHO for the Caribbean region (EUR 8.5 million for 2013, focused on community-based DRR). DIPECHO will prioritise its interventions on floods and hurricanes (all regions); exposure of densely populated urban areas (Cuba, Haiti, Dominican Republic, Jamaica); earthquakes & tsunamis (Dominican Republic, Cuba, Jamaica Haiti & Eastern Caribbean); drought (Haiti, Eastern Caribbean & Cuba). DIPECHO will deliver through local DRM; institutional linkages and advocacy; information, education and communications; small scale infrastructure and services and stock building of emergency relief items and training.

The UNDP has implemented the *Overseas Countries and Territories (OCTs) Regional Risk Reduction Initiative*, ended in December 2012 (funded by the EU with EUR 4.9 million between 2008 and 2012). The project sought to address the risk and exposure of the English and Dutch Overseas Countries and Territories (OCTs) in the Caribbean by providing a network of regional infrastructure, programmes, policies and protocols to strengthen their capacity to predict and prepare for natural hazards. The project outcomes evaluation was only recently completed and the lessons learned and the recommendations from that evaluation will be useful when further implementing this Programme, in particular during its inception phase.

The EU-financed *Global Climate Change Alliance (GCCA)* also supports the Caribbean Community Climate Change Centre (CCCCC), which is funding improved climate monitoring, data retrieval and space-based tools for DRR, which includes the installation of an additional 106 hydro-meteorological stations and 6 CREWS (Coral Reef Early Warning Stations) in the region. These outputs may be instrumental in relation to this Programme's Result 2 and CDB will seek coordination with the CCCCC in this regard.

Also the global GCCA's lessons and experiences on mainstreaming CCA and DRR will inform this Programme, in particular through the training package it has developed for CCA. This can be revisited to fully take into account of DRR and propose an integrated mainstreaming approach to the two issues.

**Coordination will be ensured in particular with two on-going EU-financed programmes:**

- 10<sup>th</sup> EDF Intra-ACP *ACP-EU Natural Disaster Reduction Programme (EUR 60 million)*, entrusted to the Global Facility for Disaster Reduction and Recovery (GFDRR). This programme has three main components that should build synergies with this programme, namely on its three main components i) regional and sub-regional initiatives, ii) technical assistance for disaster risk reduction and iii) fast-track recovery instruments to support post-disaster needs assessments and technical assistance in building-back better;
- *DCI Building Capacities for increased Public Investment in CCA and DRR 2012-2015 (EUR 7.5 million)*, entrusted to the United Nations Office for Disaster Risk Reduction (UNISDR). This project aims at building the capacity to account for disaster losses by developing national disaster loss databases, the capacity to assess and understand risks and build probabilistic country risk assessment models which provide for an overall picture of the main vulnerabilities and multi-

hazard risk. In this regard, the Programme will benefit from the work already accomplished under this initiative and build synergies in all its components on risk assessment and modelling of future risks.

## **2.4. Donor coordination**

This European Development Fund (EDF) contribution is in line with the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action, the EU Code of Conduct, the Busan Partnership for Effective Development Cooperation and, the most recent framework for action and follow-up measures stemming from the Rio+20. The Programme will further enhance donor coordination between the EU, the ACP States and other bilateral and multilateral donors present in the Caribbean, namely: Germany, Italy, United Kingdom, Australia, United States of America, United Nations Development Programme (UNDP), International Federation of the Red Cross (IFRC) and the World Bank.

Donor coordination in DRM in the Caribbean<sup>8</sup> occurs by way of information exchange for programming and implementation purposes through coordination mechanisms such as the CDM Coordination and Harmonization Council or the Eastern Caribbean Development Partners Group on DRM and CCA, as well as through subscription to a joint work programme.

The Programme's Steering Committee (PSC), and CDEMA's Coordinating Unit and CDB will facilitate donor and development partner coordination, through the existing regional mechanisms, including the CARIFORUM (therefore not excluding the Dominican Republic, which is not a member of CDEMA or CDB). Other donors may also be invited on a case-by-case basis as determined by the implementing partners in agreement with the EU Delegation to Barbados & OECS.

## **3. DESCRIPTION**

### **3.1. Objectives**

The **objective of the Programme** is to reduce vulnerability to long term impacts of natural hazards, including the potential impacts of climate change, thereby achieving regional and national sustainable development and poverty reduction goals in the CARIFORUM States.

The **purpose** is to strengthen regional, national and community level capacities for disaster risk reduction, preparedness, management and coordinated response to natural hazards and the effects of climate change.

### **3.2. Expected results and main activities**

#### **Result 1 - Capacity of National Disaster Offices (NDOs) and CDEMA's Coordinating Unit strengthened for implementation of Comprehensive Disaster Management (CDM)**

Activities under this result will:

- Strengthen capacities of National Disaster Offices (NDOs) and other relevant national agencies in the implementation of regional and national CDM Strategies and in prioritized technical areas;
- Strengthen CDEMA Coordinating Unit's capacities, as the main coordinating body for CDM in the region.

#### **Result 2 - National, local and regional resilience through strengthened early warning, national risk profiling and community-based DRR and CCA**

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<sup>8</sup> The Coordination does not, as yet, extend to the Dutch Antilles and the Dominican Republic.

Activities under this result will:

- Strengthen community/local-level capacity for resilience in CARIFORUM countries to the challenges posed by natural hazards and climate events in a number of identified and prioritized areas;
- Improve institutional capacities at regional<sup>9</sup> and national levels for early warning and data analysis, modelling and practical application<sup>10</sup>;

### **Result 3 - Sector resilience strengthened in key public policy sectors, through DRR and CCA mainstreaming**

Activities under this result will:

- Remove barriers and create opportunities for mainstreaming DRR and CCA in the public sector, particularly, at the level of Ministries of Finance, Planning and Economic affairs;
- Improve integration of DRR and CCA considerations into planning and decision-making frameworks at national and sub national levels in selected CARIFORUM countries;
- Make critical infrastructure in the transportation and water sectors in CARIFORUM countries more resilient to natural hazards and better prepared for climate change and climate variability.

**One of the key design advantages of this Programme is that it has been developed to be flexible and responsive to specific and priority DRM work-programme needs of the participant states,** based on the iteration of their own gaps, challenges and priorities and with a view to complementarities of other on-going initiatives. In addition, in order to achieve a high level of alignment with other development partners involved in DRM/DRR and CCA in the region, most of the funds to implement activities will be channelled through existing mechanisms established by the CDB and CDEMA and will seek to build upon recent progress made, as these are already financed by multiple donors.

**An indicative Logical Framework, including detailed activities and objective verifiable indicators (OVIS), will be annexed to the Financing Agreement.**

### **3.3. Risks and assumptions**

**The following risks are noted:**

- The impact of a disaster event on one or several CARIFORUM member states has the potential to delay or temporarily stop the implementation of the Programme activities within the affected countries and also in other related activities not directly affected. Implementing entities are thus expected to work with the relevant Programme's Steering Committee (PSC), the EU and the ACP Group to ensure that the affected Programme components are resumed as quickly as possible;
- Institutional and/or absorption capacity of community, national and regional authorities may be limited. Although the Programme aims to develop part of this capacity, its retention within the region is instrumental for long term success and sustainability.
- Regional programming for community DRR and CCA is under-developed. There is a wide spectrum of potential development programming approaches that can be pursued to enhance community resilience to DRR and CCA. The body of regional experience in “defining” and “delivering” CDRR and CCA approaches is small;

<sup>9</sup> For regionally mandated organizations only.

<sup>10</sup> This may include addressing the need to ensure an interface between meteorological and disaster management offices.

- Overlap with actions financed by other donors and/or EU-funded projects and programmes. However, seeking donor coordination for community, country and regional implementation is an integral part of the proceedings of the PSC.

**The success of this Programme is based on the following assumptions:**

- At the national level, the key assumption is that the political buy-in demonstrated thus far by governments and sub-regional organisations in the recognition of the importance of DRR/CCA will be translated in the continued allocation of the required human and technical resources to participate in regional and in-country activities. In this regard, the engagement of appropriate agencies (regional and national) in the Programme's implementation should ensure greater awareness and commitment by all political decision makers.
- Moving from response and disaster management to risk management is a paradigm shift to be accomplished in the region. As such the assumption is that advocacy at regional and national level is continued and promoted by this Programme, namely at the level of Ministries of Finance, Planning and Economic affairs respectively, which should be involved from the early stages of the Programme.
- The timely, effective and efficient implementation of this intervention requires that the key stakeholders identified below are able to absorb the available resources in terms of their demand for technical assistance services, supplies, etc., offered by the Programme. The implementing agencies would thus need to commit to engage in a process of continuous dialogue and advocacy with national, sub-regional and regional stakeholders to ensure that the policy commitments are adhered to and financial commitments are realized.
- The expected results identified and the actions proposed for each will build on the results and experiences of the Comprehensive Disaster Management Strategy (CDM) and related interventions and will provide the opportunity to further mainstreaming CDM and CCA into national development and for scaling up national and community level experiences for disaster mitigation and CCA.
- The Dominican Republic's Component is further detailed during the inception phase and during the preparation of the Programme Estimates and that activities fall within the spirit of the expected objectives and result areas for the overall Programme.

### **3.4. Cross-cutting Issues**

The main cross cutting issues in this Programme are gender, environmental sustainability, and stakeholder participation, especially at the community level. The Programme's goals are consistent with the European Consensus on Development which places a strong emphasis on community participation and awareness, the implementation of nationally agreed upon action plans, strengthening good governance and links with Civil Society. Furthermore, the Programme's objectives will contribute to environmental sustainability of the CARIFORUM States through the provision of information on potential risk from natural hazards and the strict compliance with internationally agreed best practices on environment-friendly resilient infrastructure, equipment and livelihoods.

Gender is a cross-cutting theme in the priority areas of the CDM Strategy and Programming Framework. The CDM Monitoring, Evaluation and Reporting Framework, developed in 2010, includes indicators for the measurement of gender issues at the policy and operational level. At the level of the CDM CHC, a gender working group is being set up which will assume responsibility for the consideration of gender issues in disaster management. In addition, efforts will be made throughout Programme implementation to promote the continued empowerment of women, men, girls and boys, and to ensure gender balance. The Gender Equality Screening Checklist that will be used in the Programme is provided for.

### 3.5. Stakeholders

- Member States of CARIFORUM through: the National Disaster Management Agencies/Offices (national and sub-regional focal points advising on and implementing strategies and activities at national level) and the line ministries of member states, in particular those of Finance and Planning (instrumental for improved cross-sector national advocacy, integration and effective and sustainable resource allocation for DRM and CCA) and those responsible for Climate Change issues;
- Communities impacted by meteorological, geological, climate related and other natural hazards in those Member States;
- Non-State actors including NGOs, civil society and the private sector which operate at the community and sector levels in those Member States;
- Regional policymakers, such as the Council of CDEMA, CARICOM Institutions, such as the Council for Trade and Economic Development (COTED);
- The Caribbean Development Bank (CDB);
- Regional specialist institutions like the Caribbean Meteorological Organization (CMO) and the Caribbean Institute for Meteorology and Hydrology (CIMH), the University of the West Indies Disaster Risk Reduction Centre (DRRC) and Seismic Research Centre, the Caribbean Community Climate Change Centre (CCCCC) as well as other technical regional institutions; Other ACP sub-regional organizations with a mandate on DRR that could benefit from lessons learned from this Programme, namely the members of the *ACP-EU Natural Disaster Facility*.
- Development partners present in the region.

## 4. IMPLEMENTATION ISSUES

### 4.1. Method of implementation

In order to implement this action, it is foreseen to conclude a Financing Agreement with the Secretary General of the ACP Group of States (Authorizing Officer of the Intra-ACP funds), referred to in Article 17 of Annex IV to the Cotonou Agreement.

The Programme will be partially devolved to the EU Delegation to Barbados & OECS (to supervise the implementation of the entire Programme, in particular contracts under Results 1 to 3, and to manage the contracts for communication, visibility, monitoring, evaluation and audit, as well as contingencies) and partially to the EU Delegation to Dominican Republic (to supervise contracts under the Dominican Republic's component).

**The following are the management modes per Result/Component:**

#### **Result 1: Direct centralized management**

Under the responsibility of the authorising officer by delegation, a direct grant will be awarded to Caribbean Disaster Emergency Management Agency (CDEMA). The objective of this direct award is to ensure implementation of the Result 1. The main fields of intervention will be regional coordination and capacity building.

Under the responsibility of the authorising officer by delegation, the recourse to an award of a **grant without a call for proposals** is justified because the beneficiary is in a legal monopoly situation. The Caribbean Disaster Emergency Management Agency (CDEMA) is the primary agency charged by the CARICOM with the responsibility for disaster management in the region. Under the CARICOM Treaty there are several institutions responsible for formulating policies and performing functions in relation to cooperation. A Minister of Government represents each Member State on each Institution. CDEMA is one of such full-fledged institutions of the CARICOM and the only one with a specific mandate on DRM.

The action will be **fully financed by the EDF** in accordance with Articles 109 of the Financial Regulation of the 10<sup>th</sup> EDF as it is essential for the action to be carried out. The essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management. Full financing is necessary for the implementation of the action as it is complementary to the efforts by other donors to support CDEMA in fulfilling its role in the implementation of the Caribbean Comprehensive Disaster Management Strategy (CDM) and to be able to deliver to its member-states accordingly.

CDEMA, the beneficiary, will be invited to submit a proposal, which will be assessed against essential and selection and award criteria.

The selection criteria will be the financial and operational capacity of the applicant and the award criteria will be the relevance of the proposed action to the objectives of the Programme, design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

### **Results 2 and 3: Joint Management**

A part of this action with the objective of implementing the activities under Results 2 and 3 will be implemented in joint management with the Caribbean Development Bank (CDB). Therefore a standard Contribution Agreement will be signed between the European Commission and the CDB. This is justified because of CDB's comprehensive approach to Disaster Risk Management (DRM) and Climate Change Adaptation, to avoid further cycles of vulnerability and better secure its investments in the region, as well as its recognized expertise in responding to requests from its member countries for assistance with post-disaster rehabilitation.

Joint management with the CDB in accordance with Article 29 of the Financial Regulation of the 10<sup>th</sup> EDF is possible because the Programme is elaborated jointly between the CDB and the European Commission. The international organisation complies with the criteria provided for in the applicable Financial Regulation.

The CDB will be entrusted with **budget-implementation tasks**, such as contract-management cycle.

The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the international organisation.

### **Dominican Republic's Component: Partially decentralized management**

The Dominican Republic is a member-state of the CARIFORUM and thus among the expected beneficiary countries of this Intra-ACP financed Programme. However, this partner country is not a member of CDEMA or of the CDB. To address this issue, it has been agreed by all the parties that the Dominican Republic would benefit from the Programme through actions to be contracted by its National Authorising Officer (NAO), in line with the programme's main objective and purpose. At the request of the CARIFORUM, EUR 2 200 000 will thus be earmarked for this specific component.

As such, part of this action, with the objective of implementing the Dominican Republic's Component, will be implemented in partially decentralised management in accordance with Articles 21 to 23 of the 10<sup>th</sup> EDF Financial Regulation 215/2008. The ACP Secretariat, as Regional Authorizing Officer will delegate its powers as contracting authority to the Dominican Republic National Authorising Officer.

The partner country will act as the contracting authority for the procurement and grant procedures. The Commission will control *ex ante* all the procurement procedures except in cases where programme estimates are applied, under which the Commission applies *ex ante* control for procurement contracts

> EUR 50,000 and may apply ex post for procurement contracts ≤ EUR 50,000. The Commission will control ex ante the contracting procedures for all grant contracts.

Payments are executed by the Commission except in cases where programme estimates are applied, under which payments are executed by the partner country for operating costs and contracts up to the ceilings indicated in the table below.

The responsible Authorising Officer ensures that, by using the model of financing agreement for decentralised management, the segregation of duties between the authorising officer and the accounting officer or of the equivalent functions within the delegated entity will be effective, so that the decentralisation of the payments can be carried out for contracts up to the ceilings specified below.

<b>Works</b>	<b>Supplies</b>	<b>Services</b>	<b>Grants</b>
< 300,000 EUR	< 300,000 EUR	< 300,000 EUR	≤ 100,000 EUR

The financial contribution covers the ordinary operating costs deriving from the programme estimates.

The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the beneficiary partner country.

The EU Delegation to Dominican Republic will supervise the implementation of the respective contracts and liaise and coordinate with the EU Delegation to Barbados & OECS to ensure the alignment of this component with the overall Programme.

#### **4.1.2. Governance**

A Programme Steering Committee (PSC) chaired by CARIFORUM, will be set-up to advise and provide overall strategic direction of the Programme and will be responsible for reviewing progress and achievements, reports and work programmes. The PSC will actively seek and support coordination and ensure complementarities with on-going actions and existing strategies. It will safeguard against duplication with other activities financed either by the EU and/or other donors.

The ACP Group is represented through the CARIFORUM. However, the ACP Secretariat's Assistant Secretary General, responsible for the 10<sup>th</sup> EDF Intra-ACP funds for Disaster Risk Reduction, will be invited to participate in the PSC in order to ensure the coherence with the implementation of the other components of the intra-ACP envelope for DRR, i.e. Africa and the Pacific. CARIFORUM, CDB, CDEMA and the EU Delegations to Barbados & OECS and to the Dominican Republic (ECHO's office for the region may be mobilised by the EU Delegations whenever necessary) will form the PSC.

At the discretion of the Programme Steering Committee (PSC), the DFID's Office to the Caribbean, the United Nations Office for Disaster Risk Reduction (UNISDR) and the World Bank led Global Facility for Disaster Reduction and Recovery (GFDRR) may also be invited to participate with observer status, to ensure complementarities and synergies with the projects managed by both partners on behalf of the EU in the region and to avoid any eventual overlaps. The CARICOM and Organisation of East Caribbean States (OECS) Secretariats may be invited to participate, with an observer status as well as other EU member states and CARIFORUM member states country representations, all with observer status and on a rotational basis or on any other modality decided by the PSC.

The PSC will meet in-person once per year and once virtually, through video-conference, and/or on an ad hoc basis whenever necessary. Final Governance Arrangements will be agreed by the Steering Committee at early stages of the Programme.

## 4.2. Procurement and grant award procedures

### 1) Contracts

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

Participation in the award of contracts for the present action shall be open to all natural and legal persons covered by EDF. Further extensions of this participation to other natural or legal persons by the concerned authorising officer shall be subject to the conditions provided for in Article 20 of Annex IV of the Cotonou Agreement.

### 3) Specific rules on programme estimates:

All programme estimates must respect the procedures and standard documents laid down by the Commission, in force at the time of the adoption of the programme estimates in question.

### 4) Joint Management

All contracts implementing the action are awarded and implemented in accordance with the procedures and standard documents laid down and published by the relevant International Organisation

## 4.3. Budget and calendar

The foreseen implementation period of the Financing Agreement will be 60 months, as from the signature of the Financing Agreement. The total project cost is estimated at EUR 20 000 000, to be financed from the 10<sup>th</sup> EDF Intra-ACP Indicative Programme, in the framework of the revised ACP-EU Partnership Agreement. The tentative breakdown of the budget is as follows:

<b>Results/Components of the Programme</b>	<b>Management Mode</b>	<b>Total Estimated Costs EDF Costs (EUR)</b>
<b>Result 1</b>	Centralised direct (CDEMA)	4 470 000
<b>Result 2</b>	Joint Management (CDB)*	12 294 300
<b>Result 3</b>		
<b>Dominican Republic Component</b>	Partially Decentralised (DR NAO)	2 200 000
<b>Communication &amp; Visibility</b>	Centralised direct (EU Delegation Barbados)	285 700
<b>Monitoring, Evaluation &amp; Audit</b>		300 000
<b>Contingencies**</b>		450 000
<b>TOTAL</b>		<b>20 000 000</b>
<p><i>*The maximum fixed percentage of direct eligible costs is applied (7%) given the specificities of the region such as the number of countries covered by the action and the geographical dispersion and/or access to the most disaster prone areas</i></p> <p><i>**The EU contribution to "Contingencies" can only be mobilised by the European Commission</i></p>		

## 4.4. Performance monitoring

Overall monitoring of the Programme's implementation will be a responsibility of the Caribbean Disaster Emergency Management Agency (CDEMA) Coordinating Unit, in close coordination with the remaining implementing partners, i.e. the Caribbean Development Bank (CDB) and the National Authorising Officer of the Dominican Republic. Overall supervision of this process will be ensured by

the EU Delegation to Barbados & OECS and, for the Dominican Republic's Component by the EU Delegation to the Dominican Republic.

Each component of the Programme will be monitored in accordance with standard EU monitoring procedures. Key quantified indicators will measure performance. Performance will be assessed against the targets set out in the Indicative Logical Framework (objectively verifiable indicators - OVIS). The latter, sources of verification and assumptions will be further streamlined during the Inception Phase for the entire intervention logic to allow for an effective monitoring of the complete Programme implementation.

CDEMA will function as the secretariat of the Programme's Steering Committee (PSC). Irrespective of the contract related reports (narrative and financial), quarterly narrative reporting and an annual global report should be provided for by CDB, CDEMA's Coordinating Unit and the NAO of the Dominican Republic, against the indicators agreed upon during the Inception Phase. Overall coordination of these reports will be ensured by the CARIFORUM, through CDEMA as secretariat of the PSC and collated into one stand-alone document. The EU Delegation to Barbados & OECS will coordinate with the EU Delegation to the Dominican Republic in order to ensure timely delivery to CDEMA of the elements to be provided for by its NAO.

The implementing partners should also provide information on the Programme's performance through CDEMA as Secretariat of the PSC, whenever requested by the following authorities: CARIFORUM, the ACP Secretariat and the European Commission. External consultants may be recruited to support the process. Regular briefs to the European Commission and the ACP Committee of Ambassadors on the progress of this Programme shall be provided through CDEMA as the PSC's Secretariat.

The Programme Steering Committee (PSC) will be able to oversee general implementation of activities, approve annual work programmes, reviewing performance and assess impact.

All procedures and standard documents used will be those laid down by the European Commission, in force at the time of the adoption of the contracts implementing this programme. Day-to-day technical and financial monitoring of the programme will be an on-going process undertaken as part of the Beneficiaries' responsibility. To this end, the Beneficiaries shall establish permanent internal technical and financial monitoring systems for the Programme, which will be used to inform the annual and intermediate programme reports.

Apart from this, external mid-term reviews through project life cycle are proposed to independently evaluate progress and effectiveness and subsequently recommend areas that need improvement, to be contracted by the European Commission. The latter may also launch results oriented monitoring (ROM) exercises as convenient using the Programme's respective budget heading. Independent consultants recruited directly by the Commission on specific terms of reference will carry out external monitoring missions as needed.

#### **4.5. Evaluation and audit**

An evaluation of the Programme will be conducted by independent consultancy at the mid-term and again at the end of the programme to ascertain how the objectives and purposes of the Programme are fulfilled and to assess the sustainability, impact, effectiveness, efficiency and relevance of the Programme.

A provision for Audit is included in the budget of the Financing Agreement. Audit and evaluation contracts & framework contracts are to be managed by the European Commission acting for and on behalf of the ACP Secretariat (the terms of reference will be coordinated with the ACP Secretariat and contracted by the European Commission).

#### **4.6. Communication and visibility**

All communication and visibility activities will be undertaken in accordance with the Communication and Visibility Manual for EU External Actions. The manual mainly covers the written and visual identity of the EU. It sets out the requirements and guidelines for briefings, and all other tools used to highlight EU participation. These should be multi-lingual, where appropriate.

**A Knowledge, Communication and Visibility Plan should be submitted for the approval of the Programme Steering Committee (PSC) at the early stages of the Programme's implementation.** Lessons and experiences from the Programme should be collected and disseminated with a view to inform other relevant ACP and EU financed projects or programmes in a spirit of reciprocity. The EU Delegation to Barbados & OECS will ensure that these links are established.

The Programme is given maximum visibility in all activities, reports and media releases, written material, press conferences, publicity material, presentations, invitations, signs, commemorative and/or other plaques, CDEMA and CDB's respective websites. In this regard, all materials should include the reference "with the financial support from the European Union in the framework of the *ACP-EU Natural Disaster Risk Management in the CARIFORUM* and carry the EU and ACP's logos. When appropriate, materials (communication and training) may be replicated for use in other ACP countries (e.g. in Africa and in the Pacific).

The EU Delegation to Barbados & OECS and in liaison with the EU Delegation to the Dominican Republic, the CARIFORUM, CDB and CDEMA will also organise suitable Programme inauguration and handing over ceremonies aiming at the presence of local and international media, to ensure commensurate donor visibility but also enhance awareness of funded interventions and challenges in the DRM sector in the countries. Furthermore, frequent visits to Programme related sites to promote public awareness actions during implementation and in the presence of the local media and announcements in printed and electronic media shall be implemented.

## Appendix – List of acronyms

ACP:	African, Caribbean and Pacific States
AusAID	Australian Agency for International Development
CARICOM:	Caribbean Community,
CARIFORUM:	Forum of the Caribbean Group of African, Caribbean and Pacific (ACP) States
CCA	Climate Change Adaptation
CCCCC	Caribbean Community Climate Change Centre
CDB	Caribbean Development Bank
CDEMA	Caribbean Disaster Emergency Management Agency
CDM	Comprehensive Disaster Management
CDRRF	Community Disaster Risk Reduction Fund
CHC	Coordination and Harmonization Council
CIDA	Canadian International Development Agency
CIMH	Caribbean Institute for Meteorology and Hydrology
CMO	Caribbean Meteorological Organization
CREWS	Coral Reef Early Warning Stations
COTED	Council for Trade and Economic Development
DFID	United Kingdom’s Department for International Development
DIPECHO	DG ECHO’s DRR Programme
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DRRC	University of the West Indies Disaster Risk Reduction Centre
EDF	European Development Fund
EIB	European Investment Bank
GCCA	Global Climate Change Alliance
GFDRR	Global Facility for Disaster Reduction and Recovery ()
HIP	Harmonized Implementation Programme
IFRC	International Federation of the Red Cross
MIS	Management Information System
NAO	National Authorising Officer
NDF	Natural Disaster Facility
NDO	National Disaster Offices
OCTs	Overseas Countries and Territories
OECS	Organisation of Eastern Caribbean States
OVIS	Objective Verifiable IndicatorS
PSC	Programme’s Steering Committee
ROM	Result Oriented Monitoring
UNDP	United Nations Development Programme
UNISDR	United Nations Office for Disaster Risk Reduction
USAID	United States Agency for International Development

## ANNEX 2

### of the Commission Decision on the Annual Action Programme 2013 – Part 2 in favour of Intra-ACP cooperation to be financed from the 10<sup>th</sup> European Development Fund

#### Action Fiche for Building Disaster Resilience to Natural Hazards in Sub-Saharan African Regions, Countries and Communities

##### 1. IDENTIFICATION

Title/Number	“ <b>Building Disaster Resilience to Natural Hazards in Sub-Saharan African Regions, Countries and Communities</b> ” CRIS number: 024-496		
Total cost	Total estimated cost: EUR 68 000 000  Total amount of EDF contribution: EUR 60 000 000  Third Party Contribution: EUR 8 000 000: (This action is co-financed in parallel co-financing by UNISDR for an amount of EUR 3 000 000 and by WB-GFDRR for an amount of EUR 5 000 000)		
Aid method / Method of implementation	Project Approach  Direct centralised management (grant-direct award to the African Union Commission and procurement of services)  Joint management with: United Nations Office for Disaster Risk Reduction, African Development Bank and World Bank		
DAC-code	74010	Sector	Disaster Prevention and Preparedness

##### 2. RATIONALE AND CONTEXT

###### 2.1. Summary of the action and its objectives<sup>11</sup>

The effects of demographic pressure, unplanned urbanisation, biodiversity loss, land and eco-systems degradation, climate change, and complex economic globalisation trends, may partially explain the increase and intensity of disasters worldwide. However, it is a fact that natural hazards disproportionately affect lower-income countries and those who benefit least from wealth creation owing to economic globalisation. **In Africa, in particular, various forms of vulnerability have the potential to amplify minor hazard events into major disasters.** In 2011 and 2012 alone, 148 occurrences were recorded, including 19 droughts and 73 flood events, that killed over 6200, affected almost 51 million Africans and caused more than USD 1,94 billion in economic losses. These disrupt the normal functioning of states, economies and development efforts at large, seriously undermining their prospects of achieving the Millennium Development Goals.

A holistic approach to building disaster resilience and to secure development gains in Africa, based on accurate risk information and improved decision support systems, is thus needed. Prevention and disaster management can also enhance competitiveness and strengthen resilience<sup>12</sup> to increasing global

<sup>11</sup> Please refer to the list of acronyms at the end.

<sup>12</sup> Resilience is the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks, in *The EU Approach to Resilience: Learning from Food Security Crises*, COM (2012) 586 final.

risks and shocks, in particular in times of economic crisis, when EU development assistance must deliver the greatest direct benefits for cost. As such, the **development aim** of this Programme is to strengthen the resilience of sub-Saharan African regions, countries and communities to the impacts of disasters, in order to reduce poverty and promote sustainable development. The **purpose** is to provide the analytical basis and accelerate the effective implementation of a comprehensive disaster risk reduction (DRR) framework for the continent.

## **2.2. Regional context (Economic and social situation and poverty analysis)**

GDP in Sub-Saharan Africa has increased by 4.9% in 2011, slightly above 2010, which registered 4.8%. The number of people in Sub-Saharan Africa living on less than USD 1,25/day has started to fall after a peak of 395 million in 2005. Still, one-third of the world's poorest people live in the region. While extreme poverty figures have fallen, the number of people living on less than USD 2/day continues to rise. Disasters contribute to between 3% and 15% of annual loss of GDP in African countries and two of the most damaging disasters, droughts and floods, are responsible for 79% and 18% losses of GDP respectively (ratio economic loss to GDP exposure is highest in Sub-Saharan Africa).

### **2.2.1. Regional development policy**

Overall development policies in Sub-Saharan Africa are aligned with Poverty Reduction Strategies (PRSP) and/or EU-financed Country and/or Regional Strategy Papers (CSP/RSP), thus largely dependent on Official Development Assistance. However, few PRSPs or CSPs prioritize disaster risk reduction (DRR) or disaster risk management (DRM) as focal sectors, with the exception of the 10<sup>th</sup> EDF Intra-ACP Cooperation Strategy (2008-2013) envelope for DRR, which draws from the Secretariat of the African Caribbean and Pacific Group of States' approach to this subject<sup>13</sup>.

African governments and Regional Economic Communities (REC), under the aegis of the African Union Commission (AUC), adopted the Extended Programme of Action for the Implementation of the Africa Regional Strategy for DRR (PoA), in line with the Hyogo Framework for Action (HFA). The PoA sets out strategic areas of intervention, offers policy guidance at regional level as well as key activities, expected results, measurable indicators and mechanisms for coordination and support. Coordination of this framework is ensured by the AUC and RECs through the African Working Group on DRR (AWGDRR). Also five of these RECs have established DRR policies and/or strategies based on the priorities for action of both the HFA and the PoA: Economic Community of West African States (ECOWAS), Intergovernmental Authority on Development (IGAD), East African Community (EAC), Economic Community for Central African States (ECCAS) and Southern African Development Community (SADC).

Also the 4<sup>th</sup> Africa Regional Platform for DRR<sup>14</sup> called for a commitment on: (i) *DRR at the regional level*; (ii) *DRR at the sub-regional level*; (iii) *increased political commitment and DRR investment*; (iv) *risk identification, monitoring and early warning*; (v) *resilient cities in Africa*; and (vi) *reducing risk – climate change adaptation (CCA) and emerging regional challenges*. Precisely, the proposed Programme will contribute to address many of these issues.

Despite this engagement at all levels, the prevention, mitigation of and preparedness to natural hazards is still an emerging issue in the policy agenda of many African governments. The latter, as well as donors, are far from reaching the agreed DRR investment targets of 10% for all humanitarian aid, 1% of all development assistance, and 30% of CCA funding going to DRR.

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<sup>13</sup> ACP Concept Note on DRR, 29/032/08, Rev.2, approved by the ACP Committee of Ambassadors.

<sup>14</sup> Arusha, United Republic of Tanzania, 13-15 February 2013.

### 2.2.2. Sector context: policies and challenges

Weather, water and climate-related hazards, in particular drought, floods, sand and dust storms and cyclones dominate the disaster profile of Sub-Saharan Africa, with serious implications in sustainable water supply, health, food security, agricultural productivity, livelihoods and fiscal risk management.

In this regard, and although the Programme will follow a multi-hazard approach, thus not excluding support to geological hazards, formulation has confirmed a set of challenges, already identified during the identification phase:

- Lack of development-oriented and comprehensive approaches to DRM and DRR;
- Inadequate institutional and resource support for regional, sub-regional and national DRM;
- Inadequate data on losses and insufficient use of scientific tools for decision-making;
- Direct and indirect economic and social costs of disasters not accounted for in fiscal and budgetary policies due to lack of accurate measure of losses;
- Inadequate strategies for long-term post disaster recovery, reconstruction and development;
- Limited ability of weather services to produce timely and high quality service and products for DRR, including community-focused early warning systems with sufficient lead time;
- Lack of regional climate centres in parts of Africa;
- Poor communication on natural hazards and risks results in low level of public awareness.

As disasters have flow-on effects to entire countries and sub-regions, a fully integrated, all-sector approach, is needed. Therefore this Programme proposes a complete cycle of DRM measures and capacity building, through risk identification and assessment, risk reduction and preparedness, risk financing and resilient recovery and reconstruction. Also *momentum* for investment in DRR should be sustained by fully mainstreaming it into regional and sub-regional development policies and by securing funding for full implementation of DRR plans, as requested by the 4<sup>th</sup> Africa Regional Platform for DRR.

In line with the Joint Africa-EU Strategy, the AUC and the RECs reiterated a request to the ACP Secretariat, as the Authorising Officer for the 10<sup>th</sup> EDF Intra-ACP funds, and the European Commission to support a comprehensive approach to DRR<sup>15</sup> (from policy to operations; from the continent to communities; from better risk information to better decision support systems).

Hence, this Programme is the Africa component of the 10<sup>th</sup> EDF Intra-ACP envelope for DRR and it is anchored in the EU's general and specific guidelines on disaster resilience, such as the *EU Strategy for Supporting DRR in Developing Countries – Implementation Plan*<sup>16</sup> or the *GCCA*<sup>17</sup>. This Programme will contribute directly to the *EU's Action Plan for Resilience 2013-2020*, in its "Implementation priority 1 - EU support to the development and implementation of national and regional resilience approaches, capacities and partnerships". This Action Plan follows the *EU Communication on Resilience*<sup>18</sup> and is in line with the Council Conclusions of 28 May 2013.

### 2.3. Lessons learnt

A series of consultations with African stakeholders, in particular in the context of the 9<sup>th</sup> EDF *ACP-EU Natural Disaster Facility*, and with development actors, have highlighted the need to coordinate DRR measures with development and investment efforts, to respond to:

- Lack of focus on partner entities with DRR mandates resulting in weak coordination;

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<sup>15</sup> Meeting of the AWGDRR, Johannesburg, South Africa, 18-19 April 2013.

<sup>16</sup> COM (2009) 84 final and SEC (2011) 215 final, respectively.

<sup>17</sup> COM (2007) 540 final.

<sup>18</sup> The EU Approach to Resilience: Learning from Food Security Crises, COM (2012) 586 final.

- Need to translate DRR legislation and policies into adequately-resourced programmes;
- Weak national institutions with insufficient African expertise;
- Capacity constraints within governments to effectively engage with donors;
- Lack of risk financing solutions to finance recovery and reconstruction;
- Poor tailoring of DRR products (climate, weather and hydrological extreme events);
- Lack of more holistic trans-boundary assessments and early warning systems;
- Poor awareness and visibility of actions.

#### 2.4. Complementary actions

This Programme complements current national and regional EDF envelopes, on-going Intra-ACP programmes, in particular those with a DRR specific orientation, as well as activities supported by other donors. It will seek to complement the existing and planned resilience related interventions at the national and regional level, including in those in the framework of *Supporting the Horn of Africa's Resilience* (SHARE) and *Global Alliance for Resilience Initiative in the Sahel* (AGIR). Synergies will be sought, in particular, with the following initiatives:

**10<sup>th</sup> EDF ACP-EU Natural Disaster Reduction Programme** (EUR 60 000 000), entrusted to the World Bank-led Global Facility for Disaster Reduction and Recovery (GFDRR), foresees a specific window for interventions at regional and sub-regional level. This window will receive a top-up to further support the REC's DRR strategies and, in this way, complement this Programme. The GFDRR will also ensure the implementation of result 5 of this Programme.<sup>19</sup>

**10<sup>th</sup> EDF "Monitoring for Environment and Security in Africa- MESA "** (EUR 37 000 000), which collects large quantities of raw data for climate purposes. Through this Programme, it will be possible to further select, organize and analyse that data for DRR purposes, taking into account relevant socio-economic data. This Programme will complement MESA with additional forecasting capabilities, real-time information delivery mechanisms to respond to DRR early-warning requirements and promote the integration of climate risk assessments in risk disaster planning and development assistance strategies.

**Development Cooperation Instrument (DCI): Building Capacities for increased Public Investment in CCA and DRR 2012-2015** (EUR 7 500 000), entrusted to the United Nations Office for Disaster Risk Reduction (UNISDR), supporting the systematic accounting of disaster losses and the development of probabilistic estimations of future risks. This Programme will also support the development of national disaster loss databases and estimation of recurrent economic losses in Sub-Saharan Africa.

**10<sup>th</sup> EDF support to "ClimDev DEV Africa"** (EUR 8 000 000) under the responsibility of the African Development Bank (AfDB), supports African climate and weather institutions to provide climate information services and analysis for policy makers. This Programme will allow ClimDev's Africa Special Fund to become operational and to further expand those services most specifically for DRM/DRR purposes.

The **Global Climate Change Alliance (GCCA)**'s lessons and experiences on mainstreaming CCA and DRR will inform this Programme, in particular through the training package it has developed for CCA. This can be revisited to fully take into account DRR and propose an integrated mainstreaming approach to the two issues.

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<sup>19</sup> For the purpose of this Programme, Result 2 will be funded through a rider to a separate decision (2010/22-103), under the 10<sup>th</sup> EDF Intra-ACP. A total of EUR 20 000 000 will top-up that on-going decision "ACP EU Natural Disaster Risk Reduction Programme", managed by the World Bank-led GFDRR. The GFDRR will ensure an active dialogue and commitment with the AUC, through the Steering Committee, to ensure coordination and complementarity with the overall Programme.

The proposed action will also take into account and see to complement the European Commission's Humanitarian Aid and Civil Protection's **Humanitarian Implementation Plans (HIP)** for the Horn, West and Sahel sub-regions, as well as its **DIPECHO** programmes, supporting community-based DRR. Bridging the gap between this dimension and that of central governments, so as to better ensure sustainability of DIPECHO's projects will be a valuable contribution by this current Programme, especially in an LRRD approach (linking relief, rehabilitation and development).

This Programme is fully in line with the AUC's formal statement at the *Global Platform for DRR 2013* in relation to the post-2015 HFA, emphasising the need to: *i) strengthen and deepen coordination between national platforms and the Regional Platform, thereby enhance prospects for the implementation of the Africa Regional Strategy for DRR and ii) invite/call on partners to support RECs and the AUC to build relevant capacities to address DRR.*

It is also coherent with the *Communication on Resilience*, as this Programme will contribute to embedding DRR and resilience in national and regional policies and planning as a part of their development process.

## **2.5. Donor coordination**

This EDF contribution is in line with the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action, the EU Code of Conduct, the Busan Partnership for Effective Development Cooperation and the most recent framework for action stemming from the Rio+20. The Programme will further enhance donor coordination with bilateral and multilateral donors present in Sub-Saharan Africa. This will occur through coordination mechanisms such as the African Working Group on Disaster Risk Reduction (AWG) or the EU DRR Strategy's coordination mechanisms with EU Member States. The *EU's Action Plan for Resilience* will also provide for a coordination framework and consultation *forum* among development partners and donors. This Programme results from a coordinated effort with development partners to tackle resilience in Africa. It will directly contribute to the *Action Plan* and will be subject to its results framework.

The Programme's Steering Committee will also bring together implementing partners, which are key development actors in Africa, such as the AfDB, UNISDR or the World Bank-led GFDRR. Proposed activities should only be undertaken if they do not conflict with others financed by other donors in the region. The European Commission, the ACP Secretariat (authorising officer for the Intra-ACP funds) and the AUC, in its coordination mandate for DRR in Africa, through its Department of Rural Economy and Agriculture (DREA), will actively seek and support coordination and ensure complementarities with on-going actions and existing strategies.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The **overall objective** of the Programme is to strengthen the resilience of sub-Saharan African regions, countries and communities to the impacts of natural disasters, including the potential impacts of climate change, in order to reduce poverty and promote sustainable development.

The **purpose** of the Programme is to provide the analytical basis and accelerate the effective implementation of an African comprehensive disaster risk reduction and risk management (DRR and DRM) framework (institutional, political, normative, risk identification and assessment, risk reduction, early warning, preparedness and response risk financing for resilient recovery and reconstruction).

### **3.2. Expected results and main activities**

- R1** Extended Programme of Action for the Implementation of the Africa Regional Strategy for Disaster Risk Reduction (PoA 2006-2015) operational, through the improved AUC's coordination and monitoring capacity. To be implemented by the AUC and the UNISDR.
- R2** African Regional Economic Communities (RECs) have DRR coordination, planning and policy advisory capacities operational to support their respective member states and regional and sub-regional programmes. To be implemented by the GFDRR.<sup>20</sup>
- R3** Core capacities of the specialised national and Regional Climate Centres (RCCs) are improved, to meet the needs of DRM agencies and socio-economic sectors for effective use of weather and climate services and community-focused and real-time early warning systems. To be implemented by the AfDB.
- R4** African countries have improved knowledge of risks through, the compilation of historical disaster related data to inform the assessment and modelling of future risks. To be implemented by the UNISDR.
- R5** Multi-risk financing strategies are developed at regional, national and local levels to help African countries make informed decisions, to improve their financial response capacity post disaster and to mitigate the socio-economic, fiscal and financial impacts of disasters of African countries. To be implemented by the GFDRR.

**Activities under Result 1 will:**

- Improve the coordination and monitoring mechanisms of the AUC to implement the PoA;
- Establish reporting mechanisms of the Programme and monitoring of the PoA;
- Develop and implement advocacy and communication tools;
- Ensure political commitment and representation of African leaders on DRR *fora*;
- Provide education and training on DRM/DRR, making knowledge more accessible through networks and coalitions, tools and capacity development.

**Activities under Result 2 will<sup>21</sup>:**

- Strengthen RECs coordination, planning and policy advisory capacity for DRM as well as to provide advice and technical assistance to member states in developing national DRR programmes ;
- Enhance regional knowledge on DRM frameworks for strategy development;
- Improve cooperation and networking between global, regional, and national research institutions;
- Improve regional capacity for post disaster needs assessments and recovery planning.

**Activities under Result 3 will:**

- Build capacity of National Meteorological and Hydrological Services (NMHS);
- Strengthen the communication between NMHS and DRM authorities to ensure delivery of appropriate, relevant and timely “early warning” information at national level;
- Provide DRR Hydromet infrastructure;
- Provide thematic and institutional support.

**Activities under Result 4 will:**

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<sup>20</sup> For the purpose of this Programme, Result 2 will be funded through a separate on-going programme (decision 2010/22-103), also financed by the 10<sup>th</sup> EDF Intra-ACP envelope. This will be achieved through a EUR 20 million top-up to the on-going "ACP EU Natural Disaster Risk Reduction Programme", managed by the World Bank-led GFDRR. This will allow the earmarking of ECOWAS, ECCAS, IGAD and SADC as the main beneficiaries.

<sup>21</sup> See footnote 9.

- Build capacity of countries to account for and analyse disaster losses;
- Develop capacity of countries to understand and utilize analytical risk assessments and to estimate the full spectrum of risk the country faces;
- Develop capacity of countries to incorporate CCA and DRR into public investment and development planning systems;
- Make the Programme's experience available to the global community through the Global Assessment Report (GAR) or other relevant publications.

#### **Activities under Result 5 will:**

- Strengthen capacities of countries to generate, access, and use information on disaster risk, including the development of hazard, exposure and vulnerability input datasets;
- Strengthen capacities of countries to incorporate disaster risk information in decision making;
- Develop strategies to increase financial resilience against natural hazards;
- Facilitate knowledge sharing and best practices on risk financing solutions.

### **3.3. Risks and assumptions**

**Political risks:** the key assumption is that of continued political will and capacity to shape policies and actions as well as a consensus on the roles of the AUC, RECs and implementing partners on DRR policies and strategies for the continent. DRR must be recognised as multi-sectoral and involve the whole-of-community to be sufficiently resourced for sustainability. The involvement of central ministries (Finance and Planning) would ensure greater awareness, support across all government and sustained allocation of resources (sustainability).

**Operational risks:** results are interdependent, requiring close coordination through a governance structure with a clear mandate and functioning arrangements. Each implementing partner should seek to align its specific component's governance and implementation arrangements with the overall set-up. The AUC, through result 1 and the Steering Committee, will ensure liaison with each component of the Programme (alignment with the overall strategy, chronogram and reporting methods).

**Technical risks:** it is assumed that human and resource gaps will be addressed by the Programme. There may be insufficient data to assess natural hazard risks and limited capacity by beneficiary regions and countries to implement the proposed strategies. Technical capacity to generate, analyse and utilise data and information from various sources is a critical assumption as this information shapes DRR, early warning systems, preparedness, response and decision-making. Linkages between science, data and capacity need to be reviewed at the early stages of implementation.

**Resource Management:** it is assumed that Sub-Saharan countries (through national budgets) and AUC (through its operational budget) provide continued support to DRR and earmark DRR specific funding streams to ensure ownership and sustainability.

### **3.4. Cross-cutting issues**

The Programme's ideals are consistent with the European Consensus on Development with a strong emphasis on implementation of regionally and nationally agreed action plans, strengthening good governance and links with civil society together with community participation and awareness.

None of the Programme's outcomes will contribute to environmental degradation. On the contrary they are likely to improve the overall environmental conditions through provision of information on potential risk from multiple hazards and strict compliance with internationally agreed best practices on environment-friendly resilient infrastructure, equipment and livelihoods. Improved DRR efforts and effective DRM will need to show benefits to highly vulnerable communities including women and children. All activities should be undertaken within the context of long-term sustainable development

planning, in line with the national adaptation plans to address medium and long term impacts of climate change.

### **3.5. Stakeholders**

There is a wide spectrum of stakeholders at all levels of intervention. The ACP Secretariat is the Authorising Officer for the Intra-ACP funds, thus responsible for the alignment of this Programme with the Pacific and Caribbean components of the 10<sup>th</sup> EDF envelope for DRR. The AUC is responsible for the PoA at political and operational levels. Therefore, it will also lead on the Programme, chairing the Steering Committee, ensuring strategic guidance, coordination as well as attainment of results, as foreseen under Result 1.

#### **Groups specifically targeted are (funding beneficiaries):**

- African Union Commission (AUC);
- African Regional Economic Communities (RECs): Economic Community of West African States (ECOWAS); Intergovernmental Authority on Development (IGAD); Economic Community for Central African States (ECCAS); Southern African Development Community (SADC);
- Regional Climate Centres (RCC): African Centre of Meteorological Applications for Development (ACMAD/continental); ICPAC – IGAD Climate Prediction and Applications Centre (East Africa); SADC/CSC – SADC Climate Services Centre (Southern Africa); AGRHYMET - specialized institute of the Permanent Interstate Committee for Drought Control in the Sahel (CILSS/West Africa);
- National Meteorological and Hydrological Services (NMHS).

#### **Implementation partners:**

- AUC, in line with its continental mandate under the PoA, through its department for Rural Economy and Agriculture (DREA);
- UNISDR, in line with its mandate to coordinate the implementation of the HFA;
- AfDB, through ClimDev-Africa Special Fund (CDSF);
- GFDRR, in line with its mission is to mainstream DRR and CCA development strategies.

#### **Other key stakeholders of the project are (includes policy beneficiaries):**

- National DRM Agencies;
- Ministries of Finance and Planning;
- Communities (urban, rural and coastal) impacted by natural hazards;
- Non-state actors operating at community level;
- Private sector, lending agencies, insurers, banks and the media;
- Women and children, often the most affected during disasters;
- African Universities and research centres;
- Regional Specialized Meteorological Centres (RSMC);
- ACP sub-regional organisations operating under the Intra-ACP envelope for DRR.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Financing agreement**

In order to implement this action, it is foreseen to conclude a Financing Agreement with the Secretary General of the ACP Group of States, referred to in Article 17 of Annex IV to the Cotonou Agreement.

## 4.2. Indicative operational implementation period

The indicative operational implementation period of this action, during which the activities described in sections 3.2. and 4.3 will be carried out, is 60 months, and an additional 24 months for closure, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements.

## 4.3. Implementation components and modules

### 4.3.1. Grant: direct award (direct centralised management) to the African Union Commission (AUC)

The objective of this direct award to AUC is to ensure implementation of the PoA, corresponding to part of the activities foreseen under Result 1. The main fields of intervention will be the coordination of the PoA, advocacy & communication on DRR and representation of African leaderships on DRR *fora*.

The priorities for the first year of activities will be to establish the Programme's governance rules and procedures and hire of DRR specialised personnel. The types of actions eligible for financing will be those linked to the management of the Programme (including monitoring and reporting); convening of DRR-related (AWG, ministerial meetings, etc.); monitoring of the PoA and production and disseminate PoA & Programme's public awareness materials.

Under the responsibility of the authorising officer by delegation, the recourse to an award of a grant without a call for proposals is justified because the beneficiary is in a *de jure* monopoly situation, on the basis of the adoption by African leaders of the "Extended Programme of Action for the Implementation of the African Regional Strategy for Disaster Risk Reduction (2006-2015)" in AUC's Decision EX/CL/589 (XVII).

The AUC, the beneficiary, will be invited to submit a proposal, which will be assessed against essential and selection and award criteria. The selection criteria will be the financial and operational capacity of the applicant and the award criteria will be the relevance of the proposed action to the objectives of the Programme, design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

The action will be fully financed by the EDF in accordance with Articles 192 of the Financial Regulation and 109 of the Financial Regulation of the 10<sup>th</sup> EDF as it is essential for the action to be carried out. The essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

### 4.3.2. Procurement (direct centralised management)

This module will be directly implemented by the European Commission.

Subject in generic terms	Type	Indicative nr of contracts	Indicative trimester of launch of the procedure
Monitoring, evaluation, audit	Services	1	Second 2014

#### **4.3.3. Joint management with the United Nations Office for Disaster Risk Reduction (UNISDR)**

A part of this action with the objective of implementing part of the activities under Result 1 and the whole of Result 4 will be implemented in joint management with the United Nations Office for Disaster Risk Reduction (UNISDR). This is justified because of UNISDR's global mandate to coordinate and ensure synergies of regional organizations as well as to develop improved methods for predictive multi-risk assessments. Joint management with the UNISDR, in accordance with Article 29 of the Financial Regulation of the 10<sup>th</sup> EDF, is possible because the UNISDR is bound by a long-term Financial and Administrative Framework Agreement with the United Nations (FAFA) and the Programme is elaborated jointly between the UNISDR and the European Commission. This action will be part of a multi-donor action pooling funds of several donors (the UN DRR Trust Fund), although the EU specific contribution will be earmarked to implement the activities listed under Result 1 and Result 5 in ACP African countries only. The UNISDR will work mostly through the UN System but also through technical partners like research centres or universities, among others, with which it will conclude partnership agreements according to the UN's standard procedures. The UNISDR will be entrusted with budget-implementation tasks, such as contract-management cycle, subject to the provisions of the FAFA. The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the international organisation.

#### **4.3.4. Joint management with the African Development Bank (AfDB)**

A part of this action with the objective of implementing the activities under Result 3 will be implemented in joint management with the African Development Bank (AfDB). This is justified because of AfDB's responsibility to administer the ClimDEV – Africa Special Fund (CDSF) and its mandate and expertise to deliver weather and climate services for DRM. Joint management with the AfDB in accordance with Article 29 of the Financial Regulation of the 10<sup>th</sup> EDF is possible because the Programme is elaborated jointly between the AfDB and the European Commission. This action will be part of a multi-donor action pooling funds of several donors (ClimDEV Africa Special Fund - CDSF), although the EU specific contribution will be earmarked to implement strictly the activities listed under Result 3 in ACP African countries only. The AfDB will be entrusted with budget-implementation tasks, such as contract-management cycle, applying its accounting, audit, internal control and procurement procedures (the so-called 'four pillars'), which offer guarantees equivalent to internationally accepted standards. The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the international organisation.

#### **4.3.5. Joint Management with the World Bank (WB), through the Global Facility for Disaster Reduction and Recovery (GFDRR)**

A part of this action with the objective of implementing Result 5 will be implemented in joint management with the World Bank-led GFDRR. This is justified because of GFDRR's mission to mainstream DRR and CCA in country development strategies, through its specific service line for risk financing and insurance. Joint management with the WB, in accordance with Article 29 of the Financial Regulation of the 10<sup>th</sup> EDF, is possible because the World Bank is bound by a long-term Framework Agreement with the World Bank Group (FA), the Programme is elaborated jointly between the WB and the European Commission. This action will be implemented through a Single Donor Trust Fund earmarked for specific countries and activities, within the established administration mechanisms by the GFDRR's Global Charter. The WB will be entrusted with budget-implementation tasks, such as contract-management cycle, subject to the provisions of the FA. The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the international organisation.

#### 4.4. Scope of geographical eligibility for procurement in direct centralised and decentralised management

Subject to the following, the geographical eligibility in terms of place of establishment for participating in procurement procedures and in terms of origin of supplies and materials purchased as established in the basic act shall apply.

#### 4.5. Indicative budget

The total Programme cost is estimated at EUR 68 000 000, of which EUR 60 000 000 shall be financed from the Intra ACP Indicative Programme in the framework of the revised ACP-EU Partnership Agreement, EUR 3 000 000 by the UNISDR and EUR 5 000 000 by the WB-GFDRR.

RESULTS/MANAGEMENT MODE	Amount Programme EUR	Parallel Financing Third Party Contribution EUR	Contribution from the ACP-EU NDRR <sup>22</sup> (CRIS:022-103) EUR*
<b>R1 – PROGRAMME OF ACTION DRR</b>	<b>8 700 000</b>		
- Direct Grant Award to AUC	3 000 000		
- Joint Management with UNISDR	5 700 000		
- Contribution UNISDR		1 500 000	
<b>R2 - REGIONAL ECONOMIC COMMUNITIES*</b>			<b>20 000 000</b>
- Joint Management with WB (top-up SDTF)			20 000 000
- Contribution GFDRR		1 000 000	
<b>R3 – WEATHER &amp; CLIMATE SERVICES</b>	<b>20 000 000</b>		
- Joint Management with AfDB	20 000 000		
<b>R4 – DISASTER LOSS DATABASES</b>	<b>10 000 000</b>		
- Joint Management with UNISDR	10 000 000		
- Contribution UNISDR		1 500 000	
<b>R5 – MULTI-RISK FINANCING</b>	<b>20 000 000</b>		
- Joint Management with WB	20 000 000		
- Contribution GFDRR		4 000 000	
<b>MONITORING EVALUATION AUDIT**</b>	<b>800 000</b>		
<b>CONTINGENCIES***</b>	<b>500 000</b>		
<b>TOTAL CONTRIBUTION</b>	<b>60 000 000</b>	<b>8 000 000</b>	<b>20 000 000</b>
<b>Total Cost</b>	<b>68 000 000</b>		

\* For the purpose of this Programme, Result 2 will also be funded by the 10<sup>th</sup> EDF Intra-ACP assistance via the "ACP EU Natural Disaster Risk Reduction Programme" (NDRR), managed by the World Bank-led GFDRR. (See note 9 at page 6)

\*\* Direct Centralised under the responsibility of the European Commission

\*\*\* The EU Contribution to "Contingencies" may be used only with prior agreement of the European Commission

#### 4.6. Performance monitoring

Overall monitoring of the Programme's performance will be a responsibility of the AUC, through DREA. Performance of each Programme's component will be a responsibility of each respective implementing partner, i.e. AUC for part of Result 1, UNISDR for part of Result 1 and Result 4, AfDB

<sup>22</sup> Natural Disaster Risk Reduction Programme

for Result 3, GFDRR for Result 2 and 5, the European Commission for the budget heading for monitoring, evaluation and audit and contingencies. Each component of the Programme will be monitored in accordance with standard EU monitoring procedures.

Key quantified indicators have been defined to measure performance. Performance will be assessed against the objectively verifiable indicators set out in the Indicative Logical Framework. The latter, sources of verification and assumptions will be further streamlined during the Inception Phase for the entire intervention logic to allow for an effective monitoring of the complete Programme implementation.

**A Programme Steering Committee (PSC)** will be set-up to advise and provide overall strategic direction to the Programme, oversee general implementation of activities, inform on annual work programmes, annual and mid-term reports, review performance, assess impact and approve of the global annual and midterm report, as consolidated by DREA.

The PSC will be chaired by the AUC and its members will be the implementing partners (UNISDR, AfDB and GFDRR) and the RECs. The European Commission and the ACP Secretariat will attend as observers. Other stakeholders as considered on a case by case basis may also be invited as observers. The AUC's DREA will ensure the secretariat of the PSC in collaboration with the UNISDR.

Irrespective of the contract-related reports (narrative and financial), intermediate and an annual global report should be provided by the AUC, UNISDR, AfDB and GFDRR, against the indicators agreed upon during the Inception Phase. Overall coordination of these reports will be ensured by the AUC, through DREA, in collaboration with the UNISDR and consolidated into one stand-alone document. Each implementing partner will provide information on the Programme's performance, whenever requested by the ACP Secretariat, for regular briefs to the ACP Committee of Ambassadors, and by the European Commission. Apart from this, external mid-term reviews through project life cycle are proposed to independently evaluate progress and effectiveness and subsequently recommend areas that need improvement, to be contracted by the European Commission. The latter may also launch results oriented monitoring (ROM) exercises as convenient using the Programme's respective budget heading. Independent consultants recruited directly by the Commission on specific terms of reference will carry out external monitoring missions as needed.

#### **4.7. Evaluation and audit**

A EUR 800 000 budget allocation for evaluation, audit and eventual expenditure verification in the case of international organisation is foreseen. An evaluation of the Programme will be conducted by independent consultancy at the mid-term and again at the end of the programme to ascertain that the objectives and purposes of the Programme are fulfilled and to assess the sustainability, impact, effectiveness, efficiency and relevance of the Programme. Audit and evaluation contracts and framework contracts are to be managed by the European Commission or authority acting for and on behalf of the ACP Secretariat.

#### **4.8. Communication and visibility**

All communication and visibility activities will be undertaken in accordance with the Communication and Visibility Manual for EU External Actions. The manual mainly covers the written and visual identity of the EU. It sets out the requirements and guidelines for briefings, and all other tools used to highlight EU participation. These should be multi-lingual, where appropriate.

**A global Knowledge, Communication and Visibility Plan will be submitted by the UNISDR for the approval of the Programme Steering Committee at the early stages of the Programme's implementation.** Lessons and experiences from the Programme should be collected and disseminated

with a view to inform other relevant ACP and EU financed projects or programmes in a spirit of reciprocity. The European Commission will ensure that these links are established.

The Programme is given maximum visibility in all activities, reports and media releases, written material, press conferences, publicity material, presentations, invitations, signs, commemorative and/or other plaques, AUC, RECs, RCCs, NMHS, AfDB, UNISDR and GFDRR's respective websites. In this regard, all materials should include the reference "with the financial support from the European Union in the framework of the ACP-EU *Building Disaster Resilience to Natural Hazards in Sub-Saharan Africa*, and carry the EU, ACP and AU's logos. When appropriate, materials (communication and training) may be replicated for use in other ACP countries (e.g. in Caribbean and in the Pacific).

The European Commission, the AUC, UNISDR, AfDB and GFDRR will also organise suitable Programme inauguration and handing over ceremonies aiming at the presence of local and international media, to ensure commensurate donor visibility but also enhance awareness of funded interventions and challenges in the DRM sector in the countries. Furthermore, frequent visits to Programme related sites to promote public awareness actions during implementation and in the presence of the local media and announcements in printed and electronic media shall be implemented.

## Appendix 1 – List of Acronyms

AfDB	African Development Bank
AGIR	Global Alliance for Resilience Initiative in the Sahel
AUC	African Union Commission
AWGDRR	African Working Group on DRR
CCA	climate change adaptation
CDSF	ClimDEV – Africa Special Fund
CSP/RSP	Country and/or Regional Strategy Papers
DCI	Development Cooperation Instrument
DIPECHO	Disaster Preparedness ECHO
DREA	Department of Rural Economy and Agriculture of AUC
DRM	disaster risk management
DRR	disaster risk reduction
EAC	East African Community
ECCAS	Economic Community for Central African States
ECOWAS	Economic Community of West African States
FA	Framework Agreement with the World Bank Group
FAFA	Financial and Administrative Framework Agreement with the United Nations
GAR	Global Assessment Report
GCCA	Global Climate Change Alliance
GFDRR	Global Facility for Disaster Reduction and Recovery
HFA	Hyogo Framework for Action
HIP	Humanitarian Implementation Plans
IGAD	Intergovernmental Authority on Development
Intra ACP IP	Intra ACP Indicative Programme
LRRD	linking relief, rehabilitation and development
MESA	Monitoring for Environment and Security in Africa
NMHS	National Meteorological and Hydrological Services
NDRR	Natural Disaster Risk Reduction Programme
PoA	Extended Programme of Action for the Implementation of the Africa Regional Strategy for DRR,
PRSP	Poverty Reduction Strategies
PSC	Programme Steering Committee
RCCs	Regional Climate Centres
REC	Regional Economic Communities
ROM	results oriented monitoring
RSMC	Regional Specialized Meteorological Centres
SADC	Southern African Development Community
SHARE	Supporting the Horn of Africa's Resilience
UNISDR	United Nations Office for Disaster Risk Reduction
WB	World Bank

### ANNEX 3

## **of the Commission Decision on the Annual Action Programme 2013 – Part 2 in favour of Intra-ACP cooperation to be financed from the 10<sup>th</sup> European Development Fund**

### Action Fiche for the Action against Desertification

#### 1. IDENTIFICATION

Title/Number	“Action Against Desertification”  CRIS number: FED/024-525		
Total cost	EUR 41 000 000  <u>EDF contribution</u> : EUR 20 000 000 <u>Joint co-financing</u> : EUR 5 200 000 <u>Total Parallel co-financing</u> : EUR 15 800 000  African Union Commission: EUR 300 000 Royal Botanic Gardens of Kew: EUR 1 500 000 Walloon Region/ WBI: EUR 2 000 000 Governments contribution (Africa): EUR 12 000 000		
Aid method / Method of implementation	Project approach / <i>Joint management European Commission(EC)/Food and Agriculture Organisation (FAO)</i>		
DAC-code	31130	Sector	<i>Agricultural land resources</i>

#### 2. RATIONALE

##### 2.1. 2.1. Sector context

Desertification, Land Degradation and Drought (DLDD) are at the core of serious challenges and threats to sustainable development in African, Caribbean and Pacific (ACP) countries. These problems have far reaching adverse impacts on human health, food security, economic activity, physical infrastructure, natural resources and the environment, as well as national and global security. Indeed, economies and livelihoods in ACP arid, semi-arid and dry sub-humid systems heavily depend on soil, water, and vegetation cover. More than 70 percent of the population derives livelihoods from natural resources, while experiencing a toxic combination of flat cereal yields, declining water availability and vegetation cover, historically high climate variability, recurrent droughts and floods, erosion, and high population growth.

The natural resource dependency has been recognized by ACP governments, as reflected by the signature and ratification of the three Rio Conventions (United Nations Convention to Combat Desertification-UNCCD, United Nations Framework Convention on Climate Change-UNFCCC, United Nations Convention on Biological Diversity-UNCBD). These countries have also adopted natural resource management laws, policies and programmes which are at various stages of implementation. In particular, they have all developed national action plans to combat desertification, with strong components on new governance approaches for the decentralized management of natural resources, including the improvement/strengthening of:

- Multi-sector investment programmes to scale-up Sustainable Land Management (SLM)<sup>23</sup> best practices as well as to build a multi-sector coalition and a credible investment framework for SLM;
- Knowledge for better decision-making and climate risk/DLDD management on biophysical and socio-economic factors ;
- Knowledge of the interactions between climate change adaptation, drought mitigation and restoration of degraded lands;
- Knowledge-sharing systems at all levels;
- Capacities to prevent / reverse DLDD and to adapt to extreme climate change events (drought and floods).

These developments constitute a potential for further progress in ACP countries where the impacts of unsustainable practices have caused soil loss, changes in natural habitats and ecosystems, reduced ecosystem services such as water infiltration and the loss of agro-biodiversity and wild biodiversity, and reduced natural buffers to recurrent droughts and floods.

The project contributes to the implementation of the UNCCD 10 year strategy and National action plans in eight ACP countries (Burkina Faso, Ethiopia, Fiji, Haïti, The Gambia, Niger, Nigeria and Senegal). The project is in line with regional development strategies and action plans for poverty reduction and sustainable development.

**In Africa and in particular in the six participating countries where direct field activities will be implemented with EU resources** (Burkina Faso, Ethiopia, The Gambia, Niger, Nigeria and Senegal), the project is in line with the Sahelian Governments efforts and initiatives addressing DLDD. In particular, the project contributes to the implementation of the Great Green Wall for the Sahara and the Sahel Initiative (GGWSSI), a flagship programme of the New Programme for Africa Development (NEPAD – Environment) that was raised in September 2012 in Arusha (Tanzania) by African ministers of environment, as a programme representing Africa contribution to the Rio+20 objective of a land degradation neutral world.

**In the Caribbean, and in Haiti in particular where field activities will be implemented using EU resources**, the project will support the implementation of the EU-Caribbean Partnership for Growth, Stability and development (2006) which includes inter alia deforestation, biodiversity loss and sustainable natural resource management as priority areas of concern. The project contributes to address the following major factors of land degradation reported under the NAP/UNCCD in Haiti:

- Inappropriate land tenure system;
- Inadequate land use – land management systems and deforestation; ;
- Lack of capacities and of intersectoral approaches.

**In the Pacific, and Fiji in particular, where field activities will be implemented using EU resources**, the project will contribute to the implementation of (1) the EU Strategy for the Pacific<sup>24</sup> in general, and (2) more specifically the recent Commission Communication "Towards a renewed EU-

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<sup>23</sup> Sustainable Land Management has been defined by TerrAfrica as: “the adoption of land use systems that, through appropriate management practices, enables land users to maximise the economic and social benefits from the land while maintaining or enhancing the ecological support functions of the land resources”. In TerrAfrica’s Background Note 1 SLM’s is defined as “the combination of technologies, policies and activities aimed at integrating socio-economic principles with environmental concerns so as to simultaneously maintain or enhance production, reduce the level of production risk, protect the potential of natural resources and prevent soil and water degradation, be economically viable and be socially acceptable” ([http://www.terrafrica.org/sites/default/files/media/SLM\\_in\\_Practice\\_E\\_Final\\_low.pdf](http://www.terrafrica.org/sites/default/files/media/SLM_in_Practice_E_Final_low.pdf))

<sup>24</sup> Communication from the Commission to the Council, the European Parliament and the European and Economic and social Committee: EU Relations with the Pacific Islands – a Strategy for a Strengthened Partnership (2006)

Pacific development Partnership"<sup>25</sup> and Council Conclusions<sup>26</sup>, all addressing the issue of sustainable management of natural resources including the impacts of climate change, unsustainable logging, land degradation and management of ocean and coastal resources. This project will address the following major issues of importance to building resilience of the forest landscapes, livelihoods and well-being in Fiji:

- Low productivity and land degradation and erosion due to poor forestry and agricultural practices;
- Lack of technical capacity and education in terms of sustainable technologies and practices;
- Lack of economic opportunities/low levels of income in rural areas, which limits the ability of local people to invest in better techniques and technology;
- Resistance to changes in communities and lack of inter-sectoral coordination.

2.2.

### 2.3. 2.2. Lessons learnt

A number of lessons can be drawn from past experiences:

Despite a degrading natural resource, economically valuable land management practices are being implemented right now at local level and could be scaled up. Examples include:

- The case of Maradi, Niger, where farmers naturally regenerated tree density by 50% on over 50,000 square kilometres of marginal, degraded dry land. ;
- The case of bounding and planting pits (zai) in Burkina Faso, Mali and Niger.

The project will particularly use the guidelines on building resilient forest landscapes in dry lands and will build on the lessons learnt from initiatives and projects implemented in ACP countries that are replicable, including the following:

- The need for adopting landscape restoration principles (See annex VIII) through an integrated approach, tacking stakeholders' needs into account, a fundamental element for the success of combating DLDD and climate change mitigation and adaptation.
- The need for using applied research which combines modern science and traditional and indigenous knowledge for planning, managing and monitoring sustainable land management interventions.
- The need to focus on the participation of youth and women, to enable development of champions and new leaders of change for sustainability of project activities, approach and results.
- The need for baseline assessments, monitoring and evaluation of the project since the beginning, using proven tools such as those developed by FAO and its partners, including the Land Degradation Assessment (LADA) and the World Overview of Conservation Approaches and Technologies (WOCAT).
- The need for promoting coordination, complementarities and synergies among stakeholders and on-going projects and programmes (sectors, fields, including Civil Society organizations) at local, national and regional levels.
- The need for promoting cross-border resources management and restoration through a combination of preventive and curative measures.
- The need to use, disseminate and up-scale proven practices and approaches, such as farmer-managed natural regeneration, agroforestry systems, the Vallerani System mechanized water

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<sup>25</sup> JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS Towards a renewed EU-Pacific development Partnership /\* JOIN/2012/06 final \*/

<sup>26</sup> [http://ec.europa.eu/research/iscp/pdf/pacific\\_council\\_conclusions.pdf](http://ec.europa.eu/research/iscp/pdf/pacific_council_conclusions.pdf)

harvesting technology, the use of treated waste water for agro-sylvo pastoral systems, market analysis and development approach, the cash for work, conservation agriculture and pastoral, farmer field schools, etc.

- The need for capacity development and south-south learning and cooperation on a demand-driven basis, as part of a strategy to ensure sustainability.
- *The need of addressing gender inequalities during the project implementation. In Africa and the Caribbean, community based activities to adapt to Climate change are mainly carried out by Women (SLM activities). But when it comes to incentives and benefit sharing for/from these activities, women are considered as “Back Benchers”. The project during its inception phase will undertake a gender analysis and develop the best strategies for promoting equality of gender within the project implementation and achievement of results. Due consideration will be given inter alia to the issue of male out-migration that may happen due to resource shortages, generating increased work for women (though the effects on women’s autonomy can be complex, and female out-migration can also occur), of access to resources ...*

## 2.4.

### 2.5. 2.3. Complementary actions

In the **African region**, several initiatives are ongoing which contribute to the overall objective of the action:

- The two African Union Commission projects “Support to the implementation of the Great Green Wall for the Sahara and the Sahel Initiative” supported by European Union (EU), the Food and Agriculture Organization (FAO) and the Global Mechanism (GM)-UNCCD implemented in 13 partner countries. Through these two projects (amounting EUR 2 095 865), peri-Saharan countries have put in place an enabling environment for the implementation of the GGWSSI. The project will contribute to the implementation of the action plans and of cross-border projects in six countries as well as the other outcomes of those projects, mainly the capacity development plan, the knowledge and sharing platform and the need for south – south cooperation, including intra-ACP cooperation.
- The regional programme for Sustainable Land Management (SLM) developed and executed by the Interstate Committee for Drought Control in the Sahel (CILSS)<sup>27</sup> and funded by EU and the Fonds Francais pour l’Environnement Mondial (FFEM) with a package of EUR **13 250 033**. CILSS as partner of the project will use lessons learnt from its regional programme for SLM to ensure quality control of the project in the six African participating countries.
- The Sahel and West Africa Programme (SAWAP) which supports the implementation of the GGWSSI, co-funded by the Global Environment Facility (GEF) and executed by the World Bank, with a package of more than USD 1 billion. The programme covers 12 countries, including Burkina Faso, Ethiopia, Niger, Nigeria and Senegal. The SAWAP objective is to expand sustainable land and water management in targeted landscapes and in climate vulnerable areas in West African and Sahelian countries. The regional component of this programme (monitoring and evaluation, knowledge sharing and management, country portfolio web mapping) will contribute to the implementation of the cross-cutting activities of the project.
- The TerrAfrica Initiative where different donors and Technical partners, including the EU and FAO, are supporting the elaboration and the implementation of country strategic investment frameworks for sustainable land management. The TerrAfrica platform and its Executive committee will be used as channels to spread the results of the project to other African countries facing the same challenges.
- The various programmes developed under the Climate fund (Pilot Programme for Climate Resilience in Niger, Forestry Investment Programme in Burkina Faso), as well as under ClimDev and Monitoring of Environment and Security in Africa (MESA) programmes funded by the European Union.

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<sup>27</sup> Comite Inter Etats de Lutte contre la sécheresse dans le Sahel

In addition, other initiatives funded by the EU will contribute to the overall objective of the project. These initiatives include FLEUVE (Front Local Environnemental pour une Union Verte), SHARE (Supporting the Horn of Africa's Resilience) and AGIR (Global Alliance for Resilience Initiative - Sahel) initiatives.

In the **Caribbean**, the following initiatives are ongoing and support the fight against land degradation and poverty reduction:

- Programme d'appui aux acteurs non étatiques et autorités locales (ANE-AL) with a package amounting to EUR 4 800 000. Funded by the European Union, this programme will support NGO's (Non Governmental Organisations) and CSO's (Civil Society Organisations) activities on the ground in Haiti, which are related to local governance, including local governance of natural resources. It shares with the project the objective of « improving poor people livelihoods and strengthening CSO's capacities ».
- The « safety net » programme funded by IFC (International Finance Corporation) that aims at ensuring the Haitian entrepreneurs against natural disasters. With a package of USD 1.96 million, it will mainly benefit women and help prevent natural disasters.
- At regional level, the EU-Funded Global Climate Change Alliance (GCCA) project on Climate Change Adaptation and Sustainable Land Management in the Eastern Caribbean with the Organisation of Eastern Caribbean States (OECS) intends to develop effective and sustainable land management frameworks and practices and to support adaptation pilot projects.

In the **Pacific** there are also a number of on-going projects which contribute to combating land degradation and climate change, while enhancing food security:

- The GEF “Forestry and protected area management” project (GEFPAS-FPAM) implemented by the FAO in four Pacific Island nations - Fiji, Samoa, Vanuatu and Niue.
- The FAO Food security and sustainable livelihoods in the Pacific (FSSLP) programme
- The Forest law enforcement, governance and trade: support programme for ACP Countries (FLEGT-ACP) implemented by the FAO
- The GEF-UNDP National capacity self-assessment for global environmental management (NCSA). In the Pacific, the GM-UNCCD has supported the South Pacific Regional Environment Programme (SPREP) to elaborate an approach on resource mobilisation for the region, focusing on innovative financing and external sources.
- The Pacific Project: “Adaptation to Climate Change in the Pacific Island Region” (supported by Deutsche Gesellschaft für Internationale Zusammenarbeit –GIZ- and Secretariat of the Pacific Community- SPC) operating in Fiji, Vanuatu and Tonga.

Finally, in all three ACP regions, the 9<sup>th</sup> EDF Intra-ACP project “Capacity Building in Support of Multilateral Environmental Agreements (MEA) in ACP Countries” has a strong SLM component implemented by the Global Mechanism of UNCCD and Africa Union Commission, supporting the overall objective of the project.

## **2.6. 2.4. Donor coordination**

A wide range of donors are investing in SLM in ACP countries.

At **international level**, a coordination mechanism will be put in place to guide strategic planning and implementation of the project. Key partners include: the World Bank, the Royal Botanic Gardens of Kew, the Millennium Development Goals (MDG) Centre for West and Central Africa, the Walloon Region/WBI/ Association pour la Promotion de l'Education et la Formation à l'Etranger (APEFE), the World Agroforestry Centre (ICRAF), the FAO, the EU, the Global Mechanism and UNCCD Secretariat, the UN Environment Programme (UNEP), the UN Development Programme (UNDP) etc.). They will form a think tank for the project – a kind of Technical Committee, providing to the project management team inputs gathered from their experience in the ACP regions.

At **regional level in Africa** and through the Africa hub that will be put in place within the African Union Commission, the project will seek for rationalizing activities and missions with other projects and initiatives where appropriate, mainly with GM/UNCCD and the lead institutions of the SAWAP (Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel- CILSS, Observatoire du Sahara et du Sahel-OSS and International Union for Conservation of Nature - IUCN). Regular reports on the achievement of the project will be presented at the TAEC (TerrAfrica Executive Committee) and CADDP (Comprehensive Africa Agriculture Development Programme) meetings.

For the **Caribbean and the Pacific**, the project will look at synergies with the “Global Island Partnership” Platform (GLISPA) which assists islands in addressing conservation and sustainable use of natural resources.

At **national level** in the eight participating countries, the mechanisms put in place to ensure donors’ coordination (Ex Agriculture Donor Working Groups in Africa) will be used by the project to inform donors about the project’s activities, to ensure synergies and complementarities with other interventions and to avoid duplication in the field.

### **3. DESCRIPTION**

#### **3.1. Objectives**

The **overall objective** of this project is to contribute to poverty alleviation, food security and resilience to climate change in dry lands and other fragile ecosystems in ACP countries, using a landscape approach.

**The specific objective of the project is** to improve the condition and productivity of the agro-sylvo-pastoral landscapes affected by DLDD in ACP countries.

#### **3.2. Expected results and main activities**

##### ***THE INCEPTION PHASE***

During this phase the following activities will be implemented to set up a solid ground for project implementation and ensure the operational set-up for effective project management:

- a) The establishment of the project management team;
- b) The mapping of needs (including in relation to climate change), particularly in the Caribbean and the Pacific regions, as informed *inter alia* in National Adaptation Plans<sup>28</sup>, and in the case of the Pacific Joint National Adaptation Plans (JNAPs) addressing climate change adaptation as well as disaster risk reduction;
- c) In-depth analysis of and consultation with national, sector and local institutions and other stakeholders, including partnerships’ opportunities and partners contributions and roles within the project and analysis of barriers preventing SLM;
- d) In depth analysis of national, sector and local development policies and processes (e.g. planning, programming, budgeting and monitoring);
- e) The clarification or definition of coordination mechanisms with stakeholders involved in the same areas of project implementation and implemented projects (including EU funded), to avoid

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<sup>28</sup> The UNFCCC (COP 17 and 18) adopted decisions on National adaptation plans, a process to support LDCs as well as other developing countries in preparation and implementation of national adaptation plans to address medium and long term impacts of climate change. The purpose of the NAP process is to mainstream and integrate adaptation concerns into all aspects of the normal sustainable development planning process, including into relevant sectoral plans and strategies – see e.g. <http://unfccc.int/resource/docs/2011/cop17/eng/09a01.pdf>; <http://unfccc.int/resource/docs/2012/cop18/eng/08a02.pdf>

- repetition and overlap while maximizing synergies and complementarities to achieve greater and targeted impact;
- f) Based on the above, selection with partners of project areas (landscape units) for field activities implementation. **Trans-boundary** landscapes, when possible, will be privileged in the selection to maximize south-south cooperation between the participating countries within the regions. In the case of Africa, selection will be based on the GGWSSI national action plans/priority intervention areas and complementing/while avoiding overlap/duplication with projects/ partners active in support the GGWSSI, such as FLEUVE, SAWAP, SHARE, AGIR. In the case of Haiti and Fiji, the selection will be based on the UNCCD national action plans and opportunities to integrate forestry components into other on-going project activities, using a validated set of criteria with partners. The main objective is to avoid duplication and maximize complementarities and synergies with other on-going projects/initiatives in the countries developed by the FAO (EU funded project in North-east trans-boundary area) and other partners (Quisqueya Green Wall project developed in Massacre and Pédernale watersheds/ North-east of Haiti) ;
  - g) Undertaking a gender analysis in areas according to the three expected results;
  - h) Review of the log frame and agreed selection of indicators of success and performance as well as the set-up of the targeted impacts to be achieved using disaggregated data and gender-specific indicators;
  - i) Definition of project activities to be implemented (including a first year detailed workplan and detailed related budget);
  - j) Identification of possibility of cooperation and technology transfer/ sharing of best practices with neighbouring countries (Dominican Republic in the case of Haiti, Mali and Mauritania in the case of Niger, Burkina Faso and Senegal, etc.).

### ***THE IMPLEMENTATION PHASE***

**RESULT 1.** Enhanced enabling environment and capacity of relevant governmental and non-states institutions and stakeholders in ACP countries in terms of effective cross-sectoral work, planning, financing, budgeting, implementation, monitoring and evaluation of sustainable land/forest management and restoration at a landscape level.

Measures will be taken so that capacity development activities benefit both men and women on an equal basis as well as promoting gender equality. For three of the countries covered by the project (Burkina Faso, Senegal and Niger) joint activities will be organized with the FLEUVE project on capacity development of local governments and civil society stakeholders. While FLEUVE is targeting local governments and civil society organizations, the project will contribute to improve the working relationship between governmental institutions and CSOs. It is important to understand that, due to the level of decentralization in all the three concerned countries, decentralized ministries are more accountable to central ministries than to decentralized governments.

While in Africa the activities under this result will be based on the implementation of the capacity development strategy and action plan developed and adopted in the context of the EU co-funded project “Support to the implementation of the GGWSSI”, in the Caribbean and the Pacific a whole institutional and capacity development process (needs’ assessment, capacity development strategy and action plan elaboration and implementation) will be undertaken, taking advantage of lessons learnt in Africa in the context of the formulation of a capacity development strategy and action for the implementation of the GGWSSI, as well as the National Self Assessment of Capacity Building to manage National and Global Environment ANCR (Autoévaluation Nationale des Capacités à Renforcer pour la gestion de l’environnement national et mondial) processes in African countries. Throughout the process due consideration will be given to the issue of addressing capacity needs for climate change related Disaster Risk Reduction (DRR) at Community level as part of the approach.

To achieve this first result, the following set of indicative activities will be implemented:

**Activity 1.1.** Implementation of the capacity development strategy and action plan in support of the implementation of the GGWSSI. Joint sub-activities will be developed with FLEUVE and SAWAP, so as to share/reduce costs and cover more countries and stakeholders.

**Activity 1.2** Institutional and capacity needs assessments, formulation and implementation of an institutional and capacity development strategy and action plan to support the National Action Plan to combat desertification and Land degradation (Haiti)

**Activity 1.3** Support to the review and implementation of project n°8 of Fiji National Action Plan to combat desertification: “improve the capacity and quality of human resources within Government for land management and land use planning” (Fiji)

**Activity 1.4** Feasibility assessment, consultations, and if appropriate, design and establishment of sub-regional funds for projects aimed at implementing best practices in support to building resilient agro-sylvo-pastoral landscapes<sup>29</sup> (all ACP). This activity will be carried out in partnership with the Global Mechanism of the UNCCD, taking advantage of the work it is doing for the establishment of Integrated Investment frameworks, and of the work to be undertaken in the framework of the FLEUVE project.

**Activity 1.5** Development of integrated public/private investment approaches (all ACP).

**RESULT 2.** Local communities, governmental and non-state stakeholders (including youth, women and civil society) in selected landscape units of 8 ACP countries have adopted and are using improved sustainable land/forest management practices and technologies<sup>30</sup>, as part of the implementation of their UNCCD national action plans and related implementation tools, such as the Great Green Wall in Africa and Quisqueya Green Wall in trans-boundary landscape of Haiti and Dominican Republic in Caribbean

For Africa, this result refers explicitly to the implementation of selected priority actions of the GGWSSI action plans developed with the support of the EU, FAO and the Global Mechanism (GM), while for Fiji and Haiti, it refers to the implementation of the projects identified in the National Action plan to combat desertification adopted in 2007 and 2009 respectively. Main activities to be carried out include:

**Activity 2.1.** Dissemination and use of SLM good practices, taking into account climate information (risks and vulnerabilities) including agro-sylvo-pastoral best practices, oasis system good practices, water management for integrated agro-sylvo-pastoral activities, etc. (Africa and Caribbean)

**Activity 2.2** Promotion of income generation activities, based on sustainable production, processing and marketing of ecosystem goods and services, especially for youth and women with a view to influencing migration flows and the stability in the Sahel region (Africa)

**Activity 2.3** Institutional and capacity development for conflicts resolution with regard to access and control of land resources by multiple users (farmers, pastoralists, ...) (Africa)

**Activity 2.4** Institutional and capacity development for participatory land use planning at the local level and strengthening of local governance structures with special emphasis on the creation of sustainable livelihood opportunities (Fiji, Haiti)

**Activity 2.5** Knowledge creation from field and pilot actions (activity 2.1, 2.2, 2.3 and 2.6) and experience sharing, including technology transfer, exchange trips, Web based activities, etc. (All ACP). This activity will build on the GGWSSI knowledge platform, and existing initiatives in the three regions, informing both results 1 and 3

**Activity 2.6.** Implementation of pilot actions defined in the plans and their monitoring to improve food security by integrating climate change considerations, value chain trees and forests in the design of sustainable livelihood opportunities (Fiji, Haiti).

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<sup>29</sup> The design and establishment of a sub regional trust fund may enhance resource mobilization from a blend of sources including multilateral, international, governmental and private sources. The trust fund shall be developed with a sub regional financing mechanism and economic organizations such as CARICOM or SPREP. The design of a trust fund (or the most appropriate type of fund) includes the identification and establishment of partnerships for an appropriate governance, funding, seed capital, administration, mobilization and delivery systems

<sup>30</sup> [http://www.terrafrica.org/sites/default/files/media/SLM\\_in\\_Practice\\_E\\_Final\\_low.pdf](http://www.terrafrica.org/sites/default/files/media/SLM_in_Practice_E_Final_low.pdf)

**RESULT 3.** Knowledge and awareness is enhanced among key target audiences and stakeholders from the European Union and ACP countries and communications capacities regarding the causes of and appropriate measures to combat desertification and land degradation are enhanced at local, national, regional and inter-regional levels, with a particular focus on youth and women.

Main knowledge and communication activities shall include:

**Activity 3.1** Production of knowledge products, advocacy material and visibility items, both at regional and inter-regional level, disseminated through platforms and channels available to or to be developed by FAO and partners, including a press pack, fact sheets, leaflets, brochures, FAO – EU annual calendar and FAO – EU brochure;

**Activity 3.2** Multi-media information products, such as press releases and audiovisual productions, will be generated and transmitted via the media, both print and electronic, including the Internet and social media, at national, regional and EU level, where possible by engaging partnerships with media.

**Activity 3.3** Dedicated page on the project on the FAO EU website (in English and French);

**Activity 3.4** Organization of events, such as press conferences or side-events, on the project’s achievements, during international fora, such as the Conference of Parties to UNCCD and UNFCCC, the Africa Union Head of States summit, the African Ministerial Conference on the Environment (AMCEN) meetings, Caribbean Community (CARICOM) meetings, ACP/EU events; etc.

### 3.3.

### 3.4. 3.3. Risks and assumptions

The key project risks, assumptions and proposed mitigating measures are identified in the table below.

<b>Risk</b>	<b>Level of risk (high/medium/low)</b>	<b>Assumptions</b>	<b>Mitigating measures</b>
Political instability in the regions	Low	Some of the participating countries may experience political instability	Primary attention will be focused on those countries that are in the best position to benefit.
The development of the resource base management plans at a landscape level might take longer than expected	Low	Participatory processes are time and financial resources consuming, especially in Africa. An emerging conflict or institutional problem may arise that contributes to delay the process.	Identification of field teams skilled in process facilitation and conflict resolution. Adaptive management is also part of the implementation and management arrangement of the project and will be fully utilized to ensure the adoption of flexible solutions in critical cases.
Project sustainability and ownership by beneficiaries	Low / Moderate		This risk will be mitigated through the capacity development

			programme and the partnership to be established with regional institutions (AUC, CILSS) and Civil society organizations.
Climate variability and change	High/Moderate	A number of countries have experienced historically high climate variability, and recurrent droughts and floods, whose frequency and intensity will be exacerbated by climate change.	Climate change is one of the main threats addressed through the project. It will be included in the assessments done during the inception phase and in the various activities under results 1 and 2.

### 3.5. 3.4. Cross-cutting Issues

During recent decades, the increases in **land degradation, deforestation and desertification** have impacted especially **rural women** as they are among the most vulnerable populations in the dry lands. In order to address decreased living standards, poverty and out-migration, technical, policy and legislative as well as institutional strengthening measures will be introduced for improving management practices and diversifying agricultural, pastoral and forest activities, **with special emphasis on women and youth**.

In collaboration with relevant partners, post-harvest measures will be identified and implemented for storing and processing marketable products such as gums and resins in order to keep the maximum value-added in the region. Consultation and collaborative action among local stakeholders will not only ensure collective ownership and social sustainability of the overall planning and management process, but also foster **good governance and human rights** at the same time.

Sustainable management of the **environment and ecosystems** is at the core of action against DLDD. **Climate variability and change** will also be explicitly addressed by the programme, in particular under results 1 and 2.

### 3.6. 3.5. Stakeholders

A multitude of stakeholders and donors – especially those involved in complementary projects – are already active in the regions. Relevant stakeholders include, at least: Four key players (Head of Administration and Finance, Head of Planning division, UNCCD Focal Point, Permanent Secretary) in each of the rural development ministries (Agriculture, Environment, Livestock, Water resources) in each of the eight participating countries; two key players (Head of Administration and Finance, Head of Planning Division) in each of the municipalities covered by the landscape identified for the project implementation; three key players from Civil Society organizations operating in each of the landscapes covered by the project.

All selected countries, have completed the National Action Plan (NAP)/UNCCD process and, for African countries, the GGWSSI implementation strategy and action plan. These processes were multi-stakeholders processes, including stakeholders at local, provincial and national levels in the participating countries, as well as national, sub-regional, regional and global networks. The inception phase of the project will be used to fine-tune the stakeholders' analysis in each of the participating countries and at regional and international level. Nevertheless, the project will work in collaboration and benefit the following categories of stakeholders:

- **National and local administrations:** The main concern here is to enhance the conditions/enabling environment (laws, regulations, incentives, etc.) in which rural communities can sustainably

manage and use natural resources. Ministries in charge of the Environment and Natural Resources will be involved and will benefit from this initiative.

- **Territorial communities (local communities in the landscape including women and youth):** In the context of this project, territorial communities will participate actively in planning and management of natural resources within their territory; benefit from employment and revenue generating activities.
- **Civil Society Organizations (NGOs, Community Based Organisations- CBOs):** Desertification is a local environmental problem and its control relies primarily on local concerted actions. The project will support central and local governments, as well as NGOs to enable local communities to play their role.
- **Technical and financial partners:** The term “technical and financial partners” refers here to all bilateral, multilateral, regional and international institutions supporting ACP countries and institutions in implementing SLM practices and actions against desertification.
- **Key global and regional political and strategic level actors:** Regional groupings and economic Communities in Africa, the Caribbean and the Pacific and their technical arms or specialized agencies, including in Africa the African Union Commission, the Regional Economic Communities (RECs), the Panafrican Agency of the Great Green Wall; CARICOM in the Caribbean; Pacific Islands Forum and South Pacific Regional Environment Programme in the Pacific.

#### 4. IMPLEMENTATION ISSUES

##### 4.1. Method of implementation

In accordance with Art. 17 of Annex IV of the ACP-EC Partnership Agreement, a Financing Agreement will be signed with the ACP Secretariat. The programme will be implemented through project approach as follows.

The method of implementation will be joint management in co-financing with the FAO through the signature of **two simultaneous Contribution Agreements to be signed with FAO, one covering the African region, managed by the EU delegation to the AUC, in close cooperation with the AUC, and a second one covering the Caribbean and Pacific regions**, in accordance with Article 29 of the Regulation (EC) No 215/2008 on the Financial Regulation applicable to the 10<sup>th</sup> European Development Fund. The split of the EUR 5 200 000 co-financed by FAO between the two Contribution Agreements will be defined at a later stage. The EUR 15 800 000 will be used in parallel co-funding (not included in the total amount of the two Contribution Agreements).

The project will be guided by two **Steering Committees: one for the entire project (Project Steering Committee - PSC) and one for the Africa Hub (Africa Hub steering committee – AHSC).**

- **The Project Steering Committee (PSC) will** consist of statutory members from the ACP Secretariat, the African Union Commission (representing the Africa Hub), the EU and the FAO. The ACP Secretariat will chair the committee and the **Project Implementation Management Unit (PIMU) (Rome based and Africa Hub)** will serve as its secretariat. A maximum of 2 to 3 observers and resource persons, including decision-makers from the participating countries may be invited by the PSC to participate in its meetings. The PSC will provide general oversight and guidance to the implementation of the project. It will approve annual work plans as well as annual reports prepared by the PIMU. The Terms of reference/ membership for the Project Steering Committee will be drafted during the inception phase by the Project Manager. This draft version will be submitted for comments and validation to the PSC at its first meeting to be organized by the end of the inception phase.
- **The Africa Hub steering committee (AHSC) will be** consisting of statutory members and observers. The African Union will chair the committee and the **Project Implementation**

**Management Unit (Rome based and Africa Hub)** will serve as its secretariat. The AHSC will provide general oversight and guidance to the implementation of the project in Africa. It will approve annual work plans as well as annual reports prepared by the PIMU and related to project's implementation in Africa. The Terms of reference/ membership for the **Africa Hub steering committee** will be drafted during the inception phase by the Project Manager and submitted for comments and validation to the AHSC at its first meeting to be organized before the first meeting of the PSC, so that its conclusions are validated by the PSC.

The FAO has been selected as implementing agency because of its proven experience and expertise in the subject, and its long and renowned experience with the subject matter, the broad geographical scope of the project objectives, its numerous existing regional and country offices, previous good experience of working with the same division of the FAO. The FAO has developed the ability to work closely and in harmony with rural communities, countries, sister UN Agencies and donors as well as research and capacity building organizations, thus the project falls in the mainstream of the FAO's competence and expertise).

The international organisation complies with the criteria provided for in the applicable Financial Regulation, and is covered by the Financial and Administrative Framework Agreement (FAFA) concluded with the European Commission. The contract model to be used is the specific contribution agreements under the Financial and Administrative Framework Agreement (FAFA) between the European Union and the United Nations.

The change of management mode constitutes a substantial change except where the Commission "re-centralises" or reduces the level of tasks previously delegated to the beneficiary country, international organisation or delegate body under, respectively, decentralised, joint or indirect centralised management.

The FAO will be entirely responsible for programme implementation, and will deliver periodic reports to the Contracting Authority.

**4.2.**

#### **4.3. 4.2. Procurement and grant award procedures**

All contracts implementing the action are awarded and implemented in accordance with the procedures and standard documents laid down and published by the relevant International Organisation.

**4.4.**

#### **4.5. 4.3. Budget and calendar**

The total project cost is estimated at EUR 41 000 000, of which EUR 20 000 000 shall be financed from the Intra ACP Indicative Programme in the framework of the revised ACP-EU Partnership Agreement; EUR 300 000 **by the AUC, EUR 1 500 000 by the Royal Botanic Gardens of Kew, 2 million by the Walloon Region/ WBI, EUR 5 200 000 by the FAO, EUR 12 000 000 by governments (Africa).**

The tentative breakdown of the budget allocation (in euros) corresponding to the EU contribution is as follows (the cost of the Interregional is split between the 2 contribution agreements):

Indicative budget breakdown		EU contribution (in EUR) for African Activities	EU contribution (in EUR) for Caribbean and Pacific activities	Total (in EUR)
Inception/ operationalization phase		50 000	50 000	<b>100 000</b>
Operational costs (incl.staff.)		1 132 196	567 804	<b>1 700 000</b>
Project activities in <u>Africa</u>				
	Result 1 (Enhanced enabling environment and capacity)	700 000		700 000
	Result 2 (Improved sustainable land/forest management)	12 000 000		12 000 000
	Result 3 (Knowledge and awareness)	300 000		300 000
	<b>Total</b>	<b>13 000 000</b>		<b>13 000 000</b>
Project activities in the <u>Caribbean</u>				
	Result 1 (Enhanced enabling environment and capacity)		200 000	200 000
	Result 2 (Improved sustainable land/forest management)		1 100 000	1 100 000
	Result 3 (Knowledge and awareness)		100 000	100 000
	<b>Total</b>		<b>1 400 000</b>	<b>1 400 000</b>
Project activities in the <u>Pacific</u>				
	Result 1 (Enhanced enabling environment and capacity)		200 000	200 000
	Result 2 (Improved sustainable land/forest management)		1 100 000	1 100 000
	Result 3 (Knowledge and awareness)		100 000	100 000
	<b>Total</b>		<b>1 400 000</b>	<b>1 400 000</b>
Inter-regional activities		300 000	241 589	<b>541 589</b>
Verification and evaluation		195 000	155 000	<b>350 000</b>
Communication and visibility		120 000	80 000	<b>200 000</b>
<b>Sub- Total</b>		<b>14 797 196</b>	<b>3 894 393</b>	<b>18 691 589</b>
Administration costs (7%)		1 035 804	272 607	1 308 411
<b>Total EDF contribution</b>		<b>15 833 000</b>	<b>4 167 000</b>	<b>20 000 000</b>
<b>Joint co-financing (FAO)</b>				<b>5 200 000</b>
<b>TOTAL</b>				<b>25 200 000</b>

The foreseen operational duration as from signature of the Financing Agreement is estimated at 60 months with an additional closure phase of 24 months. The project of a total duration of 60 months will consist of two phases: an inception phase during the first 6 months and the implementation phase of a duration of 54 months (4.5 years).

**4.6.**

**4.7. 4.4. Performance monitoring**

Objectively verifiable indicators (OVIs), sources of verification and assumptions include proportion of the population (women/men) in affected areas living above the poverty line; area of land (agriculture, forest and grazing) under sustainable management/restoration; land cover status and carbon stocks (above and underground); and will be further detailed during the Inception Phase for the entire intervention logic to allow for an effective monitoring of the complete project implementation, which is the responsibility of the implementing International Organisation.

**4.8. 4.5. Evaluation and Verification**

A sufficient budget has been allocated to cover the cost of the external evaluation that will be coordinated by the FAO and the EU. Evaluations should comprise a mid-term evaluation and a final evaluation at the beginning of the closing phase. These will be contracted directly by the FAO in close collaboration with the European Commission. Periodic audits are the responsibility of the implementing International Organisation.

**4.9. 4.6. Communication and visibility**

This project gives a high importance to communication and visibility, as reflected by its full integration as part of main project components.

A global visibility and communication strategy will be developed to inform general and specific audiences in beneficiary countries, regions and in the European Union (EU) on the results of activities of this project.

This strategy will be consistent with the relevant provisions under the FAFA and the Joint Visibility Guidelines for EC-UN Actions in the Field, as well as the EU's Communication and Visibility Manual for EU External Actions.

This global visibility strategy concentrates on communication activities in the three regions, based on plans designed by the regions in consultation with and subject to endorsement of EU Delegations concerned and with technical backstopping of the FAO's Communication division.

Communication activities in the three regions shall be consistent with the objectives and approach of the global visibility strategy and will be executed by the relevant FAO offices in consultation with EU Delegations concerned and with technical support of the FAO's Communication division.

## ANNEXE 4

### de la décision de la Commission sur le Programme d'Action Annuel 2013 –Partie 2 en faveur de la coopération Intra-ACP à financer du 10<sup>e</sup> FED

#### Fiche action pour l'initiative francophone pour la formation à distance des maîtres

#### 1. IDENTIFICATION

Intitulé/Numéro	« Initiative francophone pour la formation à distance des maîtres (IFADEM) » <i>FED/024-661</i>		
Coût total	Coût total : 7 500 000 EUR Contribution du FED : 6 000 000 EUR  Cette action fait l'objet d'un cofinancement conjoint de la part de l'Organisation Internationale de la Francophonie (OIF) : pour un montant de 1 500 000 EUR		
Méthode d'assistance / Mode de gestion	Approche projet Gestion centralisée directe		
Code CAD	11130	Secteur	Formation des enseignants

#### 2. MOTIF

##### 2.1. Contexte sectoriel

###### 2.1.1. Contexte international

L'UE et les Etats ACP se sont engagés pour l'accès à une éducation de base de qualité pour tous les enfants, notamment dans le cadre de l'initiative Éducation Pour Tous (EPT), dès 1990. Dix ans plus tard, au Forum mondial sur l'éducation, la communauté internationale a confirmé ses promesses en adoptant le Cadre d'Action de Dakar, qui engage les signataires à atteindre l'EPT et qui appelle notamment à améliorer la formation initiale et continue des enseignants, en vue d'une meilleure maîtrise des approches participatives, intégratrices, et sensibles à la discrimination sexuelle, ainsi que de l'utilisation des nouvelles technologies.

Dans ce cadre, la réalisation du 2<sup>e</sup> Objectif du Millénaire pour le Développement (OMD) forme une priorité majeure pour la politique de développement de la Commission Européenne. Le *programme pour le changement relatif à la politique de développement de l'UE*<sup>31</sup> affirme ainsi la nécessité de se concentrer sur les secteurs qui posent les fondements d'une croissance durable et contribuent à ce qu'elle soit inclusive, y compris l'éducation.

Le Groupe des Etats ACP a pour sa part réitéré son engagement à assurer l'EPT, tout en continuant d'améliorer la qualité de l'éducation à l'occasion de la *Résolution de Bruxelles sur le rôle de l'éducation dans la réalisation des OMD* en 2008.

Finalement, l'initiative « Education avant tout » (Education First), lancée par le Secrétaire général des Nations Unies le 26 septembre 2012, compte parmi ses trois priorités l'amélioration de la qualité de l'éducation. Le manque d'instituteurs qualifiés y est considéré comme le premier obstacle à l'atteinte de l'EPT.

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<sup>31</sup> COM(2011) 637 final

### 2.1.2. Analyse des problèmes

Trois problèmes principaux touchent directement les pays cibles de cette action:

**L'accès à l'éducation**, bien qu'ayant connu des progrès incontestables ces dernières années, reste un défi d'ampleur. Selon le Rapport de suivi de l'Éducation Pour Tous 2012, la moitié des enfants non scolarisés du monde habitent actuellement en Afrique subsaharienne. Entre 1999 et 2008, le nombre des enfants non-scolarisés de cette région a baissé de 13 millions, mais a augmenté de 1,6 million entre 2008 et 2010. En 2010 le Rapport EPT insistait sur la nécessité de donner la priorité aux groupes marginalisés: « l'absence d'efforts pour atteindre les marginalisés a privé de nombreux individus de leur droit à l'éducation ».

**La qualité**: L'accueil massif d'enfants, dont beaucoup sont de nouveaux publics, plus fragiles dans leur rapport à l'école et aux apprentissages, met les systèmes éducatifs sous tension. Si d'un point de vue quantitatif on observe de nettes améliorations, d'un point de vue qualitatif l'enseignement de base n'a que très peu progressé. Ainsi, le rapport de suivi de l'EPT 2012 montre qu'à l'échelle mondiale, près de 250 millions d'enfants ne parviendront pas à lire ou à écrire avant d'atteindre la quatrième année de scolarité.

**Gestion de l'éducation**: L'élargissement de l'accès à l'éducation de base a nécessité le recrutement massif d'enseignants non qualifiés et peu formés, ayant au mieux un diplôme de fin de premier cycle secondaire et bénéficiant de formations accélérées allant de quelques jours à quelques mois avant leur prise de service. Selon les projections d'UNESCO dans le cadre de la Scolarisation Primaire Universelle 2015<sup>32</sup> la demande d'enseignants qualifiés va continuer d'augmenter, un million de postes d'enseignants additionnels (une augmentation d'un tiers) s'imposent en Afrique Sub-Saharienne dans les cinq prochaines années. Cette situation entraîne un besoin considérable de formation initiale et continue de qualité.

Les pays ACP se trouvent ainsi confrontés à deux impératifs parallèles: poursuivre la politique de l'accès universel et renforcer la qualité de l'éducation pour résoudre le problème d'une éducation de base inéquitable qui ne garantit pas aux enfants des niveaux d'acquisition suffisants pour leur développement ultérieur autonome.

L'action présente vise à soutenir l'extension de l'Initiative francophone pour la formation à distance des maîtres (IFADEM) développée par l'Organisation internationale de la Francophonie (OIF) et l'Agence universitaire de la Francophonie (AUF). L'initiative a été expérimentée sur fonds propres à partir de 2008 au Bénin, au Burundi, en Haïti et à Madagascar. Grâce à l'apport d'autres partenaires techniques l'initiative a pu ensuite s'élargir à d'autres pays: Côte d'Ivoire, Liban, Niger, République Démocratique du Congo et Togo. Avant la fin de cette année IFADEM sera également mise en œuvre au Cameroun et au Burkina Faso.

Pour cette nouvelle phase du projet IFADEM se propose d'intervenir dans quatre pays ACP. Huit pays candidats ont été sélectionnés à partir des critères du Comité de pilotage d'IFADEM :

- (1) Chacun de ces pays a fait une requête officielle auprès de l'OIF ;
- (2) D'après l'étude du Pôle d'analyse sectorielle de l'éducation de Dakar (UNESCO) les quatre pays sélectionnés ne pouvant pas atteindre la scolarisation universelle au primaire en 2015 mais pouvant l'atteindre en 2020 ;
- (3) Ils sont des pays fragiles voire en sortie de crise ;
- (4) La représentativité et l'équilibre géographique sont respectés. L'accent porté à l'Afrique Sub-Saharienne répond aux besoins plus importants identifiés pour cette zone. IFADEM choisit des pays représentatifs de la diversité de la région ACP (Centrale, Ouest, Océan Indien) et dans chacun d'eux privilégie les zones rurales.

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<sup>32</sup> La Scolarisation Primaire Universelle (SPU) consiste à assurer à l'horizon 2015 un enseignement primaire gratuit à tous les enfants, notamment les filles, les minorités ethniques et les enfants les plus démunis.

Les pays par ordre de priorité sont : Le Tchad, les Comores, le Burkina Faso, la République Centrafricaine, la République démocratique du Congo, le Niger, le Mali et le Vanuatu. De manière indicative, les quatre premiers pays ont été retenus pour cette nouvelle phase sous réserve d'une évaluation au début de la mise en œuvre. Elle devrait donc permettre d'assurer l'extension des activités qui seront au cours au Burkina Faso, et de toucher trois nouveaux pays.

Le tableau ci-dessous fournit une vision globale des principaux indicateurs relatifs au système éducatif et à l'atteinte des objectifs de l'EPT dans les pays sélectionnés. En dehors des pays déjà visés par ailleurs par le projet, les quatre pays sélectionnés à titre indicatif sont parmi les plus en difficultés pour l'atteinte de ces objectifs.

Indicateurs	Taux d'alphabétisation des adultes (15 ans et plus) (%), Total		Taux d'alphabétisation des adultes (15 ans et plus) (%), Femmes		Taux net de scolarisation (TNS) dans l'enseignement primaire (%), Total	Taux net de scolarisation (TNS) dans l'enseignement primaire (%), Femmes	Taux de survie en 5e année primaire (%), Total	Taux de survie en 5e année primaire (%), Femmes	% Enseignants formés, Total
	2005-2010	2015	2005-2010	2015	2010	2010	2009	2009	2010
Burkina Faso	29	36	22	29	63	61	75	78	86
République Centrafricaine	56	59	43	48	69	60	55	51	57
Tchad	34	39	24	31	...	...	37	37	70
Comores	75	78	70	74	...	...	...	...	57
République Démocratique du Congo	67	66	57	59	....	....	60	58	92
Niger	29	36	15	23	62	57	71	69	96
Mali	31	38	20	27	63	59	88	87	50
Vanuatu	...	...	...	...	....	....	76	74	....
Monde	84	86	80	82	91	90	...	...	...
Pays en développement	80	83	74	78	90	89	87	84	87
Afrique Sub-Saharienne	63	66	54	59	77	75	71	70	80
Pays à faible revenu	63	67	56	62	81	79	62	64	81

Source: UNESCO Institute for Statistics database (UIS, 2012).

## 2.2. Enseignements tirés

En 2010, au terme de la phase d'expérimentation au Bénin et au Burundi, deux évaluations externes<sup>33</sup> ont mis en avant la pertinence du dispositif de formation ainsi que son impact sur les pratiques de classe des enseignants, et sur le développement d'une expertise locale en enseignement à distance. Les évaluations ont émis des recommandations positives quant à la viabilité, au développement et à l'extension de l'initiative. Le dispositif repose sur un processus quasi identique et formalisé, donc transposable, dans les deux pays où IFADEM a été mise en place. Ainsi, l'expérimentation apparaît constituer une base solide pour élargir et déployer IFADEM dans d'autres pays. Malgré ces conclusions positives, le projet a également rencontré des problèmes qui seront pris en considération pour cette nouvelle phase:

- (1) L'engagement politique des Etats a été fort et a permis le portage des initiatives mais l'autonomie de l'Etat pour gérer le dispositif et assurer seul l'extension de l'initiative à plus grande échelle n'est pas assurée à ce stade. Une implication encore plus grande des ministères nationaux et provinciaux est donc souhaitable pour la présente action;
- (2) Le déploiement des technologies de l'information sur le terrain a contribué au succès de l'initiative, elle a permis une meilleure appropriation par tous les acteurs concernés et les « espaces numériques d'IFADEM » semblent être un investissement pour le futur. Par contre, le volume des enseignements de l'initiation informatique et internet a unanimement été jugé insuffisant. Il est clair que le contexte rural où plusieurs personnes ont eu leur premier contact

<sup>33</sup> Les évaluations ont été exécutées par ATEMA Conseil et par le Conseil scientifique de l'Agence universitaire de la Francophonie. Les rapports sont accessibles à l'adresse : <http://ifadem.org/fr/presentation/evaluation>

avec un ordinateur à l'occasion de la formation IFADEM ne facilite pas la tâche. Une approche plus adaptée au contexte s'impose ici.

- (3) Du point de vue quantitatif le dispositif IFADEM a montré sa capacité à doter les systèmes éducatifs des pays participants d'une réponse appropriée à la demande massive de formation des enseignants. Le passage d'une cohorte de 600 enseignants en formation en phase expérimentale à un groupe de 1700 ou 4000 enseignants en phase de déploiement démontre la possibilité d'un important changement d'échelle d'une phase à une autre. Le taux d'abandon de la formation a été très faible : 95 % des instituteurs ont achevé la formation et 91 à 95% d'entre eux en ont obtenu la validation. Du point de vue qualitatif par contre les évaluateurs mettent en évidence que l'objectif premier d'IFADEM, étant de contribuer à l'amélioration de la qualité de l'éducation, est un objectif de long terme et qu'au moment de l'évaluation le recul n'était pas suffisant pour analyser avec précision l'impact de la formation sur la qualité de l'enseignement. Des efforts sont faits au sein des instances d'IFADEM pour mettre en place des outils internes de mesure d'impact à la fois sur les enseignants et les élèves. Ces outils seront développés au cours de l'année 2013.

### **2.3. Actions complémentaires**

Depuis la création du Partenariat Mondial pour l'Education (PME) en 2002, l'UE figure, ensemble avec les Etats membres, parmi ses plus grands donateurs. Sous le 9ème FED, la coopération Intra-ACP a fourni une contribution substantielle d'EUR 63 000 000. Dans le cadre du programme « Développement social et humain », financé sous l'Instrument de financement de la coopération au développement (ICD), une contribution totale de EUR 379 000 000 a été faite entre 2007 et 2010. En 2011, un montant supplémentaire de EUR 31 800 000 a été attribué. Le PME, qui a pour objectif de scolariser les 67 millions d'enfants actuellement sans école et de leur offrir une éducation de qualité, intervient dans tous les pays ACP qui bénéficieront d'IFADEM.

Au niveau global, l'UE finance également des projets d'appui au secteur de l'éducation via un appui thématique. Sous le programme "développement social et humain" des initiatives telles l'équipe spéciale sur les Enseignants pour EPT (EUR 1 450 000) et l'Association pour le Développement de l'Education en Afrique (ADEA) (EUR 1 000 000) sont financées.

L'Initiative pour la formation des enseignants en Afrique Sub-Saharienne (TTISSA) de l'UNESCO vise à augmenter les effectifs et à améliorer la qualité du corps enseignant. Les 46 pays d'Afrique Sub-Saharienne participeront tous à TTISSA d'ici à 2015. Le dispositif mis en œuvre dans le cadre d'IFADEM correspond donc aux objectifs de l'initiative de l'UNESCO et la complète.

Le programme Teacher Education in Sub-Saharan Africa (TESSA) est une initiative de l'Open University qui conçoit, comme IFADEM, des contenus pédagogiques en coopération avec des équipes locales appuyées par une expertise internationale. La synergie entre les deux initiatives est importante. Un séminaire commun IFADEM-TESSA a eu lieu fin 2011 et a débouché sur une déclaration commune lors de l'édition 2011 WISE Qatar et à la conférence e-learning Africa 2012 à Cotonou.

Le projet Ecole et Langues Nationales en Afrique (ELAN-Afrique) est mise en œuvre par l'OIF, en partenariat avec l'AUF. La finalité est de contribuer à l'amélioration de la qualité et de l'efficacité de l'enseignement primaire en Afrique Sub-Saharienne francophone par la promotion dans huit pays l'usage conjoint des langues africains et de la langue française dans l'enseignement primaire. Au sein de l'OIF une réflexion sur les synergies à mettre en place entre IFADEM et ELAN-Afrique se fait. Plusieurs acteurs, notamment pour l'expertise scientifique, interviennent pour les deux programmes, ceci permet d'assurer une cohérence sur les problématiques communes, notamment la place des langues nationales dans la formation.

IFADEM s'inscrit en complémentarité avec les actions existantes, garantie via l'approche de co-construction, pays par pays, décrite ci-dessous.

## 2.4. Coordination des bailleurs de fonds

Le principe de co-construction qu'IFADEM adopte assure l'implication des plus hautes autorités du Ministère de l'éducation de base et des partenaires techniques et financiers des pays participants. Ce principe garantit une cohérence forte avec les plans sectoriels de l'éducation élaborés dans le cadre du PME. En effet, les services intervenants dans les deux processus étant les mêmes, ils veillent à ce que les activités mises en œuvre dans le cadre d'IFADEM soient en synergie avec celles prévues au plan sectoriel.

Dans chaque pays partenaire du projet est mis en place un dispositif IFADEM, intégré dans le Ministère de l'éducation. L'instance de pilotage national du projet est le Comité National (CN) qui est chargé de coordonner au niveau local, les volets opérationnels, administratifs et pédagogiques de l'initiative. Les représentants du ministère de l'éducation au CN sont désignés par les autorités compétentes. Des représentants locaux de l'OIF, de l'AUF en font également partie. Les Délégations de l'UE peuvent également y être associées.

Le CN veille à l'intégration d'IFADEM dans la dynamique de la coopération éducative internationale dont bénéficie le pays, en se portant garant de la complémentarité des différents programmes et activités et en veillant à la visibilité d'IFADEM parmi les partenaires techniques et financiers, tel que le PME.

## 3. DESCRIPTION

### 3.1. Objectifs

L'importance centrale de l'éducation dans la lutte contre la pauvreté et la nécessité d'investir dans la qualité de l'enseignement dans les pays ACP motive la Commission Européenne à soutenir le dispositif IFADEM. L'Initiative francophone pour la formation à distance des maîtres (IFADEM) a **comme objectif** global de contribuer à l'amélioration de la qualité de l'éducation dans le cadre de la stratégie de l'Education Pour Tous (EPT) dans les pays ACP concernés, par le renforcement des compétences professionnelles des enseignants du primaire, en priorité dans les zones rurales. Il s'agit plus particulièrement de développer leur niveau de formation dans l'enseignement (langues, sciences, mathématiques, citoyenneté, etc.) et de transmettre des pratiques pédagogiques actualisées. Des modalités de formation à distance tutorée sont utilisées, afin d'avoir le meilleur impact possible sur la formation et les pratiques sans que les enseignants ne quittent leur poste. Une des caractéristiques fortes de la formation est d'être systématiquement reconnue et valorisée par le Ministère de l'éducation des pays bénéficiaires de cette action.

Objectifs spécifiques:

- Améliorer les méthodes d'enseignement à la faveur de pratiques innovantes, de l'emploi de nouveaux outils didactiques (y compris l'éducation à l'environnement et au développement durable, à la problématique du genre) et de nouvelles méthodes pédagogiques;
- Mettre en œuvre des dispositifs de formation en partie à distance, avec l'introduction progressive des technologies de l'information et de la communication pour l'éducation (TICE);
- Appuyer la définition de stratégies nationales de formation continue des enseignants du primaire.

### 3.2. Résultats escomptés et principales activités

*Résultat 1 : Etat des lieux, analyse des besoins et mise en place des structures organisationnelles*

- Études, expertises préliminaires, recherches documentaires, missions exploratoires de la coordination, missions techniques.

- Organiser des études, expertises sur la formation continue, et des ateliers de réflexion et séminaires nationaux.
- Rédiger les conventions de partenariats, constituer les équipes et organiser les modalités de travail, mettre à disposition des ressources techniques et administratives pour assurer le fonctionnement des équipes-projets nationales et internationales ; former les équipes-projets ; mettre en place et organiser les instances de gouvernance.

*Résultat 2 : Renforcement des capacités des institutions et des personnels en charge de la formation continue des instituteurs ; production d'expertise et d'outils endogènes*

- Organiser la conception par des équipes locales des contenus de formation et l'adaptation à la formation initiale ; imprimer, diffuser les contenus ; diversifier et mutualiser les contenus de formation.
- Former les cadres des ministères, les acteurs des dispositifs, les enseignants des établissements de formation initiale, etc. : ingénierie de la formation à distance, technologies de l'information et de la communication appliquées à l'éducation, etc.
- Renforcer l'équipement des services compétents des ministères en matériels informatiques, connexions à internet et visioconférence, selon les besoins identifiés.

*Résultat 3 : Mettre en œuvre un dispositif de formation à distance des instituteurs*

- Former les instituteurs et élèves-instituteurs : doter les instituteurs des supports de formation et ressources pédagogiques nécessaires ; organiser les regroupements, les formations en présentiel et l'initiation à l'informatique et à Internet; organiser le tutorat de proximité ; organiser les évaluations des instituteurs ; diffuser les résultats des évaluations et des attestations de réussite ; organiser l'encadrement et le suivi de la formation par les équipes nationales.
- Aménager ou construire et équiper des infrastructures pour les Espaces numériques ; définir les modalités d'accès et d'utilisation des Espaces numériques ; Concevoir une plateforme pour les Espaces numériques et leurs responsables pour la maintenance et le suivi des activités ; comparer, étudier, tester des solutions pour la fourniture d'énergie, l'administration systèmes et réseaux et les équipements innovants (téléphone mobile, tablettes, etc.) pour développer l'usage des TICE ; étudier de nouveaux supports pour l'accès aux formations et des modalités d'équipements TIC pour pallier les problèmes de distance.

*Résultat 4 : Evaluation et communication*

- Mettre en place des procédures d'évaluation internes et externes, ainsi que d'étude d'impact d'IFADEM.
- Assurer la promotion internationale d'IFADEM à l'externe et à l'interne : site Internet, outils de communication, diffusions d'information, événements, etc.

### 3.3. Risques et hypothèses

Risques	Hypothèses critiques	Commentaires
Instabilité politique des Etats « fragiles » ciblés par le projet	Le projet est mis en œuvre dans un environnement politique suffisamment stable	En cas de problème sur certaines parties du territoire, des régions accessibles – si existants - seraient choisies et les opérations seraient engagées très progressivement avec le support des autorités locales. En cas de difficultés étendues à tout un pays, l'action

		pourra être suspendue et/ou un autre pays sélectionné en fonction des critères évoqués ci-dessus.
Faible implication des autorités locales	L'efficacité du dispositif IFADEM incite les pays bénéficiaires à s'impliquer dans sa mise en œuvre et à en tirer des enseignements pour leur politique de formation des enseignants	L'Initiative propose une méthode de gestion dont les structures locales sont constituées de représentants de structures du Ministère de l'éducation de base de chaque pays. Le leadership est assuré par les responsables du ministère mais une gouvernance inclusive avec les partenaires locaux sera assurée.
Faible motivation, résistances à l'innovation, abandons en cours de formation des enseignants, absentéisme	Les cadres du Ministère de l'Education, les formateurs et les enseignants ont intérêt à favoriser une amélioration de la qualité des enseignements.	Des réunions d'information, de présentation du projet, de sensibilisation à la formation à distance sont organisées. La démarche inclusive crée une dynamique porteuse. L'utilisation des technologies assure une mobilisation.
Problèmes techniques d'accès à l'énergie et de maintenance des équipements, notamment en zones rurales	Les contraintes techniques sont suffisamment prises en compte pour ne pas perturber la bonne exécution du projet.	Expérience d'IFADEM dans le domaine des TIC. L'installation de panneaux solaires couplés à des batteries par exemple peut assurer une autonomie électrique de 6 heures. Formation de formateurs en informatique au sein des établissements de formation des maîtres pour assurer la maintenance du matériel de l'Espace numérique.

### 3.4. Questions transversales

Les questions transversales sont intégrées à plusieurs niveaux :

Au niveau du contenu pédagogique, les activités d'apprentissage créées, que les instituteurs appliquent avec leurs élèves, sont fortement contextualisées – car produites par l'expertise nationale – et intègrent les thématiques de l'éducation aux droits de l'Homme et à la citoyenneté, du droit des femmes et de l'enfant (particulièrement des filles), du VIH/SIDA, du respect de l'environnement et du développement durable (plus particulièrement la gestion de l'eau et de la forêt).

Au niveau de l'impact environnemental, le matériel informatique équipant les espaces numériques IFADEM mis en place dans les institutions de formation des maîtres est choisi en fonction de critères de basse consommation énergétique. Etant donné les problèmes récurrents de délestage et de coupures en Afrique, l'alimentation électrique est complétée lorsque c'est nécessaire par une production locale d'énergie de substitution grâce à des panneaux solaires couplés avec des batteries. Ils permettent d'assurer environ 6 heures d'autonomie énergétique. Des entreprises locales sont identifiées et sollicitées pour l'installation et la maintenance de tous ces équipements.

Au niveau des populations-cibles, des dispositions sont prises afin de faciliter la participation des femmes, en particulier, celles qui ont des enfants en bas âge. Par exemple, les nourrices des enfants des enseignantes les accompagnent sur le lieu de formation et sont prises en charge par IFADEM (hébergement et repas).

### 3.5. Parties prenantes

#### 3.5.1. Dispositif institutionnel

Un comité de pilotage international est mis en place pour superviser et approuver l'orientation générale et la ligne d'action du projet. Le comité de pilotage du projet se réunit une fois par an.

Le comité de pilotage du projet est composé:

- d'un représentant du Secrétariat ACP,
- d'un représentant de l'OIF,
- d'un représentant de la Commission européenne.

Dans chaque pays, au sein du pôle de gouvernance nationale, le **Comité national** et son **Secrétariat exécutif** sont composés de membres désignés par le ministre en charge de l'Éducation de base (voir ci-dessus point 2.4). Les membres de ces instances travaillent en étroite collaboration avec les membres du CCI à la coordination des différents volets d'IFADEM.

#### 3.5.2. Populations cibles

Les enseignants qui suivent la formation. Ils sont choisis par le Ministère de l'Éducation du pays participant, parmi les instituteurs en poste en zones rurales en priorité, selon des critères définis à la suite d'une étude de faisabilité et des séminaires de co-construction. Le profil final des instituteurs (niveau de formation, statuts, etc.) sera déterminé en concertation avec les ministères de l'éducation concernés. *In fine*, c'est le Comité national qui établit les critères pour le choix des instituteurs, en fonction des besoins identifiés pour le renforcement des capacités. Il peut s'agir d'un niveau de classe ou de formation.

Les cadres administratifs et pédagogiques du Ministère de l'éducation de base (conseillers pédagogiques, inspecteurs, formateurs, selon les pays), au niveau central et déconcentré, mais aussi des élèves-instituteurs en formation initiale.

Les bénéficiaires finaux du projet sont les élèves qui disposeront d'enseignants mieux formés donc dispensant des cours de meilleure qualité, plus adaptés au contexte local de l'élève. Le Comité national choisit les provinces ou départements représentatifs du pays en ce qui a trait aux défis posés par le secteur de l'éducation, grâce à plusieurs indicateurs, relatifs à la performance du système éducatif (taux brut de scolarisation, pourcentage de filles, ratio élèves/enseignants). Dans la majeure partie des pays, quand une région est sélectionnée, c'est l'ensemble des instituteurs dont le profil a été choisi qui suit la formation. Concernant les perspectives d'élargissement du groupe-cible bénéficiaires finaux du dispositif de formation, l'accord-cadre passé avec le gouvernement stipule que ce dernier a la responsabilité d'inscrire IFADEM dans sa stratégie pour l'éducation primaire, en particulier pour la formation continue des enseignants, et par conséquent d'en envisager le déploiement au niveau national.

## 4. QUESTIONS DE MISE EN ŒUVRE

### 4.1. Convention de financement

Pour mettre en œuvre cette action, il est envisagé de signer une convention de financement avec le Secrétariat ACP, telle que prévue à l'article 184, paragraphe 2, point b, du règlement financier ou à l'article 17 de l'annexe IV de l'accord de Cotonou.

### 4.2. Composantes et modules de mise en œuvre

Il y aura l'attribution directe d'une subvention à l'OIF sous **gestion centralisée directe**. Sous la responsabilité de l'ordonnateur délégué, le recours à une procédure d'adjudication pour une subvention sans appel à proposition se justifie sur base des caractéristiques spécifiques de l'action requérant l'implication de l'OIF en raison de ses compétences techniques, son haut degré de

spécialisation et sa capacité administrative ainsi qu'un monopole de fait dans les pays ciblés pour ce qui concerne la reconnaissance officielle de la formation.

#### **4.3. Période de mise en œuvre opérationnelle indicative**

La période de mise en œuvre de la convention de financement est de 72 mois, sous réserve de modifications à convenir par l'ordonnateur responsable des nes accords concernés.

#### **4.4. Procédures de passation de marchés et d'octroi de subventions**

##### 1) Contrats

Tous les contrats mettant en œuvre l'action doivent être attribués et exécutés conformément aux procédures et aux documents standard établis et publiés par la Commission pour la mise en œuvre des opérations extérieures, tels qu'en vigueur au moment du lancement de la procédure en cause.

La participation au marché pour l'action décrite par la présente fiche est ouverte à toutes les personnes physiques et morales visées par l'accord de Partenariat ACP-CE. L'ordonnateur compétent peut étendre la participation à d'autres personnes physiques ou morales sous couvert du respect des conditions établies par l'article 20 de l'annexe IV de l'accord de Partenariat ACP-CE.

##### 2) Règles spécifiques applicables aux subventions

Les critères de sélection et d'attribution essentiels pour l'octroi de subventions concernent, notamment, la pertinence de l'action et sa cohérence avec les objectifs du programme dans le cadre duquel l'appel à propositions est financé, la qualité, l'impact attendu et la durabilité de l'action, ainsi que son efficacité par rapport au coût. Ces critères sont établis conformément aux principes stipulés au Titre VII "Subventions" du règlement financier applicable au 10<sup>e</sup> Fonds européen de développement. Toute dérogation à ces principes doit être dûment justifiée, en particulier lorsque :

- Le financement de l'action est intégral (dérogation au principe du cofinancement) : le taux de cofinancement maximal envisageable pour les subventions est de 80% du total des coûts acceptés de l'action. Un financement allant jusqu'au financement intégral ne peut être accordé que dans les cas visés à l'article 109 du règlement (CE) n° 215/2008 du conseil du 18 février 2008 portant règlement financier applicable au 10<sup>e</sup> Fonds européen de développement.

#### **4.5. Budget indicatif**

Le coût total du projet est estimé à 7 500 000 EUR, dont EUR 6 000 000 sont imputés au programme intra ACP dans le cadre de l'Accord de partenariat ACP-UE révisé, et EUR 1 500 000 seront prélevés sur les ressources propres du projet.

	Contribution UE	Contribution OIF	Total
Programme	EUR 5 700 000	EUR 1 500 000	EUR 7 200 000
Evaluation/Audit	EUR 300 000		EUR 300 000
<b>Total</b>	<b>EUR 6 000 000</b>	<b>EUR 1 500 000</b>	<b>EUR 7 500 000</b>

#### **4.6. Suivi de l'exécution**

Le Secrétariat ACP et la Commission européenne seront représentés aux différents niveaux de gouvernance du dispositif institutionnel IFADEM, tels que décrits ci-dessus, au niveau international dans le Comité de pilotage international et éventuellement au niveau national dans le Comité national.

Au niveau de l'objectif global, les indicateurs de suivis seront définis en accord avec ceux retenus dans le cadre de l'initiative EPT. Les indicateurs suivant pourront être parmi ceux utilisés :

- Nombre de filles scolarisées dans le pays d'intervention au niveau primaire ;
- Nombre de garçons scolarisés dans le pays d'intervention au niveau primaire ;

- Nombre de filles non-redoublantes achevant chaque année le cycle primaire d'éducation dans le pays d'intervention ;
- Nombre de garçons non-redoublants achevant chaque année le cycle primaire d'éducation dans le pays d'intervention.

Au niveau des objectifs spécifiques et des activités, les principaux indicateurs de suivis sont les suivants. Ils seront adaptés en fonction de la sélection finale des pays participants.

Indicateurs	Total prévu	Modes de vérification
Nombre d'enseignants formés en formation continue sur le total d'enseignants du primaire de même profil dans les pays concernés	8000 instituteurs formés en formation continue	Rapports d'activités nationaux
Nombre d'enseignants formés en formation initiale avec les modules IFADEM sur le total des enseignants du primaire en formation initiale	7000 élèves instituteurs formés	Rapports d'activités nationaux
Nombre de concepteurs de contenus de formation à distance et de tuteurs formés	300 concepteurs de contenus et tuteurs formés	Rapport d'exécution du projet international IFADEM
Nombre de cadres (pédagogiques et administratifs) des ministères de l'Education formés	350 cadres des ministères de l'Education formés	Rapports d'activités nationaux
Nombre d'écoles impliquées dans l'initiative sur le total d'écoles primaires des pays	2000	Rapports d'activités nationaux
Nombre d'espaces numériques créés sur le total de pays impliqués par l'initiative et taux de fréquentation	14 espaces numériques installés	Rapport d'exécution du projet international IFADEM
Nombre de plateformes collaboratives nationales créées et nombre moyen d'utilisateurs	400-300 utilisateurs	Rapport d'exécution du projet international IFADEM
Nombre d'utilisateurs de la plateforme collaborative internationale	100	Statistiques du site
% d'enseignants achevant et validant (taux de réussite à la certification) la formation IFADEM	80	Rapports d'activités nationaux

#### **4.7. Évaluation et audit.**

Les évaluations du dispositif ayant déjà eu lieu sont décrites sous 2.2. *Enseignements tirés*. Une ligne budgétaire dédiée aux évaluations, y compris pour éventuellement mettre en œuvre des projets de recherche/suivi est insérée au budget de l'action. En fonction de la qualité des évaluations menées, la Commission pourra procéder à une évaluation à mi-parcours et/ou finale du dispositif.

Les dispositions en matière d'audit seront conformes aux règles standards du contrat de subvention. Suivant les besoins, un audit externe pourra éventuellement être mené par la Commission.

A ces fins, un montant indicatif de EUR 300 000 est inscrit au budget de l'action.

#### **4.8. Communication et visibilité**

IFADEM dispose d'un site internet rénové début 2013 ([www.ifadem.org](http://www.ifadem.org)) ainsi que d'une lettre d'information ; l'activité sur les réseaux sociaux est particulièrement dynamique du fait de la présence dans l'équipe d'une chargée de communication et gestionnaire de communauté. Des documents imprimés (affiches, flyers, kakémono, etc.) sont édités et distribués dans les pays participants et dans les pays partenaires.

IFADEM participe également à la plupart des grandes manifestations internationales du domaine, telles que le World Innovation Summit for Education (WISE), E-learning Africa ou encore la Mobile Learning Week de l'Unesco.

Dans ces cadres, la visibilité du Secrétariat ACP et de l'Union européenne seront assurées. Un plan de communication sera élaboré et soumis à l'approbation de la Commission européenne et du Secrétariat ACP au moment de la signature du contrat.

Tout matériel produit au cours du programme doit inclure la référence "avec le soutien financier de l'Union Européenne" et porter les logos de l'UE et du groupe ACP.

Toute communication et les activités de visibilité doivent être en accord avec le Manuel de communication et de visibilité de l'UE pour les actions extérieures. Il décrit les exigences et les lignes directrices applicables au matériel écrit, aux conférences de presse, enseignes, plaques commémoratives et tout autre support utilisé pour mettre en évidence la participation de l'UE.

## ANNEX 5

### **of the Commission Decision on the Annual Action Programme 2013 – Part 2 in favour of Intra-ACP cooperation to be financed from the 10<sup>th</sup> European Development Fund**

#### **Action Fiche for Supporting ACP-EU cooperation on migration and development**

#### **1. IDENTIFICATION**

Title/Number	<b>“Supporting ACP-EU cooperation on migration and development”</b>  CRIS Number: FED: 024-672		
Total cost	EUR 10 000 000 - EDF contribution		
Aid method / Method of implementation	Project approach Joint management – ( <i>International Organisation for Migration</i> )		
DAC-code	13010	Sector	Population Policy and Administrative Management

#### **2. RATIONALE**

##### **2.1. Sector context**

Cooperation on all migration related topics with the European Union’s (EU) partner regions and countries is essential for a sound and constructive management of migration. The adoption of the Stockholm Programme in 2009 gave further impetus to the definition of the EU’s common immigration and asylum policy, including the development of genuine partnership in migration management with main countries of origin, transit and destination. In addition, the adoption of the Communication on the Global Approach to Migration and Mobility (GAMM) in November 2011 further strengthened the EU policy on migration in its external dimension and put special emphasis on policy proposals and operational measures to address all relevant aspects of migration in a **balanced and comprehensive way**, in partnership with non-EU countries.

Comprehensive discussion on migration between the African, Caribbean and Pacific (ACP) Group of States and EU partners has taken place since 2010 in the context of the ACP-EU Dialogue. The GAMM emphasises the strategic importance of this partnership and emphasises the importance of further strengthening the operational aspects of implementation of Article 13 of the Cotonou Cooperation Agreement. The proposed action responds to this priority for operational cooperation by providing a framework for concrete actions in the priority areas of Migration and Development jointly identified by the parties and for the benefit of migrants.

#### **Framework for ACP-EU Cooperation on Migration and Development**

In 2010, the ACP and EU partners agreed on a Joint Declaration on Migration and Development that was endorsed by the ACP-EU Council in June 2010. In this declaration, the parties committed to strengthen and deepen cooperation in the area of migration, in particular based on three pillars:

1. Migration and Development, including issues related to diaspora and remittances;
2. Regular migration, including admission, mobility and movement of skills and services, and

3. Irregular migration, including smuggling and trafficking, border management, return and readmission of irregular migrants.

On this basis, the ACP and the EU held in the period 2010- 2011 a *first cycle of dialogue* at Ambassador level covering: circular migration; readmission and visa issues; trafficking in human beings, smuggling of migrants and the rights of migrants; and remittances. In May 2011, the ACP-EU Council welcomed the fruitful discussions and agreed that the ACP and the EU should pursue a more in depth dialogue on seven themes: mobility of skilled persons; legal migration; readmission; visa; smuggling of migrants and trafficking in human beings; migrants' rights and remittances<sup>34</sup>. For 2011-2012 a specific focus on visa, remittances and readmission was agreed. This *second cycle of dialogue* has been composed of Ambassadors' meetings prepared by meetings of experts on agreed priority subjects. It resulted in three sets of recommendations on visas, remittances and readmission that were subsequently endorsed by the joint ACP-EU Council in June 2012 (ACP-UE 2115/12) and formalised by the ACP Group of States in the report of 17 January 2013 (ACP/28/044/12).

### **Follow up to joint ACP-EU recommendations**

The ACP-EU dialogue has proved to be a fruitful exercise with a number of interesting and useful dialogue sessions on different migration-related topics. The endorsement of the joint ACP-EU Council report in June 2012, including clear recommendations, should be seen as a successful outcome of the dialogue which now needs to be implemented through concrete action at an operational level. During the ACP-EU Dialogue on Migration and Development meeting on 6 March 2013, the Ambassadors reconfirmed the commitment to implement the recommendations. In order to seize the momentum and build on achievements, support is needed to provide follow up to the concrete recommendations adopted by the two parties and to promote cooperation on issues of mutual strategic interest in the migration sphere.

Many of the joint recommendations are of a highly technical nature and their implementation will need to be supported by EU and ACP experts. In this respect, the action foresees the support to a **demand-driven technical assistance facility** which can be used by ACP countries based on their individual needs related to migration. Given the specific and varying contexts of the partner countries, a tailor made and needs based approach will be followed. To allow for follow up to the recommendations also at grass roots level and with the direct involvement of migrants, the action also foresees support to small scale **targeted projects** which will provide opportunities for funding to non-state actors, including civil society and academia, thus allowing for follow up to the recommendations also at grass roots level and with the direct involvement of migrants.

The action is in line with the Intra-ACP cooperation 10<sup>th</sup> EDF multi-annual indicative programme 2008-2013, which under its heading on migration included a EUR 40 000 000 allocation to contribute to the integration of migration and mobility issues into the national and regional development strategies of ACP countries through capacity-building programmes. Following the Mid-term Review (MTR) of the intra-ACP 10<sup>th</sup> EDF, the migration related allocation was reduced to EUR 10 000 000. Consequently, although the overall objective of the strategy remains, a reorientation of the expected results is made unavoidable by this significant reduction of the available resources.

### **2.2. Lessons learnt**

The proposed action will build on existing initiatives and good practices. The established trust and knowledge base achieved during the previous cycles of the ACP-EU migration dialogue and cooperation has helped partners to identify priorities for deepening cooperation and concrete action. In order to build on joint achievements, it is crucial to pursue support to ACP-EU cooperation on

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<sup>34</sup> Joint ACP-EU Council, 2011, *Report on the dialogue on migration and development*, ACP-EU 2115/11.

migration and development and to continue to build trust and confidence amongst the participating stakeholders.

Technical measures need to be envisaged in order to improve the flow of information, collection of good practices and expertise between countries from the two regions related to identify migration areas of mutual strategic interest. In this respect, established bodies of expertise, including the ACP Observatory, and EU and ACP partner country experts can provide valuable technical support.

The action will build on the lessons that can be drawn from the “Migration EU Expertise” (MIEUX) project, which aims to enhance the migration management capacities of partner countries (all regions) through the deployment of experts from EU Member States. Similarly the IOM Development Fund provides technical support for the development and implementation of projects aimed at enhancing migration management practices and promoting humane and orderly migration in response to requests by IOM member states. These projects show the added value that practitioners with hands-on experience can offer through a peer-to-peer transfer of knowledge to support, enhance and strengthen migration management capacities. The concept of a demand-driven programme offers a flexible mechanism to meet the needs and priorities of partner countries, hence enabling full involvement in the activities carried out and, most importantly, creating overall ownership of the action.

The action will further build on the experience of the ACP Facility for Migration and apply lessons learnt respecting the same principles of subsidiarity, regional balance, consolidation of existing and successful actions and coordination at all levels. Projects supporting other regional migration dialogues, such as the Rabat process or the Migration, Mobility and Employment (MME) Partnership, can also provide some relevant lessons, such as:

- Political support and recommendations are needed for a fruitful and credible cooperation ensuring concrete action at an operational level;
- Other support projects on migration issues have demonstrated that demand-driven approaches increase ownership by the partner countries and that such mechanisms enable a rapid mobilization of experts and delivery of expected technical support;
- Stakeholders do not necessarily have the resources to deal with all issues related to development and implementation of a concrete activity. The expertise provided by other support projects has provided essential assistance to partners;
- Support to cooperation must go beyond the organization of meetings and seminars. Concrete actions targeting beneficiaries directly involved in the migration process and projects focusing on spreading good practices must be supported to ensure operational impact.

### **2.3. Complementary actions**

Cooperation in sectors related to migration and development is essential to contribute to an improved migration dialogue between the EU and its partners. A series of programmes and actions have been implemented by the EU and its Member States in the ACP region that will be taken into consideration during the implementation of the present project.

Over 30 actions addressing African countries have been conducted or are currently under implementation or preparation within the MIEUX facility, while the Caribbean and Pacific regions have not been active so far within MIEUX. The specificity of the present Action is represented by the fact that the exchange will be reinforced specifically in the ACP region and by the link with the topics addressed by the joint recommendations. Technical expertise will also be provided by ACP experts, thus ensuring a real intra-ACP dimension to activities.

As far as remittances related work is concerned, the African Institute for Remittances is also particularly relevant. The Institute is not operational yet but will focus on (a) study remittances flows both into and within Africa; (b) technical assistance to government institutions on putting in place the necessary regulatory frameworks; (c) training and capacity building programs; (d) policy research and dialogue on how remittances can contribute to the development of Sub-Saharan Africa; (e) develop content and technology platforms for country-based payment and settlement systems for remittances;

(f) develop partnerships between African Development Bank, African Central Banks and remittance companies to improve financial access; (g) dissemination of data and research; (h) annual reports and annual conferences and meetings of policy makers.

Two projects are also currently on going to support migration related dialogues in the framework of the Migration. Mobility and Employment Partnership between Europe and the African Union and of the Rabat process on migration and development between the European Union and countries of North, West and Central Africa.

The ACP Facility for Migration, created under the 9th EDF, is also significant in this context. The main objective of the Facility is to mainstream migration into national and regional development strategies and policies in the ACP region, with a view to improving the living conditions and rights of its citizens. It includes three interrelated components:

- Component 1: strengthening the institutional capacity of six regional organizations in the six regions of the ACP Group of States (namely West Africa, Central Africa, East Africa, Southern Africa, the Caribbean and the Pacific) and 12 pilot countries (Angola, Cameroon, the Democratic Republic of the Congo, Haiti, Kenya, Lesotho, Nigeria, Papua New Guinea, Senegal, Tanzania, Timor-Leste and Trinidad and Tobago).
- Component 2: the creation of the ACP Observatory on Migration as a reference network of migration researchers and specialists working on South-South migration. It is an initiative of the ACP Secretariat, implemented by the International Organization for Migration. Its goal is to establish a network of research institutions and governmental entities dealing with migration in the 6 ACP regions<sup>35</sup> and with a particular emphasis on the 12 pilot countries of component 1.
- Component 3: capacity building of ACP civil society at national and regional level, so that it can fully participate in the dialogue on migration issues.

The financing of the Facility is scheduled to end in June 2014 and the Observatory should be transferred to an ACP entity still to be identified.

There is therefore a window of opportunity to prioritise a demand driven and good practices based programme for the ACP states that will focus on topics of strategic interest to ACP-EU partners and that will extend and build on the achievements of the ACP Facility on Migration.

#### **2.4. Donor coordination**

The European Commission, the ACP Secretariat, the EU and the ACP Member States are the key stakeholders of the process that have agreed to make progress on the joint recommendations adopted by the parties. As concrete interventions are not known from the outset because of the demand-driven and tailored approach, a coordination mechanism will need to be put in place to avoid overlaps and ensure complementarity with other initiatives financed notably from the European Development Fund or the Development Cooperation Instrument.

### **3. DESCRIPTION**

#### **3.1. Objectives**

The **overall objective** of the action is to provide support to **concrete actions** in areas of strategic interest to the ACP-EU partners, linked to the recommendations of the ACP-EU dialogue, and identified and implemented in response to ACP countries demands and for the benefit of migrants.

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<sup>35</sup> Western Africa, Central Africa, Eastern Africa, Souther Africa, Caribbean and Pacific regions

The **specific objectives** of the action are:

- i.* Support public institutions and policy processes linked to migration in ACP countries, with a specific focus on the follow up to the recommendations of the ACP-EU dialogue, through a mechanism of tailored technical support on demand;
- ii.* Ensure concrete actions at grass roots level that directly involve migrants, migrant communities, and/or non-state actors through support to small scale targeted initiatives/projects.
- iii.* Collect information and good practices related to the areas of mutual strategic interest for the ACP-EU partners and provide channels of dissemination, with a particular particularly to attention to monitoring progress and ensuring that work developed informs the ACP-EU dialogue.

### **3.2. Expected results and main activities**

The project is expected to foster improved technical capacity and enhanced response to ACP-EU migration challenges, including the articulation between migration and development. In particular:

1. In response to demands by government institutions in ACP countries, the development of public policies and programmes, with links to the joint recommendations of the ACP-EU dialogue, is supported through tailored technical support.
2. The implementation of targeted projects/actions linked to the joint recommendation of the ACP-EU dialogue, aimed at improving the conditions of migrants and migrants' communities is supported. This will include support to initiatives of civil society and non-state actors.
3. The ACP and European stakeholders acquire and share knowledge on migration policies and practices of mutual strategic interest through peer to peer cooperation and dissemination of the good practices in the areas of migration and development

### **Main activities**

#### **Activity 1 – Demand-driven technical support facility**

To respond to the needs of ACP countries in the area of migration and development, and in line with the support to the joint recommendations of the ACP-EU dialogue, short - and medium term technical support will be made available to public institutions in the ACP countries upon their demand. This technical support will respond to the specific needs and requests of ACP countries. Activities may involve one or more ACP countries or regions and may take place either in partner countries, or at regional level depending on the nature of the technical assistance. When providing the technical support, the project will primarily make use of the expertise provided by ACP and EU Member States' experts deployed from relevant public institutions.

The technical assistance will cover areas of priority for the implementation of the joint recommendations of the ACP-EU dialogue. The areas of technical support could be extended to include other areas mutual strategic interest identified through the ACP-EU dialogue in the future as appropriate. The service will be widely promoted to ACP partner countries and regions.

Scope of the technical assistance could include:

- ✓ Support to the development and/or implementation of national policies and action plans related to migration and development, such as diaspora or remittances policies;
- ✓ Facilitation of processes aiming to strengthen inter-governmental coordination for the development and/or implementation of laws or policies on migration;
- ✓ Gaps and needs assessments;

- ✓ Structural analyses;
- ✓ Strengthening the evidence base for the development of migration related policies, legislation or programmes.
- ✓ Assistance in drafting legislation related to migration and development as covered by the dialogue.

## **Activity 2 –Targeted Projects**

The project will ensure concrete action in areas of mutual strategic interest to the ACP-EU partners also at grass roots level through support to small scale targeted projects which aim at improving the conditions of migrants, migrant communities and vulnerable groups linked to migrants (i.e. children left behind by migrants abroad) in areas connected to the joint recommendations of the ACP-EU dialogue. These projects will include support to initiatives by diaspora and migrant organisations, civil society organisations or networks, research institutions, community or faith based organisations, etc.

In order to make optimal use of the funds available, a set of objective criteria for the selections of the projects to be supported will be decided by the Steering Committee. Selection criteria will ensure that these targeted actions build on the recommendations of the ACP-EU partnership and on existing initiatives that are embedded in national strategies/policies/planning, so as to ensure sustainability. The project will undertake careful assessment of each proposal, building on the knowledge basis developed through the current ACP Migration Facility, to ensure complementarity and synergies with other actions (funded by other instruments or by other donors). Care will be also taken to avoid fragmented funding to isolated initiatives - with limited impact and to ensure sustainability of actions.

Relevant activities could include:

- ✓ Mapping of actors and initiatives providing support to families of migrants
- ✓ Support to civil society organizations providing community support activities for reintegration of returnees;
- ✓ Support to initiatives offering micro-loans schemes to migrants, returned migrants and their families;
- ✓ Ground based initiatives strengthening the developmental role of remittances at community level;

## **Activity 3 – Collection of good practices and dissemination of results**

The project will promote the collection and dissemination of good practice (see Activity 1 and 2) in order to encourage coordination, knowledge building and peer-to-peer exchange between partners. The project will continuously collect information on ongoing initiatives in order 1) to monitor the follow up to the joint recommendations by EU and ACP partners and 2) identify innovative initiatives or specific challenges that can inform the future discussions. 3) prepare and regularly update the baseline on the implementation of the Dialogue. Mechanisms will be developed to ensure dissemination of the identified good practices and results to relevant stakeholders, with particular attention to the ACP-EU Group of Ambassadors to ensure that future discussions in the ACP-EU dialogue can be guided by information gathered through the action. A communication plan will be established.

### **3.3. Risks and assumptions**

The assumption is that the political will among ACP and EU partners persists to continue cooperation on migration and development and to make concrete progress in the areas covered by the recommendations of the two parties. The proposed demand-driven and targeted approach will allow countries and regions to participate in the activities to varying degrees in accordance with their particular priorities and possibilities. The approach will allow for a differentiation, taking into account

the concrete interest and needs of the country concerned. In the event that ACP-EU dialogue on migration and development is discontinued, the project would still be relevant to support the implementation of recommendations already adopted and to support the identification of good practices in such areas.

The main risk identified for Activity 1 is that there may be a lack of demand for interventions under the technical support facility. To mitigate this risk the ACP-EU dialogue, other migration dialogues and any existing peer-to-peer networks will be used as platforms to inform and build trust in the technical support facility. The network put in place by the ACP Facility for Migration will be also used as base of expertise and information to disseminate and sensitise about the activities of this programme. Given the demand driven nature of the project an even distribution of actions between geographical areas or between the areas of linked to recommendations will not be guaranteed. Care will be taken to ensure that a balanced approach is adopted. There may also be a risk that qualified experts cannot be mobilised on time that will be mitigated through a pro-active communication strategy towards the EU Member States and experts of the ACP States and use of existing contacts established by the ACP Observatory and through IOM field offices.

In contrast, for Activity 2 the main risk is over demand with a plethora of non-state initiatives seeking support. Strict selection parameters will be applied to ensure that funds are not used for isolated and unsustainable initiatives. Targeted projects will be coherent with agreed recommendations, national strategies and programmes.

### **3.4. Cross-cutting Issues**

Migration touches upon a series of cross-cutting issues. Migration is included among the priority areas for improving Policy Coherence for Development. The action will address relevant cross-cutting issues including: governance, gender, environment, and human rights. The action will aim to promote the fundamental rights and social rights of migrants and contribute to good governance standards, underlining the need for transparency, cooperation and accountability.

### **3.5. Stakeholders**

The focus on the project is on cooperation between public authorities competent in the area of migration located in the EU and in the ACP States. Through the targeted projects the action will also harness expertise from civil society, academia and/or the private sector. Regional activities are foreseen in the case there is a demand from the relevant regional/sub-regional organisations or a group of states is put forward. The final beneficiaries will be migrants benefitting from improved migration management and targeted projects.

## **4. IMPLEMENTATION ISSUES**

In order to implement this action, it is foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of the Financial Regulation or in Article 17 of Annex IV to the Cotonou Agreement.

### **4.1. Method of implementation**

Joint management through the signature of an agreement with an international organisation with International Organisation for Migration in accordance with Article 29 of the Regulation (EC) No 215/2008 on the Financial Regulation applicable to the 10<sup>th</sup> European Development Fund. The international organisation complies with the criteria provided for in the applicable Financial Regulation. IOM is covered by a framework agreement concluded with the Commission and will be the contracting party through signature of an EU Contribution Agreement with International Organization.

As the leading inter-governmental organisation in the field of migration and working closely with governmental, intergovernmental and non-governmental partners IOM is the most adequate organisation to implement, as EU contracting partner, a project of such nature and with such objectives. With 149 member states, a further 12 states holding observer status, more than 450 offices

in over 100 countries (the majority of ACP countries) and over 7,800 staff members deployed worldwide, IOM aims at promoting humane and orderly migration for the benefit of all. It does so by providing services and advice to governments and migrants. IOM has also extensive experience and expertise in the priority areas of the ACP-EU dialogue including migration for development, remittances, return, readmission and reintegration. Furthermore, IOM has been the implementing partner of the ACP Observatory in the framework of the ACP Facility on Migration, which has collected a large amount of evidence based inputs and contacts for the development of further action, on which this initiative will capitalise.

#### **4.2. Procurement and grant award procedures**

All contracts implementing the action are awarded and implemented in accordance with the procedures and standard documents laid down and published by the relevant International Organisation.

#### **4.3. Budget and calendar**

The indicative budget available to implement the action is detailed in the Appendix.

Indicative Calendar: The operational duration of this programme is 48 months from the signature of the Financing Agreement.

#### **4.4. Performance monitoring**

Performance monitoring will be ensured through reporting requirements, regular debriefing and full involvement of the steering committee for the selection of actions. Monitoring will be based on the following indicators:

- Number of activities carried out;
- Feedback from the respective stakeholders of the actions carried out;
- Ratio of requests in relation to number of implemented activities;
- Progress on the recommendations of the dialogue.

#### **4.5. Evaluation and audit**

Independent consultants recruited directly by the Commission on specifically established terms of reference will carry out a mid-term and a final evaluation. The evaluations will be launched in partnership with the ACP Secretariat in order to take into account any recommendations put forward. If appropriate, these evaluations may be replaced by those undertaken in a similar way by the Beneficiary or implementing partner. An amount of EUR 300,000 is foreseen to cover the costs of the evaluations. The audits will be performed by IOM.

#### **4.6. Communication and visibility**

The implementing partner will establish a communication plan for the project, which will include a widespread dissemination of project achievements and results in line with the EU visibility guidelines. Attention will be given to the visibility of the ACP and EU interventions and the project will ensure that communication and visibility guidelines are integrated in all relevant activities.

**Appendix: Indicative budget**

	<b>Categories</b>	<b>Total (EUR)</b>
Agreement with IOM	Activity 1: Demand-driven technical support facility	9 700 000
	Activity 2: Targeted Projects	
	Activity 3: Collection of good practices and dissemination of results	
	Communication and visibility	
Service contract signed by the EC	Evaluation (Mid-term Review final)	300 000
	<b>TOTAL</b>	<b>10 000 000</b>

## ANNEX 6

### of the Commission Decision on the intra-ACP AAP 2013 Part 2

#### Action Fiche for “TradeCom II – ACP Trade Capacity Building Programme”

#### 1. IDENTIFICATION

Title/Number	<b>“TradeCom II - ACP Trade Capacity Building Programme”</b> FED/024-728		
Total cost	Total Cost, corresponding to European Development Fund contribution : EUR 39 800 000 10th EDF intra-ACP A-envelope (1.4% of total)		
Aid method / Method of implementation	Project Approach <i>Partially decentralised management</i> with the ACP Secretariat <i>Direct centralised management</i> for evaluation and audit		
DAC-code	33110	Sector	Trade policy and administrative management

#### 2. RATIONALE AND CONTEXT

##### 2.1. Summary of the action and its objectives

The TradeCom II programme, which was proposed by the Secretariat of the African, Caribbean and Pacific Group of States during the midterm review of the 10th EDF intra-ACP strategy, will thematically follow-up on the 9th EDF All-ACP trade-related technical assistance programmes “Trade.Com”<sup>36</sup> and “ACP MTS”<sup>37</sup>. Similar to “Trade.Com”, the new programme will continue strengthening the capacity of ACP countries and regions to formulate suitable trade policies as well as to negotiate and implement bilateral and regional trade agreements (including EU-ACP Economic Partnership Agreements and All-ACP economic cooperation arrangements) to their benefit. Building on the experience of the “ACP MTS” programme, TradeCom II will continue supporting ACP countries in the negotiation and implementation of World Trade Organisation (WTO) Agreements, thus helping them to fully benefit from the multilateral trading system. In addition, TradeCom II will put a new emphasis on strengthening ACP private sector competitiveness by supporting trade facilitation and trade promotion.

##### 2.2. Context

###### 2.2.1. Regional context

###### 2.2.1.1. Economic and social situation and poverty analysis

The ACP Group comprises some of the poorest countries in the world. Some 40 out of a total of 49 Least Developed Countries (LDCs) are ACP Member States. Many ACP countries face particular challenges due to their small size and geographical location (e.g. landlocked countries and remote small islands economies). Several ACP countries are particularly

<sup>36</sup> “Trade.Com – All-ACP Institutional Trade Capacity building Facility” (CRIS: 2003/016-302, Financing Agreement n. 9016/REG )

<sup>37</sup> “Integration to the Multilateral Trading System and support to the Integrated Framework” (CRIS: 2008/020-237, Financing Agreement n. 9843/REG)

vulnerable to external economic shocks due to their dependence on a very narrow export base. Indeed, a large group of ACP countries remains dependent upon commodity exports to traditional trading partners which recently have been affected by the current economic and financial crisis. Other ACP countries are characterised by an elevated political risk level (fragile states, post-conflict countries). Weak institutional, regulatory and productive structures compound the challenges faced.

International trade is recognised as a powerful engine of economic growth and poverty reduction in developing countries. Inclusive economic growth is essential for the generation of public revenues needed to implement policies and deliver services to the citizens as well as for the generation of private income. Increased participation in the global trading system is therefore a cornerstone of national and, in particular, regional economic development strategies throughout the ACP region. However, while total ACP trade volumes are on the rise, the share of global trade accounted for by non-oil producing ACP countries is declining. In order to avoid further marginalisation of ACP countries in the global economy, measures need to be taken to increase the competitiveness of ACP exporters and to diversify ACP economies. Therefore, ACP countries strive to seize new opportunities arising from the dynamism and growth in emerging economies, to foster south-south trade, to realize potentials in services sectors and to develop new competitive niche productive capabilities. To implement their strategies, ACP countries are developing new trade policies and conducting trade negotiations in a number of settings - at the multilateral level in the WTO, at the regional level to promote and strengthen their relevant regional integration schemes, and at the bilateral level, e.g. with the EU through Economic Partnership Agreements.

#### 2.2.1.2. Development policy

The overarching objective of EU development policy is the reduction of poverty through sustainable development, including the achievement of the **Millennium Development Goals** (MDGs). Trade-related assistance relates to the achievement of both the first MDG (eradication of hunger and poverty) and the eight MDG (global partnership for development). A sub-target of the eight MDG is to develop an open, rule-based, predictable, non-discriminatory trading and financial system.

The **European Consensus on Development** (2005) sets out a common EU vision of development. The Consensus states that the Community will be active in nice main areas of which the first is trade and regional development.

The Communication on **Assisting Developing Countries to Benefit from Trade** (2002) highlighted the need for effective market access in favour of developing country exports, the benefits of regional integration and the continued advantages of the rules-based multilateral trading system.

In 2007 the EU and its Member States adopted an **Aid for Trade Strategy**. The Strategy details how the EU and its Member States will step up their support to all developing countries, particularly the LDCs, so as to better integrate them into the rules-based global trading system and to use trade more effectively to combat poverty.

The **Agenda for Change** Communication (2011) promises greater support to enhance the business environment, to promote regional integration and to help harness the opportunities that world markets offer, as a driver for inclusive growth and sustainable development.

The Communication on **“Trade, growth and development”** (2012) updates the 2002 Communication on Trade and Development. It outlines the direction of the EU’s future trade and investment policies for development and underlines the EU’s particular responsibility as the world’s largest trading power, biggest trading partner of many LDCs and the world’s largest provider of development assistance (including for trade-related programmes). The Communication stresses the need to increasingly differentiate among developing countries to focus on those most in need.

### 2.2.2. *Sector context: policies and challenges*

The **ACP-EU Partnership Agreement** (Cotonou Agreement) was signed in 2000 and concluded for a period of 20 years. The Cotonou Agreement governs the EU's overall relations with the ACP countries and sets the priorities of EU support to ACP countries in the areas of trade and regional integration. The trade chapter of the Agreement sets out the new trade relationship and the expiry of preferences, contained in the Agreement, at the end of 2007. Previously, trade relations between the EU and ACP countries had been primarily based on non-reciprocal trade preferences granted by the EU to ACP exports. The Cotonou Agreement foresees the conclusion of WTO-compatible Economic Partnership Agreements (EPA's), progressively removing barriers to trade and enhancing cooperation in all areas related to trade. So far the negotiations have led to the conclusion of a full EPA with the Caribbean region. In other regions a number of interim agreements have been concluded, while negotiations for comprehensive EPAs are still on-going. The ACP countries and the EU have also participated in the WTO Doha Development Round negotiations and - although a successful outcome has so far been elusive - are still committed to the process. Furthermore, several ACP States are currently in the process of acceding to the WTO.

The ACP Group of States and the European Union recognize that a smooth, gradual and sustainable integration into the world economy may contribute significantly to poverty reduction in the ACP countries by increasing decent job opportunities and achieving sustainable income increases for the poor. Through the Cotonou Agreement it was sought to create a new trading dynamism. However, ACP countries and regions often lack the requisite capacity (institutional, human resources and financial) to fully address the challenges and exploit the opportunities arising from negotiating and implementing new bilateral, regional and global trade arrangements.

The 10th European Development Fund (EDF), which covers the period 2008-2013, initially foresaw a total amount of about EUR 22 billion for programmes at three levels – national, regional and intra-ACP. The total intra-ACP envelope initially amounted to roughly EUR 2.7 billion, about 12.3% of the total. Of the EUR 2.7 billion intra-ACP envelope, a total of EUR 100 million (3.7%) was initially earmarked for projects in the domain of trade and private sector development. In fact, since the 10<sup>th</sup> EDF national and regional programmes are the primary channel for trade and private sector development support for ACP countries.

The 9<sup>th</sup> EDF trade-related technical assistance programme Trade.com ended in June 2012. Even before the programme ended, requests for a successor programme were made by ACP beneficiaries in fora such as the ACP-EU Trade Cooperation Subcommittee, the ACP-EU Joint Ministerial Trade Committee and in ACP-EU Joint Parliamentary Assembly. During the midterm review of the 10<sup>th</sup> EDF intra-ACP strategy the ACP Secretariat proposed an additional EUR 50 million for trade-related technical assistance at the All-ACP level. The new programme TradeCom II will be funded out of these additional funds.

### 2.3. **Lessons learnt**

The overall conclusions of the evaluations of the precursor programmes Trade.Com and ACP MTS were quite positive.

- Trade.Com Final Evaluation 2010

*“Overall Conclusion: Trade.Com interventions have made a significant contribution to improving the capacity of ACP countries and regional organisations to design and implement their own trade strategies and to effectively participate in international trade negotiations. Trade.Com success can be attributed to 1) a design that was coherent and increasingly aligned with EC and ACP development priorities; 2) a strategy of co-opting Hubs and Spokes – an already tested trade capacity building mechanism; 3) a simplified demand-led facility to provide access to technical assistance based on critical needs of stakeholders and beneficiaries and 4) the competence of the three implementing agencies to*

*promote and implement the programme in close collaboration with the primary stakeholders i.e. the RECs and ACP countries. Two major shortcomings were identified by the evaluators: 1) a modest focus on institutional capacity building (ICB) and therefore a resulting absence of coordinating mechanisms between Trade.Com, the EU Delegations, the RECs and ACP States on this issue and 2) limited follow-on monitoring of beneficiary ownership, capacity and progress in implementing recommendations or outputs of the Facility's demand-led interventions" (cf. p. 55, Final Evaluation).*

- ACP MTS Programme – Midterm Evaluation 2011

*“The objectives of the ACP MTS programme have been highly relevant to the priorities of most ACP countries. The problems that necessitate the programme continue to exist. Thus, there is a need for a continued support and a follow-up programme along the lines of the objectives of the existing programme in the near future. Therefore, it is recommended to for the EU and ACP Secretariat to consider such a programme.” (see p. 23, Midterm Evaluation, N.B. Following the extension of the ACP MTS programme, the final evaluation will be launched in 2014.)*

Two lessons the ACP Secretariat underscores are: i) the need to build sufficient flexibility into new trade-related assistance programmes so that programme activities can be adjusted to take into account the ever evolving realities in global trade; and ii) trade capacity building and trade-related technical assistance should not only focus on training, seminars and studies, but stimulate and facilitate more process oriented approaches towards trade policy formation and implementation.

A key weakness identified in evaluations of previous all-ACP trade-related technical assistance programmes was that there had been an insufficient focus on long-term institutional capacity building. Under the previous Trade.Com programme, the Hub & Spokes I programme component, which established a permanent network of trade advisors throughout the ACP region, was designed with a view to providing long-term capacity building. However, the deployed trade advisors were often required to assist their host institutions in urgent on-going trade negotiations and therefore did not have enough time to focus also on longer-term institutional capacity building activities. The Hub & Spokes II programme, which has already been launched as a standalone programme, will strive to put a stronger emphasis on training and capacity building. In order to avoid duplication and to realise synergies, it is foreseen that the Hub & Spokes II trade advisors will work closely together with the TradeCom II programme management unit (PMU) in the formulation of specific capacity building activities which will be funded via the TradeCom II programme estimates.

In order to further strengthen long-term institutional trade capacity building, a new programme component is foreseen which will be implemented via grants. The grants will foster the development of trans-ACP trade research and trade capacity building networks. These networks will contribute to all three specific objectives of the programme. The call for proposals could encourage the establishment of both north-south and south-south cooperation arrangements in the domain of institutional trade capacity building. Thus, the grants will complement the ad-hoc demand-led support provided by the PMU via the programme estimates with longer-term and locally anchored institutional capacity building.

#### **2.4. Complementary actions**

It is obvious that a EUR 39 800 000 programme covering 80 ACP countries and lasting 6 years can act only as a facilitator. Reinforced coordination with Regional Economic Community (REC) Secretariats and EU Delegations will thus be essential. A specific value added of the TradeCom II programme could be to help REC Secretariats and National Authorising Officers to identify and formulate trade-capacity building programmes to be funded under the 11th EDF regional and national envelopes (expected result 2.2).

TradeCom II will complement EDF-funded national, regional and continental (cf. new Pan-African Programme) trade and private sector development programmes following the subsidiarity principle. Relevant EU Delegations will systematically be consulted before any project proposals are validated in order to closely coordinate intra-ACP programme activities with nationally and regionally funded activities.

TradeCom II will seek to realize intra-regional complementarities by promoting the exchange of best practices among the ACP Regional Economic Communities. As in the past, close cooperation will be sought with the Hub & Spokes programme, which has established a network of permanent trade advisors throughout the ACP region. Hub & Spokes trade advisors will continue to support ACP trade ministries and ACP regional economic communities formulate project request that can be submitted to the TradeCom II Project Management Unit. At regional level, synergies will be sought with programmes such as “*Support to the Forum of Caribbean States in the implementation of the commitments undertaken under the Economic Partnership Agreement*” (CRIS 2011/022-088), and “*Strengthening Pacific Economic Integration Through Trade*” (CRIS 2010/022-414).

At the intra-ACP level, the programme will further strengthen the cooperation with programmes in the domain of trade (Technical Barriers to Trade Programme) and private sector development (“BizClim II”, “Microfinance II”, “PIP Quality and Conformity of Fruit and Vegetables (Phase II)”, the Centre for the Development of Enterprise (CDE), etc.).

## 2.5. Donor coordination

TradeCom II will closely liaise with international donors and organisations active in the domain of trade-related technical assistance. Synergies will be sought with organizations such as the World Bank, the United Nations Conference on Trade and Development, the WTO, the International Trade Centre, the World Customs Organization, the United Nations Development Programme, the UK Department for International Development (DFID) and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

Diagnostic Trade Integration Studies, prepared under the Enhanced Integrated Framework (EIF), will be utilized in order to prioritize received project requests. It will also be important to consult with programmes providing similar services, such as the Trade Advocacy Fund, TradeMark East Africa etc., in order to avoid potential duplications. The foreseen regional Hub & Spokes network meetings could provide a useful forum in order to strengthen donor coordination (as experienced at the 2012 Hub & Spokes network meeting organized in Cameroon). International Organizations and specialized institutions will be invited to participate in the call for proposals. The regular TradeCom II Steering Committees will bring together all key implementing partners, thus further strengthening coordination between donors, providers of trade-related technical assistance and ACP beneficiaries.

## 3. DETAILED DESCRIPTION

### 3.1. Objectives

The **overall objective** is to contribute to sustainable economic development and poverty reduction in ACP countries through closer regional integration and increased participation in the global economy.

The **specific objectives** of the programme are to:

1. Enhance the capacity of ACP countries to formulate and implement suitable trade policies;
2. Assist ACP countries to participate effectively in international trade negotiations and to implement international trade agreements to their benefit;
3. Strengthen ACP private sector competitiveness by supporting trade facilitation and trade promotion.

### 3.2. Expected results and main activities

#### Expected results

- 1.1 Institutions: Institutional capacities for trade analysis and trade policy formulation strengthened;
- 1.2 Processes: Inclusive trade policy formulation processes are established (including consultation and coordination mechanisms with the private sector and civil society);
- 1.3 Policies: Suitable trade policy frameworks are developed, operationally implemented and regularly updated;
  
- 2.1 Strengthened capacity to negotiate effectively and implement successfully bilateral, regional, plurilateral and multilateral trade agreements;
- 2.2 ACP stakeholders are better equipped to design and lead assistance projects in the domain of trade-related assistance;
- 2.3 Reinforced ACP participation in international trade fora (including the WTO dispute settlement system);
  
- 3.1 Improved capacities of ACP institutions managing cross-border trade as well as organizations promoting trade (customs, boarder clearance agencies, trade support institutions, private sector advocacy organizations, etc.);
- 3.2. International trade procedures (i.e. activities, practices and formalities involved in collecting, presenting, communicating and processing data required for the movement of goods in international trade) are simplified, standardized, harmonized and up to date with standard modern practice;
- 3.3 Internationally compliant customs legislation and customs systems developed and implemented;
- 3.4 Enhanced customs cooperation among ACP countries and increased integration within the international customs system.

#### Activities:

The programme will contribute to the above expected results via two programme components.

##### a) Programme Estimates Component:

The first component, implemented by a Programme Management Unit (PMU) via programme estimates, will provide a flexible demand-driven facility capable of rapidly mobilizing specialized trade-related technical assistance for ACP beneficiaries. As the individual activities will depend on future requests, activities cannot be listed exhaustively. However, activities under the programme estimates will focus on technical and legal assistance (e.g. analysing impacts of trade agreements, legal expertise on trade disputes, ACP-EU Economic Partnership Agreements (EPA) etc.); training and capacity building (trade policy formulation, negotiating skills, formulation of trade capacity building programmes, etc.) as well as logistical support to facilitate the participation of ACP beneficiaries in trade negotiations and preparatory meetings (EPA and WTO negotiations, etc.). Likely focal areas of support include studies, workshops and trainings on issues such as trade facilitation, trade in services, intellectual property rights, rules of origin, etc. Assistance in the domain of technical barriers to trade (TBT) and sanitary and phyto-sanitary measures will primarily be supported via the specialized all-ACP programmes ACP TBT, PIP and EDES. Activities targeting the general business enabling environment will be principally supported through the All-ACP programme BizClim II. The TradeCom II PMU will closely coordinate with all above-mentioned programmes in order to realise inter-programme synergies.

### b) Grants Component:

The second component, implemented via one (or more) call(s) for proposals, will target ACP trade support institutions (trade research and trade capacity building institutions, including academic institutions with specific trade programmes; export promotion agencies; private sector advocacy organizations; etc.). The grants will complement the ad-hoc demand-led support provided by the PMU via the programme estimates with longer-term and locally anchored institutional capacity building. Similarly to the programme estimate component, the grant component will cover all three specific objectives of the programme. The call(s) for proposals will encourage the establishment of both north-south (e.g. twinning; cooperation with international organizations etc.) and south-south cooperation arrangements in the domain of institutional trade capacity building. International Organizations and specialized providers of trade-related assistance from EU Member States will be eligible, in partnership with ACP beneficiaries, to participate in the call(s) for proposals. The grants will foster the development of trans-ACP trade research and trade capacity building networks, thus facilitating reinforced complementarities on the intra-ACP level.

In order to target the call(s) for proposals on the expected needs and to avoid overlaps with other planned 10<sup>th</sup> EDF programmes, the EU Commission and the ACP Secretariat will consult with key stakeholders, including EU Delegations and REC Secretariats, prior to the launch of the call for proposals.

### **3.3. Risks and assumptions**

The primary risk category of this programme is political. Integrating into regional and world markets requires strong political will and ownership. Technical assistance will only bear fruits when beneficiaries are genuinely committed to implementing reforms. In order to mitigate this risk the programme is conceived, similarly to previous intra-ACP trade-related assistance programmes, as a demand-driven programme. Programme activities will be articulated based on specific requests received from beneficiaries. An important assumption underlying this approach is that beneficiaries are able to define their specific priority needs. For most LDC's, the Enhanced Integrated Framework (EIF) has funded the preparation of Diagnostic Trade Integration Studies (DTIS). These studies could be an important input for prioritizing activities.

Another risk pertains to not involving the private sector and civil society organizations (NGOs, academia, media) sufficiently. The call(s) for proposals will facilitate a close involvement of ACP private sector institutions and civil society organizations in the programme implementation. Involving local research and training institutions in the development and delivery of capacity building measures will enhance the sustainability of the programme's results. Training trainers provides an important multiplier effect and mitigates the inherent risk associated with high staff turnover rates in ACP ministries.

Duplication of activities poses another important risk. Programme activities will be carefully coordinated with other aid-for-trade activities funded by the EU and other donors (cf. sections 2.4 "Complementary actions" and 2.5 "Donor coordination"). Following the subsidiarity principle, the programme will focus on activities that have a specific intra-ACP added-value or which are not already covered by continental, regional or national programmes.

Finally, the demand-led nature of the programme poses a risk as the implementation of the programme estimates will be dependent on the submission of relevant beneficiary requests. In order to implement the programme successfully it will be essential to swiftly set up the PMU and to ensure that key beneficiaries are aware of the programme. The Hub & Spokes network will play an important role in communication information on the programme and in relaying beneficiary needs to the PMU (cf. section 2.4).

### **3.4. Cross-cutting issues**

The European Consensus on Development sets out eight cross-cutting issues: the promotion of human rights, gender equality, democracy, good governance, children's rights and indigenous peoples, environmental sustainability and combating HIV/AIDS (see point 3.3 of the joint declaration). Two cross-cutting issues are of particular relevance to this programme - gender equality and environmental sustainability. As equality between men and women and the active involvement of both genders in all aspects of social progress are key prerequisites for poverty reduction, TradeCom II will pay particular attention to promoting the participation of women in all capacity building activities. In addition, ACP countries will be supported in mainstreaming environmental sustainability into their trade strategies and policies.

### **3.5. Stakeholders**

The key stakeholders of the project include the ACP Secretariat, ACP governments (particularly ministries of trade and border clearance agencies, including customs), ACP Regional Economic Community Secretariats, ACP private sector associations, civil society organizations, ACP trade research & training institutes, and ACP exporters. Additional stakeholders are bilateral and multilateral donors, specialized international organizations as well as EU Delegations. Capacity building activities developed under the TradeCom II programme will specifically target women in order to contribute to the elimination of existing inequalities in access to resources, power and decision-making between men and women in society.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Financing agreement**

In order to implement this action, it is foreseen to conclude a financing agreement with the ACP Secretariat, referred to in Article 184(2)(b) of the Financial Regulation or in Article 17 of Annex IV to the Cotonou Agreement.

### **4.2. Indicative operational implementation period**

The indicative operational implementation period of this action, during which the activities described in sections 3.2. and 4.3. will be carried out, is 60 months, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements.

### **4.3. Implementation components and modules**

#### **4.3.1. *Partially decentralised management with the ACP Secretariat***

This action (except evaluation and audit) will be implemented in partially decentralised management with the ACP Secretariat in accordance with Articles 21 to 23 of the 10<sup>th</sup> EDF Financial Regulation 215/2008 according to the following modalities:

The ACP Secretariat will act as the contracting authority for the procurement and grant procedures. The Commission will control ex ante all the procurement procedures except in cases where programme estimates are applied, under which the Commission applies ex ante control for procurement contracts > EUR 50,000 and may apply ex post for procurement contracts ≤ EUR 50,000. The Commission will control ex ante the contracting procedures for all grant contracts.

Payments are executed by the Commission except in cases where programmes estimates are applied, under which payments are executed by the TradeCom II PMU (on behalf of the ACP Secretariat) for operating costs and contracts up to the ceilings indicated in the table below.

<b>Works</b>	<b>Supplies</b>	<b>Services</b>	<b>Grants</b>
< 300,000 EUR	< 300,000 EUR	< 300,000 EUR	≤ 100,000 EUR

The financial contribution covers the ordinary operating costs deriving from the programme estimates.

The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the beneficiary partner country.

In accordance with Article 262(3) of the Rules of Application, the ACP Secretariat shall apply the procurement rules of Chapter 3 of Title IV of Part Two of the Financial Regulation. These rules as well as rules on grant procedures in accordance with Article 193 of the Financial Regulation will be laid down in the financing agreement concluded with the partner country.

### **Basic organisational set-up:**

The ACP Secretariat shall be the contracting authority of the project. A Steering Committee chaired by the ACP Secretariat will provide guidance on the implementation of the programme (cf. section 4.5).

#### a) Project Management Unit:

A Brussels-based project management unit (PMU) will be set up in order to support the ACP Secretariat in the operational management of the programme. The PMU will provide technical expertise as well as administrative, preparatory and ancillary tasks relating to planning, monitoring, reporting on project components, procurement and financial management. The terms of reference of the PMU service contract will be agreed upon by the ACP Secretariat and the European Commission. The PMU will be indicatively composed of six (6) full time experts and one (1) part time communications expert. During the inception phase the PMU will develop a detailed operational manual. The PMU will manage the two below programme components:

#### b) Programme Estimate Component:

The PMU will technically and financially manage a series of consecutive programme estimates (private indirect decentralised operation) which will provide funding for programme activities to be implemented on a demand-driven basis. Ad-hoc validation committees, composed of the ACP Secretariat, the European Commission and the PMU, will convene to assess project requests. Relevant EU Delegations will be systematically consulted before projects are validated. The PMU team will provide technical expertise (supporting beneficiaries formulate project requests, drafting specific terms of references, reviewing reports and studies, organising conferences and workshops, etc.) and will continuously monitor the implementation of the current programme estimate.

#### c) Grant Component:

The grants will complement the ad-hoc demand-led support provided by the PMU via the programme estimates with longer-term and locally anchored institutional capacity building. The PMU will assist the ACP Secretariat in the management of the grants by providing technical expertise, including the preparation of the guidelines, assistance with the evaluation process, preparation of stakeholders' meetings and promoting visibility. The actual grant contracts will be signed by the ACP Secretariat following an ex ante control by the European Commission. International organizations will be eligible to participate in the call(s) for proposals (cf. section 3.2).

The indicative budget foreseen for individual grants will be between EUR 1 000 000 and EUR 3 000 000.

The essential selection criteria are financial and operational capacity of the applicant. The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

#### **4.4. Scope of geographical eligibility for procurement in direct centralised and decentralised management**

The geographical eligibility in terms of place of establishment for participating in procurement procedures and in terms of origin of supplies and materials purchased shall apply as established in the basic act.

#### 4.5. Indicative budget

Module	Amount in EUR	Third party contribution
PMU Service Contract (decentralised)	4 400 000	N.A
Programme Estimates (decentralised)	20 000 000	N.A
Grants (decentralised)	14 400 000	TBD*
Evaluation and audit (centralised)	500 000	N.A
Communication and visibility (decentralised)**	0	N.A
Contingencies***	500 000	N.A
<b>Totals</b>	<b>39 800 000</b>	

- \* Grant beneficiaries will co-finance their grants by at least 20%.
- \*\* Cf. section 4.7

\*\*\* The EU contribution to the “Contingencies” heading may be used only with prior agreement of the Commission.

#### 4.6. Performance monitoring

The TradeCom II PMU will be in charge of the day-to-day programme monitoring. The PMU will continuously monitor the performance of all activities launched under the programme estimates. In addition, the PMU will, on behalf of the ACP Secretariat, evaluate and monitor the progress achieved under the grant contracts. The PMU will assess all intermediary reports submitted by grant beneficiaries and inform the ACP Secretariat and the European Commission of any potential implementation problems. Performance will be assessed against the objectively verifiable indicators set out in the indicative Logical Framework Matrix (LFM). The LFM will be updated and refined during the inception phase to allow for an effective monitoring of the complete programme.

A Steering Committee (SC) shall be set up to oversee and validate the overall direction and policy of the programme. The SC shall meet every six months and shall include representatives of the ACP Secretariat, the European Commission and the PMU. Representatives from ACP regions and other selected relevant parties might be invited to participate as observers (e.g. international organizations with specialized expertise in the domain of aid-for-trade). The SC will be chaired by the ACP Secretariat. The PMU will act as the SC’s secretariat.

#### 4.7. Evaluation and audit

Independent consultants, recruited directly by the European Commission on specifically established terms of reference, will carry out a final evaluation at the beginning of the closing phase of the TradeCom II programme and, possibly, a midterm review. A total of EUR 500 000 will be reserved for evaluations and audits. The evaluations will be shared with the ACP Secretariat in order to take into account any recommendations put forward.

The European Commission will contract an internationally recognised external auditor to verify the expenditures incurred under the programme estimates. Besides the foreseen regular expenditure verification missions covering the programme estimates, the European Commission may, at any time, launch additional external audits covering specific/or all programme components.

#### **4.8. Communication and visibility**

Communication and visibility activities will be implemented in decentralised management. The incidental expenditures budget of the PMU service contract will foresee funds for the development and management of the TradeCom II website as well as for the design and publication of promotional material (brochures, newsletters etc.). Additional communication and visibility funds will be included in each programme estimate (programme promotion events, case studies etc.).

A key activity of the PMU will be communicating information about the call(s) for proposals. This will mitigate the risk of a low response rate. Furthermore, each grant will include an activities specifically focused on the publication and dissemination of results.

All materials produced in the course of the programme shall include the reference "with the financial support from the European Union" and carry the logos of the EU and of the ACP Group of States.

All communication and visibility activities will be undertaken in accordance with the Communication and Visibility Manual for EU External Actions.

A communication and visibility strategy should be submitted for the approval of the TradeCom II Steering Committee during the inception phase.

## ANNEXE 7

**de la décision de la Commission sur le Programme d'Action Annuel 2013 –Partie 2 en faveur de la coopération Intra-ACP à financer du 10<sup>e</sup> FED**

**Fiche action pour le Programme Produits de base Fève Cacao, Noix de Coco, Racines / Tubercules au profit des Petits producteurs dans les Pays ACP 10<sup>e</sup> FED (024-734)**

### 1. IDENTIFICATION

Intitulé/Numéro	<b>« Programme Produits de base Fève Cacao, Noix de Coco, Racines/Tubercules au profit des Petits Producteurs dans les Pays ACP »</b> N° CRIS: FED/024-734		
Coût total	Coût total estimé: 18 490 000 EUR  Contribution du FED: 18 000 000 EUR  Cette action fiche fait l'objet d'un cofinancement parallèle de la part de Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) pour un montant de 490 000 EUR		
Méthode d'assistance / Mode de gestion	Approche projet  - <i>Gestion partiellement décentralisée</i> : Assistance Technique, Programme Management Unit (PMU) ;  - <i>Gestion conjointe</i> avec Food and Agriculture Organization of the United Nations (FAO), Centre du Commerce International (CCI);  - <i>Gestion centralisée indirecte</i> avec GIZ ;  - <i>Gestion centralisée directe</i> : audit et évaluations		
Code CAD	33120	Secteur	Développement Agricole

### 2. MOTIF

#### 2.1. Contexte sectoriel

**Importance économique du secteur des produits de base - Contribution à la lutte contre la pauvreté et à la sécurité alimentaire**

Le rôle de l'agriculture dans la promotion de la croissance économique et la réduction de la faim et de la pauvreté dans la plupart des pays ACP est primordial. En effet, l'agriculture représente encore plus de 60 % de l'emploi total des pays d'Afrique, Caraïbes et Pacifique, contre environ 55 % dans les pays en développement dans leur ensemble<sup>38</sup>. L'agriculture représente également une part plus importante du total des échanges pour les pays ACP que pour les pays en développement dans leur globalité.

Néanmoins, une relative faiblesse des crédits nationaux, régionaux et internationaux alloués aux agricultures et aux filières des pays ACP durant ces dernières décennies n'ont pas permis d'aider ces derniers à la réalisation des défis que pose leur secteur agricole. Alors que les pays en développement ont connu une augmentation soutenue de la production alimentaire par habitant pour la période 1990-2005, la

<sup>38</sup> Pour les données fournies ici : source FAO, Banque Mondiale, Centre du Commerce International

production alimentaire dans le groupe des pays ACP n'a pas suivi le rythme de la croissance de sa population.

Compte tenu de l'importance fondamentale du secteur agricole pour la zone Afrique, Caraïbes et Pacifique, il est essentiel de soutenir les secteurs public et privé dans leurs efforts pour contribuer au renforcement du rôle de l'agriculture dans le développement de ces pays. Plus précisément, les produits de base jouent un rôle important tant dans le développement des filières agricoles que concernant le soutien aux petits producteurs, puisque ceux-ci dépendent pour une large part de ces produits pour s'assurer un accès et une disponibilité alimentaires suffisants.

Les produits de base sélectionnés pour ce nouveau programme correspondent tous à des secteurs dont le potentiel de développement des chaînes de valeur revêt une importance particulière pour les pays de la zone ACP, et qui recouvrent également une part non négligeable de petits producteurs et de travailleurs pauvres.

Ce programme est par ailleurs en lien, pour la partie qui concerne l'Afrique, avec les objectifs du pilier 2 du Programme détaillé pour le développement de l'agriculture en Afrique (PDDAA) et notamment celui visant à : « créer le cadre réglementaire et politique nécessaire pour faciliter l'émergence d'espaces économiques régionaux susceptibles de stimuler l'expansion du commerce régional ». Enfin, bien que principalement défini à partir d'une approche filière, l'action présentée ici se propose de contribuer à un appui plus large des populations vulnérables impliquées dans les filières des produits de base contre l'insécurité alimentaire (objectif général), et a retenu dans ses priorités celles formulées par le « Cadre stratégique de l'UE pour aider les pays en développement à relever les défis liés à la sécurité alimentaire (2010) ».

Trois catégories de produits de base ont été retenues pour ce programme : fèves de cacao, noix de coco et racines et tubercules dont le contexte économique et social est brièvement exposé ci-après.

#### Fève de cacao

Le cacao est l'un des produits de base agricole les plus importants en termes économiques au niveau mondial, sa demande n'ayant cessé de croître durant ces dernières décennies avec des prévisions toujours à la hausse selon l'Organisation internationale du cacao (ICCO).

Plus de 70% de la production mondiale de cacao est originaire d'Afrique occidentale et centrale, fournissant des moyens de subsistance aux 4 à 5 millions de familles de petits producteurs impliqués dans sa culture. La Côte d'Ivoire, le Ghana, le Nigeria et le Cameroun sont de loin les plus gros producteurs. En ce qui concerne les Caraïbes et le Pacifique, certains pays sont engagés sur le marché mondial du cacao et ont également un rôle à jouer. C'est le cas plus particulièrement de la République dominicaine, la Papouasie-Nouvelle-Guinée (PNG), Haïti ou les Îles Salomon.

Dans les pays ACP concernés et malgré les progrès considérables de la recherche, les niveaux de production du cacao sont restés relativement faibles, n'étant pas en mesure d'appuyer la sécurité alimentaire des petits producteurs impliqués dans ces filières. Comme dans d'autres filières de produits de base, les agriculteurs manquent de ressources techniques, de services ainsi que de financement pour tirer pleinement parti des possibilités offertes par la culture du cacao.

Enfin, le changement climatique est un autre défi qui menace la résilience des petits exploitants, notamment en ce qui concerne l'Afrique. La faible productivité conjuguée à la forte croissance démographique a ainsi forcé de nombreux petits exploitants à étendre leurs exploitations dans des zones forestières, conduisant à une grave déforestation et une dégradation des terres.

#### Noix de coco

Plus de 75% de la production de noix de coco dans le monde se situe en Asie dans les grands pays producteurs (Philippines, Indonésie, Inde).

Bien que comptant relativement peu à l'échelle internationale en termes de volume total produit, la noix de coco est un produit de base relativement important pour les économies de type insulaire et notamment

pour les états des Caraïbes et du Pacifique. A ce titre, le développement de filières noix de coco à fort potentiel productif et commercial est une préoccupation majeure de ces derniers.

La noix de coco est ainsi un des produits de base les plus intéressants pour ces économies insulaires, qui peut contribuer de manière significative au développement des agricultures locales des états les plus fragiles de la zone Caraïbes/ Pacifique. Le secteur de la noix de coco représente également une source non négligeable d'emplois et de revenus en milieu rural pour les pays concernés, et assure pour partie la sécurité alimentaire des populations de petits agriculteurs les cultivant. Ce rôle de la noix de coco est ainsi un atout en termes d'appui à la disponibilité et à l'accès alimentaires des populations de petits agriculteurs, atout renforcé de par le caractère multifonctionnel des systèmes agricoles incorporant les cocotiers (systèmes agro- forestiers).

Néanmoins, la production de noix de coco tend à se stabiliser, voire à diminuer dans la plupart des pays de la zone Caraïbes/ Pacifique, faute d'initiatives privées et d'un soutien public fort.

Les défis majeurs à relever par les filières concernées sont notamment : la mise à niveau et le renforcement des chaînes de valeur, un renforcement de leur compétitivité et la mise sur le marché de produits à plus forte valeur ajoutée.

Dans le même temps, de nombreux marchés s'ouvrent pour la noix de coco et ses produits dérivés, avec l'apparition d'une demande de consommateurs des cinq continents pour des utilisations alimentaires haut de gamme comme l'eau de coco frais, le lait de coco ou l'huile de coco vierge.

Il y a là pour tous les acteurs concernés, une incitation majeure au renforcement des filières noix de coco, qui pourraient aussi contribuer à améliorer la sécurité alimentaire de ses petits producteurs.

### Racines et Tubercules

L'importance des racines et tubercules comme source de nourriture et de revenus pour les agriculteurs pauvres ainsi que pour les pauvres ruraux et urbains en général est souvent négligée dans les débats sur l'amélioration de la sécurité alimentaire et l'éradication de la pauvreté dans les pays en développement. Ceci est particulièrement le cas dans de nombreuses régions d'Afrique sub-saharienne, où le manioc, l'igname, la patate douce et le taro sont d'importantes cultures de base qui servent à la fois comme produits de consommation et à maintenir les moyens de subsistance des petits producteurs.

Le manioc par exemple, est une culture polyvalente d'intérêt pour de nombreux gouvernements africains (dont le Ghana et le Cameroun) puisque c'est un des ingrédients de base de la nourriture africaine. Ces sous-produits peuvent aussi être utilisés comme fertilisants et comme source d'énergie naturelle. Le manioc est de plus une culture tolérante à la sécheresse, qui nécessite peu d'intrants et peut être cultivé sur des sols marginaux. Elle est donc d'un intérêt économique certain pour les petits producteurs.

Concernant la zone des Caraïbes, de nombreux pays insulaires font face à d'importantes importations alimentaires, aggravées par le niveau élevé et la volatilité des prix du marché mondial pour les produits de base. En réponse, plusieurs gouvernements de la région mettent l'accent sur des stratégies de substitution aux importations pour des aliments produits localement, dont les racines et tubercules. Des pays comme la Guyane, St Vincent et Grenadines et Trinité ont par exemple œuvré ces dernières années à améliorer la productivité et le potentiel de valeur ajoutée de ces produits pour le marché régional.

### **Réponses antérieures de la Commission**

Le programme proposé s'inscrit dans le cadre du Programme Indicatif Multi annuel (2008-2013) de la coopération Intra-ACP-10e FED, et est la continuité du programme « commodities » précédent, dénommé AAACP (Programme tous ACP relatif aux produits de base agricoles ou All ACP Agricultural Commodities Programme).

Le programme AAACP a été lancé en collaboration avec cinq organisations internationales actives dans le secteur des matières premières agricoles : le Fonds commun pour les produits de base (CFC), le Centre du commerce international (CCI ou ITC), l'Organisation des Nations Unies pour l'alimentation et l'agriculture (FAO), la Conférence des Nations Unies sur le commerce et le développement (CNUCED) et la Banque mondiale (BM).

Ce programme de 45 million d'Euros a tout particulièrement conduit à l'élaboration de 20 stratégies couvrant 12 produits agricoles de base et bénéficiant directement à 13 pays ACP. Le programme AAACP a aussi contribué à favoriser la coopération entre Organisations Internationales et à les utiliser comme véhicules pour la diffusion de l'approche chaîne de valeur.

Il visait enfin à développer et mettre en œuvre des stratégies durables visant à améliorer la productivité des agriculteurs et à renforcer leurs moyens de subsistance.

### **Poursuite des appuis**

Malgré les avancées réalisées lors du programme AAACP, les problèmes auxquels sont confrontés les acteurs des filières des produits de base agricoles restent encore multiples.

Une poursuite des efforts du programme précédent est ainsi rendue nécessaire à travers ce nouveau programme, concernant plus particulièrement les points suivants :

(1) *Dialogues stratégiques et politiques aux niveaux nationaux et régionaux* : Le programme AAACP a conduit à l'élaboration de 20 stratégies couvrant 12 produits agricoles de base et bénéficiant directement à 13 pays ACP. Si ce premier programme a donc permis d'avancer considérablement dans l'élaborations de politiques de soutien aux secteurs des produits de base, il reste cependant des incohérences à corriger entre certaines politiques nationales et les politiques adoptées au niveau régional par les organisations correspondantes (i.e. UEMOA).

D'autre part, il a été relevé par la mission d'évaluation à mi-parcours et l'Evaluation thématique du programme AAACP que certaines des stratégies élaborées au niveau pays n'ont pas été systématiquement intégrées officiellement en tant que stratégies nationales, ceci étant particulièrement le fait de gouvernements qui n'avaient pas fait des chaînes de valeurs agricoles une priorité. Les processus de mise en œuvre de ces stratégies demandent donc à être accompagnés pour une période de temps supplémentaire, tant au plan de la mise en œuvre que de l'évaluation et l'actualisation desdites stratégies.

(2) *Productivité, compétitivité et valeur ajoutée au sein des filières de produits de base* : D'importants problèmes entravent toujours la compétitivité, notamment interne des filières des produits de base et concernant des déficiences existantes à plusieurs niveaux : baisse de la fertilité des sols, dangers liés à l'utilisation de pesticides, insuffisance d'une gestion intégrée de la production, freins existants pour l'adoption et la diffusion d'innovations technologiques ou encore une insuffisante valorisation des produits agricoles. Un appui aux politiques à moyen et long terme concernant la sécurité alimentaire et les produits de base agricoles est aussi nécessaire pour permettre une intensification de la production agricole et une amélioration des opportunités de marchés.

(3) *Vulnérabilité des petits producteurs et diversification des sources de revenus* : La vulnérabilité des filières des produits de bases constitue un frein important à l'intensification et à la modernisation des exploitations. En particulier, les petits producteurs qui constituent le socle social majoritaire de ces filières n'ont pas suffisamment accès aux facteurs de production. Une telle situation demande d'apporter des réponses, notamment en termes de diversification et consolidation des revenus provenant de productions agricoles précises -dans ce cas les produits de base-.

(5) *Accès aux services* : Les petits producteurs n'ont que peu d'accès aux services d'appui à la production/ vente au niveau local, qui leur permettraient d'intensifier leur production, de gagner en valeur ajoutée ainsi que d'acquérir une plus grande capacité de négociation face aux intermédiaires des filières concernées. L'amélioration de la compétitivité des chaînes de valeurs des produits de base passe inévitablement par un renforcement de l'appui aux petits producteurs et à leurs organisations professionnelles en matière de services disponibles ; services d'appui technique, services financiers et d'informations sur les conditions de marché notamment.

(6) *Gestion des risques* : Les producteurs de produits de base des pays ACP n'ont pas suffisamment accès à des instruments qui pourraient leur permettre de faire face de manière moins dramatique aux catastrophes naturelles et aux risques économiques, et de soutenir l'adaptation de leurs systèmes agricoles. Comme l'a montré le programme AAACP, ces instruments doivent être plus largement diffusés

et aider les producteurs à réduire à moyen terme leur dépendance et à consolider leur résilience vis-à-vis de ces chocs.

## **2.2. Enseignements tirés**

Les principaux enseignements tirés sont issus:

- De l'évaluation à mi-parcours du programme AAACP. Tout en constatant la pertinence de l'approche « filière agricole », elle recommande de développer les mécanismes de coordination du programme afin d'y conforter le « point de vue national ». Il est donc nécessaire dans ce nouveau programme d'accorder une place plus importante aux « field offices » des Organisations Internationales ainsi qu'aux Délégations de l'Union européenne présentes dans les pays où le programme est mis en œuvre. La prise en compte du principe de Subsidiarité est essentielle pour une définition plus précise des processus de coordination à mettre en place.

- De l'évaluation thématique du programme AAACP, notamment : (1) Le risque de manque de cohérence pouvant subsister entre stratégies nationales et régionales pour certains produits de base ; (2) La nécessité de prendre en compte les besoins des petits producteurs et leur vulnérabilité ; (3) Le besoin d'améliorer l'accès aux services d'appui technique, financiers et d'informations sur les marchés ; (4) La nécessité de prendre en compte la gestion des risques.

- Des conclusions et des retours d'expériences émis par les Organisations Internationales en charge de l'implémentation du programme AAACP. Il en ressort qu'il serait préférable de concentrer le prochain programme d'activités sur certains produits de base en particulier, plutôt que d'englober tous les produits de base possiblement concernés dans un seul et unique programme. Concernant la sélection des produits de base à inclure dans ce nouveau programme, il y a convergence de vues pour considérer uniquement : (1) les produits dont le potentiel de développement n'a encore été que peu exploré par rapport à d'autres produits de base ; (2) et ceux dont l'effet levier et l'impact en terme d'accroissement des revenus et d'amélioration de la sécurité alimentaire sont potentiellement importants, nonobstant de leur caractère « cash crop » ou « staple food ».

## **2.3. Actions complémentaires**

### **Actions de la Commission européenne**

- A travers les mécanismes de financement DCI et FED, la Commission européenne soutient divers projets de développement du secteur du cacao. Ces projets sont implémentés à travers des ONGs et la société civile, des Institutions du Secteur Public et/ou des Partenariats Public Privés (PPP). Excepté concernant le Ghana et en Haïti, ces programmes visent avant tout à diversifier les systèmes de production des petits producteurs afin d'assurer un appui direct au renforcement de leur sécurité alimentaire. Ce sont donc des programmes de sécurité alimentaire et non pas des programmes mettant particulièrement l'accent sur les filières de production, comme c'est le cas du programme présenté ici. Les programmes mis en œuvre au Ghana et en Haïti sont eux plus directement ciblés sur la filière du cacao, avec des montants totaux de 15 000 000 EUR et 460 000 EUR respectivement.
- Concernant le manioc, le Food Security Thematic Programme (FSTP) a mis en place un programme de 4 000 000 EUR dirigés aux pays d'Afrique Centrale et de l'Est.
- Au travers du programme PAOPA (Programme d'Appui aux Organisations de Producteurs Africaines) financé par le DCI, les Organisations de producteurs régionales sont appuyées au travers d'une composante « prestation de services économiques » pour améliorer la fourniture de services économiques par les OPs à leurs membres et pour améliorer l'intégration dans les filières. Des synergies pourront donc être trouvées avec le présent programme pour certaines filières.
- L'expérience du COLEACP-PIP peut servir comme exemple pour aboutir aux résultats proposés par ce programme, et notamment celles concernant l'amélioration des synergies entre les

différents acteurs de la chaîne de valeur et l'accès aux services d'information pour les petits producteurs. Le Programme PIP a développé une méthodologie novatrice pour aider les producteurs et exportateurs ACP à disposer des informations, des compétences et des ressources humaines nécessaires pour développer leur accès aux marchés concernés.

#### **Actions des autres bailleurs**

- Suite au programme AAACP, la FAO a mis en place un programme de soutien aux agro-industries liés aux secteurs des produits de base agricoles. Ce programme est réalisé conjointement avec l'IFAD (International Fund for Agricultural Development) et l'UNIDO (United Nations Industrial Development Organization), et en consultation avec les organisations économiques régionales ;
- La FAO met aussi en place un projet pilote de réduction de la pauvreté rurale ayant comme axe principal la commercialisation du manioc, en partenariat avec l'IFAD ;
- La GIZ développe un programme au Cameroun, Côte d'Ivoire, Ghana et Nigeria en soutien à la filière du cacao et intitulé « Sustainable Cocoa Business Program » (SCB). C'est un programme d'appui au secteur productif à travers le concept de « Farmers' business schools » ;
- La GIZ met en place un programme au Nigeria intitulé « Economic Development Program » qui inclut un appui spécifique au manioc ;
- Le CCI développe en Afrique notamment un programme d'appui aux petits producteurs en lien avec l'Organisation Internationale du Travail et son département « micro-assurance », ayant pour but de proposer à ces derniers des régimes d'assurance indexés plus adaptés aux situations rencontrées localement ;
- Caribbean Agricultural Research and Development Institute (CARDI) développe différents programmes de soutien au taro et à la patate douce ;
- Le Technical Centre for Agricultural and Rural Cooperation (CTA) a prévu dans son prochain plan d'action de développer des formations sur les filières racines et tubercules, à destination des services concernés des gouvernements des Caraïbes, ainsi que des associations de producteurs et industriels du secteur.

#### **2.4. Coordination des bailleurs de fonds**

La coordination avec les différents bailleurs de fonds qui sont impliqués au niveau régional et/ ou national dans l'appui aux produits de base sélectionnés pour ce programme sera effectuée à travers les organisations maitres d'œuvre ainsi qu'à travers les mécanismes de coordination prévus par le programme (PMU et Comité de Pilotage).

Concernant les actions spécifiques qui seront implémentées par les organisations maitres d'œuvre, chacune d'entre elles a défini au préalable les activités implémentées par d'autres bailleurs de fonds au niveau national et régional. Ceci a permis de définir un programme d'action propre à chaque organisation, qui évite par ailleurs que ne soient financées plusieurs fois un même type d'actions ou qu'au contraire certaines actions nécessaires dans le cadre d'un appui aux chaînes de valeurs manquent de financement.

D'autre part, les actions des organisations maitres d'œuvre ont été définies et seront mis en place en tenant compte des documents stratégiques existant au niveau national ainsi que régional (au niveau des RECs). Les besoins et priorités des pays récepteurs du programme ainsi que de leurs populations bénéficiaires sont donc pris en compte, conformément aux orientations principales définies à travers la Déclaration de Paris et le Consensus Européen sur le Développement.

Enfin l'assistance technique (PMU) du programme représentera un appui important pour le Secrétariat ACP, afin que celui-ci puisse assurer le rôle de point focal du programme et à ce titre établir une coordination interinstitutionnelle régulière entre Organisations participantes et avec la GIZ en particulier, qui co-finance une partie de l'action dont elle aura la charge.

### **3. DESCRIPTION**

#### **3.1. Objectifs**

**L'objectif global** du Programme est de contribuer à accroître la disponibilité alimentaire et consolider les revenus des petits producteurs.

**L'objectif spécifique** du programme est d'améliorer la compétitivité des petits producteurs engagés au sein des filières fève de cacao, noix de coco et racines/ tubercules à travers une plus forte intégration régionale des marchés concernés et une intensification de la production.

#### **3.2. Résultats escomptés et principales activités**

Quatre résultats sont envisagés pour le programme. Chacun d'entre eux assure une continuité opérationnelle et technique par rapport aux résultats atteints lors du précédent programme AAACP .

(1) Les stratégies régionales et nationales existantes sont mises en cohérence afin de développer de possibles synergies et d'améliorer l'intégration régionale des marchés concernés. Les appuis porteront sur : (i) le renforcement de la coordination régionale afin de permettre une meilleure intégration des stratégies nationales définies lors du précédent programme ; (ii) l'alignement des stratégies nationales définies pour les produits de base avec les priorités définies par les gouvernements en matière agricole.

(2) La compétitivité interne et la viabilité des filières est améliorée par une large diffusion des méthodes d'intensification de la production ainsi que par une amélioration des synergies entre les différents acteurs des chaînes de valeur concernées. Les domaines d'appui ciblés seront : (i) la gestion intégrée et l'intensification des systèmes productifs ; (ii) la recherche/vulgarisation en recherchant à améliorer son efficacité, notamment à travers des synergies régionales ; (iii) un soutien à la diffusion d'innovations technologiques pour une meilleure valorisation des produits agricoles ; (iv) le renforcement des capacités des associations de producteurs ; (v) L'amélioration des synergies entre les producteurs et les transformateurs de produits agricoles. Tout en restant proche des domaines d'action définis, la phase de formulation disposera néanmoins d'une flexibilité dans l'élaboration du cadre logique détaillé du programme, dans la mesure où la pertinence de la logique d'intervention en serait renforcée.

(3) L'accès aux services d'information ainsi qu'au financement est facilité pour les petits producteurs. Les appuis porteront sur : (i) un accès aux services d'informations sur les conditions de marché, afin de permettre aux producteurs d'acquérir une plus grande capacité de négociation face aux intermédiaires des filières concernées ; (ii) la possibilité de bénéficier d'un accès accru aux services financiers pour notamment les petits producteurs et leurs organisations professionnelles.

(4) Les petits producteurs ont un plus large accès aux instruments de gestion des risques, notamment concernant les risques climatiques et de marché. Les domaines d'appui sont: (i) l'identification et l'analyse des risques majeurs affectant divers intervenants des filières des produits de base; (ii) l'accès des producteurs aux instruments leur permettant de faire face aux risques de catastrophes naturelles et aux chocs économiques. Le résultat 4 inclura aussi une dimension « gestion de conflits » entre les acteurs d'une même filière de produits de base ; pour arriver à des mécanismes de gouvernance locale adaptés. Il est enfin prévu d'intégrer la dimension gestion de risques environnementaux et de préciser les instruments qui pourraient être proposés.

Concernant les activités du programme, la mise en œuvre de ses actions prendra en compte les programmes agricoles définis au niveau national - Plan National d'Investissement Agricole (PNIA)- et au niveau régional - plans régionaux développés au niveau des Regional Economic Communities (REC)s (PRIA).

Chacune des Organisations Internationales retenues pour ce programme travaillera à mettre en place des actions qui incluront une consolidation des synergies possibles entre les différents acteurs de terrain – notamment avec les organisations de producteurs- et ce afin de maximiser l'impact final du programme sur les petits producteurs. Cet objectif étant primordial pour l'action proposée ici, il sera en outre intégré au programme des modes d'implémentation et des méthodologies techniques adaptées, permettant d'avoir un impact fort concernant l'amélioration de la sécurité alimentaire des petits producteurs.

### 3.3. Risques et hypothèses

Les risques dans la mise en œuvre du programme ont été identifiés et des mesures d'atténuation ont été prévues dans la logique d'action du programme.

Les principaux risques et hypothèses sont les suivants :

- Il est nécessaire (risque faible) que les associations professionnelles ainsi que les bénéficiaires directs du programme puissent être totalement impliqués dès le début des actions à mettre en place, afin que les enjeux et objectifs à atteindre dans le cadre du programme fassent l'objet d'un large consensus.

*Mesures pour réduire ce risque* : L'identification de ce programme a fait l'objet de consultations, notamment avec les Organisations Internationales et prend en compte les orientations exprimées par différents acteurs du secteur agricole. Ce programme répond donc à des attentes fortes exprimées par différents acteurs des filières des produits de base et concernant les politiques de soutien à ces mêmes filières. Il est cependant primordial d'informer dès le début du programme toutes les parties prenantes de ses spécificités propres, ce qui inclut les associations professionnelles, dont le rôle dans ce futur programme n'est pas négligeable.

Le programme se base par ailleurs sur les hypothèses suivantes :

- Le programme devra être suffisamment mobilisateur pour intégrer dans ses mécanismes de coordination les « field offices » des OIs ainsi que les Délégations de l'Union européenne présentes dans les pays où le programme sera mis en œuvre. Les organisations du NEPAD impliquées dans le développement des filières de produits de base devront aussi être impliquées, au moins en tant qu'observateur des actions mis en place par le programme ;
- Les différents acteurs impliqués dans le programme doivent s'engager dans un processus de dialogue continu avec les institutions nationales et régionales concernées au niveau ACP ;
- Le contexte international dans lequel évoluent les filières des produits agricoles de base reste stable. Une trop forte volatilité des prix à l'international par exemple pourrait constituer à terme un danger pour une mobilisation globale des acteurs et bénéficiaires du programme.

### 3.4. Questions transversales

La durabilité du programme sera assurée grâce à différents facteurs énumérés ci-après :

#### **Facteurs sociaux et économiques :**

- *Vulnérabilité des petits producteurs et diversification des sources de revenus* : le programme proposé ici permettra d'apporter des solutions, suivant les produits de base considérés, aux problèmes de disponibilité alimentaire et/ ou de consolidation des revenus au niveau des ménages. Le programme tient compte du fait qu'une consolidation des revenus provenant de productions agricoles précises - dans ce cas les produits de base- permet effectivement une diversification des revenus finalement disponibles pour les ménages concernés.

- *Viabilité économique et financière* : pour les produits de base sus-mentionnés, un élément fondamental du programme est l'appui aux filières concernées et donc la recherche d'impact en termes d'efficacité économique. La viabilité économique et financière recherchée permettra aux producteurs ainsi qu'aux acteurs de la filière de conforter leurs revenus provenant des activités productives agricoles appuyées par le programme.

- *Intégration régionale des marchés des produits de base*: un renforcement de la coordination régionale afin de permettre une meilleure intégration des stratégies nationales définies lors du précédent programme dans un ensemble régional peut permettre à terme une meilleure intégration commerciale des marchés concernés, pour les produits de base sélectionnés sur ce programme spécifiquement.

#### **Facteurs organisationnels :**

- *Appropriation du programme* : le programme présenté ici prévoit d'impliquer comme parties prenantes les principaux acteurs publics et privés des filières des produits de base concernés. Cela constitue un

élément important permettant d'assurer une appropriation correcte des résultats de l'action par ces différents acteurs.

- *Participation des organisations professionnelles de producteurs* : les principaux besoins en matière de renforcement des capacités des associations professionnelles des produits de base seront analysés. L'accent sera mis plus particulièrement sur les associations à dimension nationale voire régionale.

- *Subsidiarité, coordination et mise en œuvre du programme*: concernant l'architecture spécifique au programme, une place importante sera accordée aux « field offices » des OIs ainsi qu'aux Délégations de l'Union européenne présentes dans les pays ou des actions directement issues du programme seront mises en œuvre.

#### **Facteurs techniques :**

- *Innovation* : le programme est potentiellement novateur car il peut offrir aux petits producteurs un accès à de nouvelles technologies de production et de transformation. Ceci est notamment vrai concernant l'appui aux filières racines et tubercules, qui bénéficient généralement d'un support moindre comparé à d'autres produits de base comme le coton ou les céréales par exemple.

- *Diffusion de technologies appropriées* : notamment en ce qui concerne l'appui aux petits agriculteurs et aux acteurs des filières concernées, le programme propose d'employer des technologies adaptées aux contextes techniques et économiques existant, et qui permettent leur appropriation rapide par les bénéficiaires du projet.

#### **Egalité des genres**

Dans les milieux ruraux des pays ACP, les femmes et les jeunes représentent en général des catégories sociales défavorisées ne profitant pas des programmes de développement au même titre que les hommes. Les femmes en particulier accomplissent des fonctions de production souvent difficiles en plus des fonctions traditionnelles qui leur sont dévolues. A travers ce programme, il est prévu d'améliorer l'accès des femmes aux services de vulgarisation technique ainsi qu'aux technologies agricoles, afin d'améliorer leurs revenus et ceux des ménages essentiellement composés de femmes.

#### **Changement climatique et durabilité environnementale**

Le programme contribuera par certains de ses aspects à une meilleure gestion des risques environnementaux liés à la production agricole et à assurer une gestion durable des ressources naturelles. Par exemple, les cultures concernées par ce programme (fève de cacao, noix de coco et racines/tubercules) sont souvent utilisés par les petits producteurs dans des systèmes agricoles mixtes (ex : agro-foresterie), qui permettent de limiter l'érosion des sols et les dégâts des activités économiques sur l'environnement et les ressources naturelles. En outre, à travers le Résultat 2, la diffusion de bonnes pratiques agricoles permettra une utilisation plus raisonnée des ressources disponibles et produits phytosanitaires, et ainsi de contribuer à réduire localement la pollution des sols et des eaux.

### **3.5. Parties prenantes**

Les groupes cibles du programme et bénéficiaires finaux sont:

(i) Les acteurs du secteur privé des pays ACP et leurs groupements:

- les producteurs de produits de base pour chacun des produits retenus et plus particulièrement les petits agriculteurs ;
- les organisations de producteurs, entre autres : Eastern Africa Farmers Federation (EAFF), Southern African Confederation of Agricultural Unions (SACAU), Réseau des Organisations Paysannes et de Producteurs de l'Afrique de l'Ouest (ROPPA), Caribbean Farmers Network (CAFAN) and Pacific Farmer Organisation Network (PIFON)) ;
- les opérateurs de la filière à l'aval et leurs organisations (unité de conditionnement, exportateurs, transporteurs) ;

(ii) Les organismes du secteur public au niveau national avec des responsabilités dans le domaine des filières, agissant seuls ou en partenariat avec le secteur privé.

(iii) Les organisations économiques régionales : Common Market for Eastern and Southern Africa (COMESA), Union Economique et Monétaire Ouest Africa (UEMOA), Economic Community of West

African States (ECOWAS), Caribbean Community (CARICOM), Pacific Island Forum Secretariat (PIFS).

Pour chaque organisation impliquée, la division du travail concernant les produits de base inclus dans ce programme a été effectuée sur base des compétences techniques propres à chacune des trois organisations retenues pour la mise en œuvre. Ainsi, la GIZ se concentrera sur le secteur de la fève de cacao, la FAO sur les racines et tubercules, et la CCI sur la noix de coco.

En ce qui concerne le choix des zones géographiques à favoriser pour l'implémentation du programme, celui-ci découle directement de la répartition géographique dominante, propre à chacune de ces chaînes de valeur, existant pour la production/ transformation des produits de base concernés.

Chacun des partenaires de mise en œuvre travaillera donc sur une zone régionale correspondant à une concentration déjà ou historiquement importante de la chaîne de valeur concernée.

La répartition régionale intra ACP du programme est donc la suivante :

- GIZ, appui au secteur de la fève de cacao. Activités concentrées sur l'Afrique de l'Ouest
- FAO, appui aux racines et tubercules. Activités concentrées en Afrique de l'Ouest et du Centre
- CCI, appui à la noix de coco. Activités concentrées sur la zone Caraïbe/ Pacifique

Par ailleurs, toutes les actions proposées par les partenaires de mise en œuvre et incluses dans le programme produits de base intègrent chacun des 4 résultats du programme.

**• Coordination des trois institutions internationales retenues comme partenaires pour la mise en œuvre**

Pour ce programme, deux organisations internationales (FAO, CCI) et une organisation nationale de coopération décentralisée (GIZ) mettront en œuvre les activités du programme, selon une répartition des tâches qui est basée sur une évaluation de leurs avantages comparatifs pour le programme.

La Commission exerce un contrôle ex ante de toutes les procédures de passation de marchés et d'octroi de subvention. Les paiements sont exécutés par la Commission.

Le Secrétariat ACP sera responsable de l'exécution, de la gestion et de l'administration du programme. Il sera soutenu dans sa tâche par une Assistance Technique (aussi appelée PMU pour Programme Management Unit ou encore UC pour Unité de Coordination), qui sera responsable de la gestion et de la coordination du programme en lien avec les organisations de mise en œuvre retenues.

L'assistance technique (PMU) du programme représentera le point focal du programme. Elle aura pour but de faciliter la mise en œuvre du programme jours après jours et d'assurer une coordination interinstitutionnelle régulière entre Organisations participantes.

Les principales tâches de la PMU seront d'organiser le lancement du programme ainsi que des ateliers d'examen à mi-parcours ; et de soutenir le comité de pilotage du programme dans l'exécution de son mandat, en particulier en ce qui concerne les plans de travail annuels et l'affectation des fonds.

La PMU est en charge de la collecte, du traitement et de la diffusion de l'information relative à l'état d'avancement des programmes et des activités aux parties prenantes mais aussi aux acteurs qui pourraient être directement intéressés par les activités du programme, en particulier ceux des pays ACP. Elle accordera une attention toute particulière au suivi des moyens mis en œuvre lors de l'exécution du programme, et au suivi de la définition des activités proposées afin que celles-ci restent dans le cadre défini par les objectifs et résultats du programme. Elle s'assurera enfin que l'information relative aux meilleures pratiques puisse circuler à tous les acteurs du programme.

Un Comité de pilotage (CP) du programme sera enfin mis en place, présidé par un membre du Conseil du Secrétariat ACP et qui aura pour but de répondre aux besoins spécifiques d'orientation du Programme. Il se réunira selon les besoins ; sans doute deux fois par an mais plus fréquemment pendant la phase de démarrage du programme.

Le Comité de pilotage est en charge de suivre l'exécution du programme et de fournir des conseils et un appui à son orientation stratégique, en particulier concernant les plans de travail annuels. Le comité de

pilotage devra comprendre des représentants du Secrétariat ACP, de la Commission Européenne (en tant qu'observateurs) et des organisations qui implémenteront ce programme (GIZ, FAO et CCI).

En outre, chaque OI. devra désigner une personne-ressource pour le programme afin que celle-ci puisse représenter son Organisation lors des réunions du Comité de pilotage. Les États membres, le Centre Technique de Coopération Agricole et Rurale (CTA) et le Centre de Développement de l'Entreprise (CDE) seront également invités en tant qu'observateurs.

Le comité de pilotage entretiendra aussi des contacts avec d'autres acteurs et parties prenantes clés pour le programme, y compris ceux issus des filières: producteurs, acteurs de l'industrie de la transformation, exportateurs, institutions publiques, financières, ONGs.

Enfin et outre l'Assistance Technique et le comité de pilotage, des modalités de coordination entre les composantes du présent programme et les autres projets en cours de la Commission et des autres bailleurs seront mises en œuvre.

#### **4. QUESTIONS DE MISE EN ŒUVRE**

##### **4.1. Convention de Financement**

Pour mettre en œuvre cette action, il est envisagé de signer une convention de financement avec le secrétariat ACP, telle que prévue à l'article 184, paragraphe 2, point b, du règlement financier ou à l'article 17 de l'annexe IV de l'accord de Cotonou.

##### **4.2. Mode de gestion**

Le Programme sera géré :

Pour les activités du support à la filière cacao :

- **en gestion centralisée indirecte** avec la GIZ sur la base de l'Article 26 du Règlement (CE) No 215/2008 sur le règlement financier applicable au 10ème FED.

La GIZ a été choisie pour l'implémentation de ce programme au vu des critères suivants :

- Expertise importante dans le domaine agricole et concernant les filières des produits de base, avec une capacité démontrée pour implémenter des actions financés par des fonds provenant de l'Union Européenne ;
- Expertise de l'organisation concernant les programmes de support aux filières cacao ;
- Expérience importante dans le renforcement des politiques nationales et régionales et concernant le travail sur les systèmes d'intensification des cultures ;
- Appui technique intéressant concernant des programmes de fourniture de services de vulgarisation technique aux producteurs et acteurs de filières, tels qu'envisagés dans ce programme.

Concernant la GIZ et la gestion en coopération déléguée plus particulièrement, il n'y aura pas d'intervention directe des services de la GIZ dans la fourniture de services pour ce contrat, ni de subdélégation des activités de l'action. Les points constituant l'action à mettre en place seront implémentés directement par un recours à des contrats impliquant des tierces parties (à travers soumission d'appel d'offres, d'appel à subventions etc...).

Le changement du mode de gestion constitue un changement substantiel à la présente décision sauf dans le cas où la Commission "re-centralise" ou diminue le niveau de tâches préalablement déléguées à l'organisme délégataire en question.

Pour les activités du support à la filière racines, tubercules et noix de coco :- en gestion conjointe via la signature d'une convention avec la FAO et d'une convention avec le CCI sur la base de l'Article 29 du Règlement (CE) No 215/2008 sur le règlement financier applicable au 10<sup>ème</sup> FED. Les organisations internationales remplissent les critères prévus par le Règlement financier applicable et sont incluses dans l'accord cadre FAFSA.

En vertu de l'article 29 du règlement financier applicable au 10<sup>e</sup> FED, la gestion conjointe avec la FAO est possible car les organisations sont couvertes par un accord-cadre à long terme (FAFA) et le projet est élaboré conjointement avec les organisations et la Commission.

Les Organisations choisies pour l'implémentation de ce programme ont été retenues selon plusieurs critères exposés ci-dessous :

- Chacune des organisations retenues a une expertise importante dans le domaine agricole et concernant les filières des produits de base, avec une capacité démontrée pour implémenter des actions financés par des fonds provenant de l'Union Européenne
- Il existe une complémentarité entre les produits de base retenus par chacune des Organisations Internationales impliquées dans ce programme et les zones d'implémentation géographique de l'action.

FAO: Concentration des activités sur les racines et tubercules.

La FAO a un mandat spécifique sur l'agriculture et le soutien aux chaînes de valeur des produits de base et assure un rôle international important sur ces questions.

L'expérience accumulée par cette organisation ainsi que les résultats délivrés dans le cadre du dernier programme AAACP, montre une efficacité de l'aide apportée via les financements de la Commission européenne.

CCI : Concentration des activités sur la noix de coco et les racines et tubercules. Le CCI a un mandat spécifique sur le soutien des marchés agricoles et les aspects relatifs au commerce des produits de base. Cette organisation a un fort degré d'expertise dans le secteur agricole et l'appui aux chaînes de valeur, notamment l'appui à la définition de politiques nationales et régionales, la fourniture de services aux agriculteurs, le développement de projets d'accès aux informations de marché grâce à l'utilisation des télécommunications pour les acteurs de différentes filières agricoles.

L'expérience accumulée par cette organisation ainsi que les résultats délivrés dans le cadre du dernier programme AAACP sont satisfaisants.

Le changement du mode de mise en œuvre constitue un changement substantiel, excepté lorsque la Commission «re-centralise» ou diminue le niveau de tâches d'exécution budgétaire préalablement déléguées à l'organisation internationale.

- **en gestion partiellement décentralisée**, pour la partie qui concerne l'Assistance Technique (PMU).

Une partie de la présente action ayant pour objectif de faciliter la mise en œuvre du programme et d'assurer une coordination interinstitutionnelle régulière entre Organisations participantes sera mise en œuvre grâce à une gestion partiellement décentralisée avec le Secrétariat ACP conformément aux articles 21 à 23 du règlement (CE) n° 215/2008 sur le règlement financier applicable au 10<sup>e</sup> FED, selon les modalités suivantes. Le Secrétariat ACP agit en tant que pouvoir adjudicateur dans le cadre des procédures de passation de marchés et d'attribution de subventions. La Commission procède à un contrôle ex ante pour toutes les procédures de marchés publics et de subventions. Les paiements seront exécutés par la Commission.

Le changement du mode de gestion constitue un changement substantiel, excepté lorsque la Commission «re-centralise» ou diminue le niveau de tâches d'exécution budgétaire préalablement déléguées au pays partenaire bénéficiaire.

La PMU se verra assigner les tâches suivantes, en appui au Secrétariat ACP:

- Organiser des réunions annuelles du comité de pilotage en vue de l'élaboration du contenu du programme, de la mise à jour du programme de travail ainsi que de son orientation, et du partage de l'information;
- Assurer une liaison régulière et systématique avec le comité de pilotage;

- Veiller à une bonne communication avec les services de la Commission concernés, les organisations maître d'œuvre ainsi que les institutions régionales et intra-régionales ACP et d'autres parties prenantes clés;
  - Concevoir un système de collecte d'informations et rendre compte fidèlement des activités en cours ou déjà effectuées;
  - Concevoir et mettre en œuvre un système de communication qui adopte des stratégies favorisant les échanges entre les trois organisations maître d'œuvre d'une part et l'ensemble des parties prenantes ACP de l'autre;
  - Apporter une contribution d'expert au Secrétariat ACP sur les questions liées à l'appui au secteur des matières premières ;
- Organiser des activités et notamment des ateliers et plates-formes afin de présenter, discuter et publier les résultats produits par les activités menées dans le cadre du programme.

- **en gestion centralisée directe** sur la base de l'Article 26 du Règlement (CE) No 215/2008 du règlement financier applicable au 10<sup>ème</sup> FED pour la partie audit et évaluations.

### **4.3. Procédures de passation de marchés et d'octroi de subventions**

#### 1) Contrats

Tous les contrats mettant en œuvre l'action doivent être attribués et exécutés conformément aux procédures et aux documents standard établis et publiés par la Commission pour la mise en œuvre des opérations extérieures, tels qu'en vigueur au moment du lancement de la procédure en cause.

La participation au marché pour l'action décrite par la présente fiche est ouverte à toutes les personnes physiques et morales visées par le FED. L'ordonnateur compétent peut étendre la participation à d'autres personnes physiques ou morales sous couvert du respect des conditions établies par l'article 20 de l'annexe IV de l'accord de Partenariat ACP-CE.

L'assistance technique sera mobilisée par un appel d'offres international restreint pour un seul contrat de services. La durée prévue sera alignée sur celle du projet. Après validation conjointe des termes de référence avec la Commission, le Secrétariat ACP publiera l'appel d'offres, évaluera les offres et signera le contrat.

#### 2) Règles spécifiques applicables aux subventions.

Les critères de sélection et d'attribution essentiels pour l'octroi de subventions sont établis conformément aux principes stipulés au Titre VII "Subventions" du règlement financier applicable au 10<sup>e</sup> Fonds européen de développement. Toute dérogation à ces principes doit être dûment justifiée, en particulier lorsque :

- Le financement de l'action est intégral (dérogation au principe du cofinancement) : le taux de cofinancement maximal envisageable pour les subventions est de 80%. Un financement allant jusqu'au financement intégral ne peut être accordé que dans les cas visés à l'article 109 du règlement (CE) n°215/2008 du Conseil du 18 Février 2008 portant règlement financier applicable au 10<sup>e</sup> Fonds européen de développement.

#### 3) Règles spécifiques applicables en gestion conjointe et centralisée indirecte

Tous les contrats mettant en œuvre l'action doivent être attribués et exécutés conformément aux procédures et aux documents standards établis et publiés par l'organisation concernée.

#### **4.4. Budget et calendrier**

**Durée opérationnelle prévue.** La durée opérationnelle de mise en œuvre est fixée à 60 mois à partir de la date de signature de la Convention de financement.

**Budget.** Le coût total du Programme est de 18 490 000 EUR dont 18 000 000 financés par l'Union Européenne et 490 000 EUR provenant de la GIZ comme co-financement.

**Co-financement.** Le financement de l'Action par la Commission est intégral (100% des coûts directs éligibles) concernant les accords de contribution avec la FAO et le CCI, pas dans le cas de la GIZ.

**Répartition des coûts du programme (budget prévisionnel par résultat):**

	<b>Mode de Gestion</b>	<b>FED (EUR)</b>	<b>Co-Financement GIZ (EUR)</b>
Implémentation des Résultats et Activités du programme		15 000 000	
<i>Convention de contribution avec la FAO</i> <i>Convention de contribution avec CCI</i> <i>Convention de délégation avec GIZ</i>	Gestion conjointe	5 000 000	
	Gestion conjointe	5 000 000	
	Gestion centralisée indirecte	5 000 000	4 900 000
Unité de Coordination (PMU)	Gestion décentralisée partielle	2 300 000	
Monitoring, Evaluation, Audit	Gestion centralisée directe	600 000	
Visibilité		100 000	
<b>TOTAL PROGRAMME</b>		<b>18 000 000</b>	<b>18 490 000</b>

**4.5. Suivi de l'exécution**

Le suivi technique et financier sera assuré au quotidien dans le cadre des responsabilités de l'Unité de Coordination. A cet effet, cette dernière établira des systèmes de suivi interne, technique et financier permanent des composantes du programme, qui seront utilisés pour élaborer des rapports sur l'état d'avancement des activités.

**4.6. Évaluation et audit**

Les indicateurs du cadre logique constitueront la base du suivi-évaluation du programme.

Les cibles de ces indicateurs seront définies plus précisément au démarrage du programme et la liste des indicateurs sera complétée si besoin, pour chaque O.I. en particulier.

Une évaluation externe indépendante sera menée à mi-parcours et à la fin de l'exécution du programme.

Un budget est également prévu pour des audits menés par la Commission.

**4.7. Communication et visibilité**

Des plans de communication seront élaborés au démarrage du programme. En ce qui concerne le précédent programme AAACP, une expérience positive a déjà été acquise dans ce domaine et la visibilité de la Commission a été importante. Des actions seront poursuivies sur cette base.

Une attention particulière sera donnée à la visibilité de la Commission car cela reste un programme implémenté dans un contexte impliquant des Organisations Internationales.

## ANNEX 8

### **of the Commission Decision on the intra-ACP AAP 2013 - Part 2 in favour of Intra-ACP cooperation to be financed from the 10<sup>th</sup> European Development Fund**

#### **Action Fiche for Capacity building of mineral institutions and of small-scale private sector operating in low-value minerals in ACP<sup>39</sup> countries**

#### **1. IDENTIFICATION**

Title/Number	<b>“Capacity building of mineral institutions and of small-scale private sector operating in low-value minerals in ACP countries”</b> CRIS number: FED/024-777		
Total cost	Total estimated cost: EUR 13 400 000 Total amount of EDF contribution: EUR 12 000 000 This action is co-financed in joint co-financing by: United Nations Development Programme (UNDP) EUR 1 400 000		
Aid method / Method of implementation	Project Approach Joint management with United Nations Development Programme (UNDP) Direct Centralized Management for Evaluation		
DAC-code	32210 25010	Sector	Mineral/mining policy and administrative management Business support services and institutions

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The proposed activities under this programme aim at providing capacity-building regional workshops and field training, for staff of both public institutions in charge of regulating the mineral sector and small and medium enterprises (SMEs). These activities will form part of an effort to strengthen relevant regional or national institutions and organizations to provide such support and capacity building to both public and private actors on an on-going basis.

The programme meets the concerns raised during a debate involving ministries of ACP countries in charge of the mineral sector held in Brussels in October 2012: the need for strengthened capacities of mining public authorities and officials through inter-regional cooperation was clearly highlighted as well as the importance of a sound local small-scale private sector, as the key catalyst for sustainable development of the ACP mining sector.

The programme will have a clear focus on Low-Value Minerals and Materials (LVMM) which include: i) all natural raw construction materials –CM– (e.g. aggregate, sand, clay, stones etc.), ii) dimension stones -DS- (e.g. marble, granite, stone blocks etc.), iii) most of

<sup>39</sup> Acronym list in appendix at the end of the document

industrial minerals -IM- (cement and glass-ceramic raw materials, etc.) that are usually exploited on surface quarry, by using simple quarrying method. The rationale for this focus lies in the necessity to start with small processing activities, mainly for filling the domestic and regional demands (therefore fostering south-south exchanges) and is also guided by the fact that extraction operations are more labour intensive than capital intensive, with higher impact on employment. LVMM are also common mineral resources in many or all ACP States, which justifies this foreseen intervention at intra-ACP level.

## **2.2. Context**

### **2.2.1. ACP-wide context**

#### **2.2.1.1. Economic and social situation and poverty analysis**

Many of the African, Caribbean and Pacific (ACP) countries are endowed with substantial energetic and non-energetic mineral occurrences. During the period 2000 to 2012, the national economies of those mineral exporting ACP countries grew faster than those of non-mineral exporting countries (a third of African countries' economies have grown at or above 6% rate in 2012 with some of the fastest growing ones buoyed by new mineral exports). However, the significant potential for economic development driven by the exploitation of mineral resources remains largely untapped so far for several reasons.

At the root of this underperformance are some difficulties faced by governments to properly address the institutional and policy challenges that come with natural resources. There is indeed a great imbalance in know-how and experience between government officials and large, international Extractive Industries (EI) companies' staff. As a result, the Monitoring and Evaluation (M&E) capacities of the countries are insufficient and do not receive fair compensation for their resources. The poor development, if not total absence, of a local mining private sector in ACP countries is also detrimental to a sustainable and inclusive growth.

It is therefore becoming a dominant preoccupation of many ACP policymakers to develop and industrialise their countries and regions based on effective, efficient, and prudent exploitation of their mineral wealth.

#### **2.2.1.2. Development policy**

A Framework of Action (FWA) on the Development of Mineral Resources Sector was endorsed by the ACP Group of States through its Committee of Ambassadors in October 2011, in accordance with the mandate given the ACP Council of Ministers. This framework includes 6 strategic focuses:

- Strategic focus 1 – Enhancement of the capacity of public mineral institutions in charge of elaborating, monitoring, evaluating and updating national/regional strategies for the mineral resources industry development;
- Strategic focus 2 – Development of mineral exploration, geo-scientific information systems and evaluation of the mineral potential of ACP countries;
- Strategic focus 3 – Development of the Small- and Medium-Scale Mining Sectors;
- Strategic focus 4 – Reduction of the social and environmental impacts of mining;
- Strategic focus 5 – Improvement of energy and transport infrastructures related to the mineral industry;
- Strategic focus 6 – Enhancement of mineral-based industrialisation and diversification of ACP countries' economies;

An external consulting mission was launched in September 2012 in order to provide a road map for the development of the mineral sector in ACP countries that would be based on this

framework of action and that would identify priority actions to be launched under it. This assignment led to the identification of the proposed activities under this programme.

The Africa Mining Vision (AMV) was also adopted in 2009 by the African Heads of State and Governments<sup>40</sup>. The vision stresses out, amongst others, the need to enhance Africa's bargaining power and to improve the capacity to manage mineral wealth but also the current lack of access to skills for both entrepreneurs and staff of new local enterprises, which hampers the numerous business opportunities, both within the mineral resources and in its linkage sectors.

### **2.2.2. Sector context: policies and challenges**

The European Commission adopted two communications concerning raw materials in November 2008 ("*Raw materials initiative*"<sup>41</sup>) and in February 2011 ("*Tackling the challenges in commodities markets and on raw materials*"<sup>42</sup>). Both communications highlight the importance to be played by development policies pursued with third countries in securing EU access to raw materials and, more specifically, institutional capacity building as regard public finances and natural resources management, as well as the necessity to foster a sound investment climate are pointed out.

A Joint ACP-EU Parliamentary Assembly Resolution on the social and environmental impact of mining in the ACP countries was also adopted in May 2012 and stresses the need for strong, transparent and enforceable legislative and regulatory frameworks governing the mineral resources industry in ACP countries; it calls on ACP countries' governments and parliaments to enact policies and regulate foreign direct investment (FDI) in the public interest, in consultation with civil society, in a way that provides a stable legal environment which encourages foreign direct investment, benefits the local economy, creates domestic added value and fosters development.

The communication from the European Commission, "*Increasing the impact of EU Development Policy: an Agenda for Change*"<sup>43</sup> clearly highlights that the EU should support the development of competitive local private sectors through building local institutional and business capacity, promoting SMEs and cooperatives.

While many development initiatives have already taken place at country level, improved regional cooperation could provide more solid grounds to foster Foreign Direct Investment (FDI) and the development of a sound local private sector, through a common approach towards issues such as:

- Harmonisation of regulatory, legal, fiscal and customs regimes and some agreement on the appropriate rates of royalties and taxes for the same minerals, while taking into account the different infrastructure requirements and market opportunities available.
- Removal of tariff and non-tariff barriers on goods and services as the emergence of regional economic spaces requires implementing common external tariffs, fiscal convergence, free circulation of goods, capital and persons, as well as common standards that benefit both mining industries and other sectors of activity.
- Common-mutual know-how transfer: the lack of training capacities for all the required skills could be bridged thanks to regional cooperation at the different levels of specialization.

The present programme will particularly address this last capacity-building requirement.

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<sup>40</sup> <http://www.africaminingvision.org/>

<sup>41</sup> COM(2008) 699

<sup>42</sup> COM(2011) 25

<sup>43</sup> SEC(2011) 1172 final & SEC(2011) 1173 final

### **2.3. Lessons learnt**

Valuable lessons can be drawn from the experience gained in the course of the implementation of the former mining facility financed by the EU - "SYSMIN". Its global evaluation made available in 2000 highlights the fact that smaller locally-run mineral operations tend to have more linkages into the economy through local profits and greater labour intensity.

Private Sector Development (PSD) programmes have in general mainly concerned pre-investment support, directly offered to private companies or to intermediaries. Overall, positive effects were produced, such as fostering the creation of skilled SMEs, which were then in a position to start new mining projects on their own.

Some direct assistance to the private sector has been provided by the Centre for the Development of Enterprise (CDE), mainly for the quarry construction materials (more than 100 ACP enterprises and associations have been supported between 1994 and 2002 in Africa and the Caribbean), and through various United Nations (UN) and World Bank assistance programmes (for example the Sustainable Management of Mineral Resources Programme SMMRP and the Sustainable Management of Natural Resources Programme - SMNRP) aiming at strengthening institutional capacities of institutions in charge of the mining sector and the development of the private sector in a number of ACP countries and for which the support in terms of human capacity development was considered particularly relevant.

Institutional capacity building activities have, on the other side, mainly been designed to:

- Help governments and communities in ACP countries to engage in contract negotiations in order to get good extractive and/or land deals (mostly bilateral initiatives);
- Assist governments to develop further the policy, fiscal, legal, regulatory and institutional framework of the mining sector (mostly bilateral initiatives);
- Promote good governance and transparency in the mining sector (global initiatives to which in most cases the EU provides/has provided funding).

Bilateral initiatives have generally provided good results, although sustainability is often put in question given the lack of resources in the concerned institutions. Global initiatives are producing good and highly visible results (e.g. the Extractive Industries Transparency Initiative (EITI), Kimberley process, etc.).

### **2.4. Complementary actions**

A number of promising international initiatives supported by the EU have emerged to promote good governance and transparency in the mining sector such as the EITI, the Kimberley process certification scheme and the International Monetary Fund (IMF) Topical Trust Fund on managing natural resources wealth (MNRW).

The European Union is also financing through the Pacific Regional Indicative Programme of the 10th EDF a specific programme on the development of a legal and fiscal framework of Deep-Sea Minerals in the Pacific Islands Region (around EUR 5 000 000).

Eurogeosurveys, the federation of the EU geological surveys, is participating in capacity building activities in the fields of exploration and reserves evaluation toward ACP geological surveys that could be considered in planning some of the proposed activities. A role could in particular be played in contacting ACP geological surveys and in promoting the actions and their results.

Support will also be granted in the near future from the crisis preparedness component of the Instrument for stability (IfS) Annual Action Programme 2013 to support the implementation of the International Conference for the Great Lakes Region – ICGLR - (around EUR 3 000 000) and to promote transparency of the minerals supply chain in conflict-affected and high risk areas (around EUR 1 000 000).

The European Commission will, jointly with the International Labour Organisation, implement an action within the framework of the thematic programme Investing in People (Development Cooperation Instrument) that aims to strengthen the assessment of the impact on employment within other sector policies. The project will develop methodological tools and incorporate specific assessments of employment outcomes and impact into the design, implementation, and monitoring of policies, programmes and other actions within key sector policies within EU development cooperation, in particular agriculture and rural development, energy, and private sector development.

Besides, several international organisations programmes are on-going to support the institutional and private sector strengthening such as:

- The African Mineral Skills Initiative (AMSI) and the African Mineral Development Centre (AMDC) have been created to support the local African private sector in its technical and marketing skill improvement following the adoption of the Africa Mining Vision (AMV) in 2009 by the African Heads of State and Governments. As indicated in the Framework of Action for the development of ACP Countries Mineral Resources, African ACP countries will make sure that this framework is consistent with the action plan for the realisation of the Africa Mining Vision of the African Union.
- The African Legal Support Facility (ALSF) managed by the African Development Bank (AfDB) which provides assistance in the negotiation of complex commercial transactions, especially in the natural resources sector
- A number of United Nations Industrial Development Organisation (UNIDO) programmes had been implemented in order to increase the impact of the private sector development on poverty reduction. The programmes supported the efforts of developing countries to improve business environment and lay down the policy and institutional foundations for the development of a vibrant private sector and promote domestic entrepreneurship. Moreover, the programmes supported SMEs to link to the international investment and technology flows and to increase their competitiveness through facilitating access to resources and support services, development of innovation, modernization of production lines and strengthening the managerial and entrepreneurship skills.
- International Finance Corporation (IFC) - World Bank (WB) Group and European Investment Bank (EIB) co-finance (with equity investments or soft loans) private mining projects, although these are generally provided to large heavy infrastructures and mining projects.
- Some EU Member States (e.g. Denmark, Germany, France, United Kingdom) and other bilateral programmes (mainly Japanese), directly finance certain private mining projects, in general by purchasing equipment and by investing in project infrastructure.
- Community and Small Scale Mining Initiative (CASM) initiatives as regards small mining (in particular Artisanal Small Mining - ASM) and relationships between mining companies or groups and the local communities have been also considered, although that WB programme is under a closure phase.

Although partly addressing institutional and private sector capacity building, none of the programmes mentioned above and in section 2.3 include specific actions as proposed by the present programme. There is consequently a low risk of overlaps with any of other existing initiatives and programmes. On the other hand, there are many synergies that could be further explored, notably as regard larger reserves evaluation activities or with initiatives that could help address the best target beneficiaries.

The actions proposed under the programme consider very specific aspects, mainly regarding the ACP private sector development, barely targeted by any existing programme and will most probably provide quick wins for the development of the local ACP private sector and

the strengthening of capacities of institutions to be in a position to support and promote the development of the local ACP mining sector. Moreover they are perfectly in line with the prioritization identified in the Road Map for the development of the ACP mineral resources sector, an initiative from the ACP Group of States that translates and prioritises the FWA for the development of the ACP mineral resources sector.

### **2.5. Donor coordination**

A particular emphasis will be put on strengthening greater ownership and partnerships between ACP states based on regional needs. Part of the nature of the project (institutional strengthening and mining potential valorisation and promotion) also requires close coordination and collaboration at the national and regional level and in this regard the programme will involve stakeholders of the same region in each of the proposed activities.

As exposed in section 2.4, a large number of donors are involved in programmes in favour of the development of the mineral sector. As most of these donors are also - or will be closely involved - in initiatives promoted by the African Mineral Development Centre (AMDC) and given the specific geographic focus of the programme on ACP countries, donor coordination will be sought by giving an observer status to an AMDC representative for the Steering Committee (SC) of the programme.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The **overall objective** of the programme is to foster the sustainable and inclusive development of the mineral resources industry in ACP countries and thus contribute to poverty alleviation and social development.

The **specific objectives** of the programme are:

- Reinforcement of capacities of ACP countries small-scale private sector, mainly in the domain of LVMM.
- Reinforcement of the capacities of ACP countries institutions in charge of the mining sector and mineral policies, mainly as regard technical, management, market, safety and environmental issues, social - community development, dialogue with MSMEs and dialogue with local investors.

### **3.2. Expected results and main activities**

**R1 – Result 1:** Strengthening of the technical, market know-how and financial capacities of existing staff employed by the public institutions in charge of the mineral resources industry. This will allow, amongst others, for:

- Enhanced capacities in M&E, promotion and support to the local private sector.
- Enhanced capacity of institutions to assess, and monitor environmental, conflict, social and gender impacts of mining activities.
- Enhanced capacities in negotiating contractual agreements with experienced national and international parties, e. g. eventual mineral development agreements, force majeure cases, dispute resolution, and arbitration issues, resettlement procedures, etc.
- Familiarisation of civil servants with successful approaches to public awareness and community participation in the decision making on current or future, notably in the licensing and permitting processes necessary to attain the social licence to operate. This will lead to quicker decisions concerning issues such as expansion of mining operations, resettlement and eventual compensation of parties for loss of property and rights.

- Enhanced know-how of civil servants on how to establish or enhance grievance mechanisms to address issues of concern (environment, security, land rights, etc.) among local and indigenous peoples, companies and governments.
- Institutionalization of capacity for SME support within key regulatory bodies and sector ministries at national and sub-national levels to ensure sustainability.

**A1 – Activity 1:** Technical, market know-how and financial training courses held and teaching tools conceived to train civil servants assigned to public institutions in charge of the mineral resources sector with main regard to LVMM. Civil society representatives, drawn from the organisations participating in the Multi-Stakeholder Groups (MSG) of the EITI or nominees from NGOs such as Publish What You Pay (PWYP), will be included for this component. The activity will be carried out by training courses at regional level.

**R2 – Result 2:** Enhanced technical, market, legal and financial capacities of management and staff of the SMEs of the mining sector and related service companies in fields such as quarrying and processing (value-adding process), accounting, marketing, sales and promotion, purchasing, occupational health and safety management, environmental, conflict prevention, social development (including human and labour rights) and relationships with local communities, dialogue with institutions and possible investing or technical partners, mainly in the field of LVMM. This will allow for:

- enhanced capacity of relevant providers of technical capability trainings to SMEs in the mining sector at sub-regional, national or local levels.

**A2 – Activity 2:** Training courses held and tools designed for management and staff of SMEs, representatives of private Institutions, Chamber of Mines, other private mining institutions and centres, NGOs active in the private mining sector in order to strengthen the technical, marketing, legal and financial capacities of their management and staff in vital technical fields such as quarrying and processing (value-adding process), accounting, marketing, sales promotion, purchasing, occupational health and safety management, environmental issues, conflict prevention, social development and relationships with local communities. The inclusion of service companies in the appropriate sections would contribute to their capacity to provide services to multi-national companies as well as local enterprises. Courses will be held for SME representatives of interested ACP countries. Civil Society representatives will also be included in this activity.

Adhesion to international best practices for extractive operations, including related to governance and transparency, environmental and labour standards and the UN Guiding Principles on Business and Human Rights (2011) will be promoted in the trainings. A key part of the training will also be to enhance the interaction between the private sector and the affected groups, and to ensure that effective channels of communication between companies, civil society and local communities are in place.

The proposed intervention framework **for both activities A1 & A2** will largely focus on capacity building activities for civil servants in charge of mineral resource sector, representatives of the private sector operating in mining activities as well as for representatives of academia/special training institutions and consulting firms. Relevant regional or national training institutes, service providers or other organizations will also be identified and provided with capacity building to ensure the sustainability of the training and support services provided to mining SMEs. New and innovative public-private solutions to address skills gaps in SMEs will also be explored.

Therewith, the training-of-trainers will allow the programme to establish technical expertise on the ground capable to extend the transferred institutional knowledge to local private sector operators in mining sector as well as to the wider business community of the ACP countries.

The process of attendees' selection will be organized in participatory and transparent fashion with the wide involvement of on-line and mass media communication means. The process will assume establishing clear and precise selection criteria, which, among others, will include:

- representation of the public institution (ministry, agency) in charge of the mining sector; sectorial associations/chambers or other institutions representing private sector; university and/or technical training institution; local consultancy firm and Business Development Services (BDS) providers dealing with the sector development,
- direct involvement of attendees to the development of local private sector mining activities and promotion of investment to the sector,
- capacities of the attendees, especially from universities and/or technical training institution, local consultancy firm and BDS providers, to perform as trainers locally (trainers of trainers),
- participants from the pool of existing small-scale miners operating in the beneficiary ACP countries. Already socially organized mining settlement will be favoured in order to ensure better success for the project and attract investors.

Thus, through the training of trainers, working with local academia and technical service providers to be supported by the Programme Communication and Training Kit (see 4.8 Communication and visibility), the programme will ensure the sustainability, outreach and up-scaling of the triggered development momentum in mid to long term. Moreover, environmental considerations will also be taken into account, making the project environmentally sustainable.

**R3 – Result 3:** Improvement of the technical capacities of the local ACP private sector and of the institutional staff in charge of the sector. Techniques for business opportunities establishment and preliminary valorisation of country mining potential (for LVMM) for investment promotion and attraction disseminated to small-scale private sector companies of ACP countries.

This will allow, amongst other, for:

- Promising potential mineral resources identified (mainly as regard LVMM) for exploitation by small to medium size mining companies targeting local and export markets
- Basic investment promotional tools made available (see thematic exploration, market and infrastructure maps) to attract and support new private investors (e.g. thematic geo-mining potential, maps, thematic maps, guides, handbooks, etc.) and to help public institutions to promote the local mining potential
- Promotion and investments attraction capacities by intermediary institutions in the mineral sector enhanced
- Determination of methods of local beneficiation of mineral resources
- Reduction of financial risk for small-medium size investors through thematic mapping of mineral resources
- Investment decisions diligently prepared on the basis of key parameters; e. g. infrastructure, location, access to markets, etc.

**A3 – Activity 3:** Capacity building activities in the fields of preliminary exploration and mining potential evaluation and valorisation: execution of on the job training activities, in 6 ACP sub-regions, to prepare business opportunities and potential valorisation and preliminary evaluation mapping and other technical field-tools for local ACP private SMEs to minimize the first risk of investment, as regard LVMM.

The activity will mainly be addressed to private sectorial associations and organisations (such as Chambers of Mines and Chambers of Industries) or groups of companies and any other private mining-geological institutions and technical centres.

Technical civil servants from the public institutions (e.g. Geological Surveys or Technical Departments of Ministries of mines) involved in the mining potential evaluation, valorisation and promotion of the minerals sector will also attend these courses, with the main aim to increase their capacities in managing, controlling and supporting private mining projects.

This activity will be carried out on the basis of the results of action A2, will provide more specific tools and will consist in a mix of desk and on-the-spot workshops that will cover the following aspects:

- techniques and methodologies of exploration and mineral evaluation, identification and assessment of mineral resources by preliminary regional basic field studies based on existing available geo-mining data and documents such as maps, reports etc (general desk studies to identify the best potential resources area, according to the local/regional geological potential and the market demand and trends), market studies targeting both domestic and export markets for LVMM, creation of added-value through local beneficiation and transformation of minerals, introduction of operating methods and equipment representing “best international practices”, environmental and social aspects inclusion in operations’ planning.

The main output of the activity will be “thematic maps”, tools used to reduce the initial risk for potential investors during the opportunity identification phase of projects and that are generally drafted on exiting official geo-topographic base.

**R4 – Result 4:** Private sector and institutional staff trained in fields such as selection, analysis and exploration of mineral resources, markets and marketing, quarrying methods, operating of mining equipment, maintenance, blasting, safety and environmental protection measures, reclamation of exploited mine land (top soil conservation, re-vegetation and reforestation) and quarry/mine management. Public institution attendees will increase their capabilities in monitoring, evaluating, regulating and supporting the sector.

**A4 – Activity 4:** “On-the-job” training courses in pilot training quarries, for LVMM, designed and organised both for institutional staff and management and SMEs in the mining sector (staff and management). These courses will be carried out by expert technicians, managers and quarry masters, and would be organised on a regional basis in countries where particularly suitable quarry sites exist (operating mines/quarries). Before the actual implementation of the activity, one or two operating quarries for the execution of the course should be identified.

### **3.3. Risks and assumptions**

The risks defined associated with the programme’s implementation are described below, along with assumptions that will mitigate the risks:

- Political risk includes the change in governments’ commitment to reform, transparency, political economy issues such as resistance by vested interests in countries where technical assistance will be provided. Mitigating measures may include appropriate selection criteria for the countries involved.
- Risk of overlap with actions financed by other donors or EU programmes (especially with Africa Mining Vision-AMV initiatives). There must be donor coordination for country and regional implementation as an integral part of the responsibility of the programme SC (see also 2.5 Donor coordination as regard the AMDC) and clear-cut selection criteria for beneficiaries of the programme (to avoid double-funding). This risk is to a large extent mitigated by the fact that proposed activities are relatively new and very specific for the local ACP PSD.

- A major risk for the long term benefit of the programme would be lack of continuity after the Programme implementation. The best mitigating measures would be to involve, for Africa, the AMDC, as the centre will run until 2018 and that activities for capacity building will be launched under its aegis as well. These activities could usefully build on the present programme. For the Caribbean and Pacific regions, the M&E could be carried out by local institutions (Pacific Islands Applied Geoscience Commission - SOPAC, Caribbean Community Secretariat -CARICOM) and coordinated by the ACP Secretariat.
- Previous training programmes of public servants have resulted in defection of some of these individuals to the private sector and this poses a risk to the improved regulation of the industry. This must be however qualified if those civil servants join the local private sector, as expertise remains within the country.
- There is a risk that NGOs and environmental activists oppose and obstruct reform programmes targeting mining activities. A mitigating factor will be to improve training and communication with civil society and to include representatives in some of the training envisioned. The fact the programme mainly addresses small mining activities regarding “low value” minerals is also a mitigating factor itself, because most of these activities will benefit the valorisation and utilisation of local resources for the local and regional markets and this fact will bring direct advantages and benefits to the local/regional economies and societies.
- Internal and international unrest may impede technical assistance missions. Preliminary information and contacts will therefore be taken in advance

In order to mitigate some of the political risks it would be important during inception presentations/workshops that the overall context of the road map and its objectives is exposed to a wide public, including prominent members of the civil society. It is assumed that in countries where the EITI is actively followed, the support and understanding of civil society members is paramount.

### **3.4. Cross-cutting issues**

Mining operations inevitably impact the social and natural environment of populations and communities located in the neighbourhood of existing and future mines. Questions of resettlement of individuals or communities due to the progress of existing pits, the relocation of water courses, subsidence due to underground extraction of minerals, among others, and fair and transparent compensation for loss of property and/or rights are constant sources of conflict unless appropriately addressed in the mining regulatory framework. The workshops held will therefore address those issues.

The social impact of small mining activities in ACP (ASM included) is of particular concern. Particular regard shall be given to key issues related to the small mining and artisanal mining activity in ACP developing countries such as:

- *decent working conditions* – including the fact that small scale/artisanal mining, which is widely prevalent in Africa, is strongly associated with the worst forms of child labour;
- *SSM mining and mineral extraction methods* – these are for the most part extremely inefficient and often illegal (e.g. the use of chemicals such as mercury in ASM, which are deleterious to health). Moreover most of local ACP LVMM extraction methods are very artisanal, generally carried out with obsolete equipment and with no exploration and mine/quarry plan activities.
- *Employment of women* - small-scale mining represents a window of opportunity for women to enter the industry. Due attention will be paid to gender equity and the share of women being granted access to the training and tools created by the programme. In many instances, the women are given the task of the final extraction process – often implying the use of mercury and they are therefore particularly prone to major health risks.

Regarding the mining industry in general, the following issues will be addressed:

- *Impact on employment* – industrial mining operations, if inappropriately managed, may not produce a significant increase in local employment but may have a deleterious effect on the local economy (for example resulting in increased prices of commodities which cannot be afforded by the local population) while benefiting economic growth aggregated at the national level. Improved understanding of the technical and economic management aspects of the industry at a local level could mitigate these effects, or reverse them, and creation of small enterprises could generate associated businesses;
- *Environmental sustainability* will be addressed by the training courses and a special attention will be given to environmental impact mitigation, rehabilitation of sites and waste management during Activity 4.
- *Social impacts* – the importance of understanding the potential social impacts of a mining operation at all scales will run through the themes of all the activities. The importance of the involvement of civil society in the understanding of the industry has been emphasised in section 3.3.

### **3.5. Stakeholders**

A wide range of stakeholders should be gathered for this programme in order to reach and involve as many sections of the population as possible. The stakeholder groups will include:

- Relevant government agencies, particularly those that deal with minerals exploration and exploitation, environmental management and fiscal matters as well as other Ministries and public agencies concerned with the mining sector, e.g. Ministry of Finance, Ministry of Environment, etc.
- Civil Society Groups and specifically local communities, particularly those that are mostly likely to be impacted will benefit from: enhanced and more sustainably distributed royalties, better managed employment and business opportunities that will ultimately contribute to better living standards, better environment conservation initiatives to avoid adverse impacts, enforcement of sound mining operations guidelines to ensure environmental accidents / incidents are avoided.
- Private sector operators, which should benefit from improved regulation (and therefore more transparency and clarity), improved skills of workers, improved understanding by civil society of the mining cycle. The private sector might be represented through chambers of mines, mining associations, the International Council and Mining and Metals (ICMM) or directly by companies active in the field.
- Non-State Actors (NSA) will also benefit from the trainings to enhance their advocacy campaigns in promoting good governance and better environmental management.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Financing agreement**

In order to implement this action, it is foreseen to conclude a financing agreement with the ACP Secretariat, referred to in Article 17 of Annex IV to the Cotonou Agreement.

### **4.2. Indicative operational implementation period**

The indicative operational implementation period of this action, during which the activities described in sections 3.2. and 4.3. will be carried out, is 60 months as from the signature of the financing agreement, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements.

### **4.3. Implementation components and modules**

#### **4.3.1. Joint management with an international organisation**

This action with the objective to foster the sustainable and inclusive development of the mineral resources industry in ACP countries and thus contribute to poverty alleviation and social development will be implemented in joint management with UNDP. This implementation is justified because of its proven track-record of supporting micro, small and medium-sized enterprises (MSMEs) and experience of implementing regional programmes related to the mining sector in ACP countries.

Joint management with this international organisation in accordance with Article 29 of the Financial Regulation of the 10<sup>th</sup> EDF is possible because the organisation is bound by a long-term framework agreement (Financial and Administrative Framework Agreement).

The international organisation will be in charge of budget-implementation tasks, such as contract-management cycle, subject to the provisions of the Framework Agreement, notably: launching calls for tenders and for proposals; definition of eligibility, selection and award criteria; evaluation of tenders and proposals; award of grants, contracts and financial instruments; acting as contracting authority concluding and managing contracts, carrying out payments, recovering moneys due and cancelling debts that cannot be recovered.

Given its very relevant mandate to promote industrial development for poverty reduction and its longstanding experience working with SMEs operating in low-value minerals, the United Nations International Development Organization (UNIDO) will also be associated in the programme's implementation.

The exact areas of responsibility of each of the two UN agencies will be further defined at the contribution agreement level.

The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the international organisation.

### **4.4. Scope of geographical eligibility for procurement in direct centralised and decentralised management**

Subject to the following, the geographical eligibility in terms of place of establishment for participating in procurement procedures and in terms of origin of supplies and materials purchased as established in the basic act shall apply.

### **4.5. Indicative budget**

<b>Module</b>	<b>EUR</b>	<b>Third party contribution (indicative, where known) UNDP EUR</b>
4.3.1. – Joint management with UNDP (including communication and visibility)	11 700 000	1 400 000
4.6. – Evaluation (Direct Centralized management)	300 000	N.A.
Totals	12 000 000	1 400 000

#### **4.6. Performance monitoring**

It is expected that key quantified indicators will be defined to measure performance. Performance will be assessed against the objectively verifiable indicators set out in the indicative Logical Framework. The latter, sources of verification and assumptions will be further streamlined during the inception phase for the entire intervention logic to allow for an effective monitoring of the complete programme implementation.

A programme Steering Committee (SC) will be set-up to advise and provide overall strategic direction to the programme, oversee general implementation of activities, review performance, assess impact and approve major changes in the programme intervention logic. The SC will be chaired by the ACP Secretariat and will include representatives of the European Commission, UNDP and UNIDO. An AMDC representative may be given an observer status in the programme SC.

#### **4.7. Evaluation and Audit**

An overall budget of EUR 300 000 is allocated for external evaluations. The European Commission may carry out external evaluations via independent consultants, as follows:

- possibly, a mid-term evaluation;
- a final evaluation, to be launched within 6 months after the end of activities

The Commission shall appoint, in accordance with EU procurement rules, an internationally recognised external evaluator.

Audit will be carried out by the UNDP under the allocated joint management budget.

#### **4.8. Communication and visibility**

All materials produced in the course of the programme should include the reference "with the financial support from the European Union in the framework of the ACP-EU Mineral Resources Development Programme" and carry the EU and ACP group' logos.

All communication and visibility activities will be undertaken in accordance with the Communication and Visibility Manual for EU External Actions. The manual mainly covers the written and visual identity of the EU. It sets out the requirements and guidelines for briefings, and all other tools used to highlight EU participation. These should be multi-lingual, where appropriate.

A visibility strategy should be submitted for the approval of the programme SC during the inception phase.

It is foreseen that the sustainability of the programmed capacity building activities will be supported by Communication and Training kits which will consolidate the entire scope of training material and respective methodologies proposed by the programme.

**Appendix:** List of abbreviations

## Appendix – List of abbreviations

ACP:	Africa, Caribbean and Pacific
AfDB:	African Development Bank
ALSF:	African Legal Support Facility
AMDC:	African Mineral Development Centre
AMSI:	African Mineral Skill Initiative
AMV:	African Mining Vision
ASM:	Artisanal Small Mining
BDS:	Business Development Services
BRGM:	Bureau de Recherches Géologiques et Minières (France)
CARICOM:	Caribbean Community Secretariat
CM:	Construction Materials
DS:	Dimension Stones
CASM:	Communities and Small Scale Mining
CDE:	Centre for the Development of Enterprise
ECOWAS:	Economic Community Of West African States
EDF:	European Development Fund
EI:	Extractive Industries
EIB:	European Investment Bank
EITI:	Extractive Industries Transparency Initiative
FDI	Foreign Direct Investment
FWA:	Framework of Action
GIS:	Geographic Information Systems
ICMM:	International Council on Mining and Metals
ICGLR:	International Conference for the Great Lakes Region
IFC:	International Financial Corporation (WB Group)
IfS:	Instrument for stability
IM:	Industrial Minerals
IPA:	Investment Promotion Agencies
LVMM:	Low-value Minerals and Materials
IMF:	International Monetary Fund
MACC:	Mainstreaming Adaptation to Climate Change initiative
MNRW:	Managing Natural Resources Wealth
M&E:	Monitoring and Evaluation
MSG:	Multi-Stakeholder Group
MSME:	Micro, Small and Medium Enterprises
NGO:	Non-Governmental Organization
NSA:	Non-State Actors
PNG:	Papua New Guinea
PSD:	Private Sector Development
PWYP:	“Publish What You Pay”
REC:	Regional Economic Communities
RMI:	Raw Materials Initiative (EC – DG Enterprise)
SADC:	Southern African Development Community
SEAMIC:	Southern and Eastern African Mineral Centre (Tanzania)
SME:	Small and Medium Enterprises
SMMRP:	Sustainable Management of Mineral Resources Programme
SMNRP:	Sustainable Management of Natural Resources Programme
SOPAC:	Pacific Islands Applied Geoscience Commission
SPC:	Secretariat of the Pacific Communities
SC:	Steering Committee
SSM:	Small Scale Mining
UN:	United Nations
UNCTAD:	United Nations Conference on Trade and Development

UNDP:	United Nations Development Programme
UNECA:	United Nations Economic Commission for Africa
UNIDO:	United Nations International Development Organization
WB:	World Bank

## ANNEX 9

### of the Commission Decision on the Annual Action Programme 2013 – Part 2 in favour of Intra-ACP cooperation to be financed from the 10<sup>th</sup> European Development Fund

#### Action fiche for the “Work Programme 2014 of the Technical Centre for Agricultural and Rural Cooperation ACP-EU (CTA)”

#### 1. IDENTIFICATION

Title	<b>“Work Programme 2014 for the Technical Centre for Agricultural and Rural Cooperation ACP-EU (CTA)”</b> N° CRIS: FED/ 024-840		
Total cost	Total cost, corresponding to the total amount of EDF contribution EUR 16 059 141		
Aid method / Management mode	<i>Project approach</i> - Direct centralised management, (Title I and Title II – functioning grant - EUR 6 256 000) - Joint management with CTA ( title III – Interventions: EUR 9 803 141)		
DAC-code	31110	Sector	Agricultural sector policy, planning and programmes

#### 2. RATIONALE AND CONTEXT

##### 2.1. Summary of the action and its objectives<sup>44</sup>

This proposed Action Fiche presents the work programme of the Technical Centre for Agricultural and Rural Cooperation ACP-EU (CTA) for the year 2014. It is based on CTA’s strategic plan for 2011-2015.

Its overall objective is: “Enhanced Agriculture and Rural Development (ARD) policy processes and value chain development for food security, prosperity and sound Natural Resources Management (NRM) in ACP regions and countries”, and its specific objective:

“Improved engagement (long-term commitment and active participation) of CTA’s direct beneficiaries in ARD policy processes and value chain development”.

The expected results are as follows:

- Result 1 (R1): Enhanced multi-stakeholder participation in ARD policy processes and value chain development (VCD);
- Result 2 (R2): Enhanced awareness, knowledge and skills, and access to information for engaging in ARD policy processes, value chain development;
- Result 3 (R3): Enhanced information, communication and knowledge management (ICKM) capacity (to develop and use ICKM tools and strategies), for ACP organisations and networks to effectively engage in and promote ARD.

These results will be achieved through the implementation of six projects:

Project 1: Strengthening ARD policies and strategies (Mainly in support of R1 & R2)

Project 2: Enhancing value chain governance and competitiveness (Mainly in support of R1 and R2)

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<sup>44</sup> Please refer to the list of acronyms in appendix

Project 3: Promoting the use of ICTs to support value chains and ARD policies and strategies (in support of all Results)

Project 4: Multimedia publishing and dissemination for ARD (Mainly in support of R2 and R3)

Project 5: Strengthening the information, communication knowledge management (ICKM) capacity of ACP organisations and networks in ARD

Project 6: Learning, monitoring and evaluation (in support of all results)

## **2.2. Context**

### **2.2.1. Regional context**

Agriculture plays a paramount role in providing food, fuel and fibre as well as serving as a major source of income and economic growth in African, Caribbean and Pacific (ACP) states. Rapid population growth, natural resource degradation and high frequency of extreme weather conditions such as droughts and floods, have put severe pressure on the agricultural systems of the ACP countries. In sub-Saharan Africa, agricultural productivity has remained very low with production growth coming largely from farmers' cultivation of new land and greater use of fertilizers.

Global commitment to increase investment in agriculture and increasing farmers' (in particular smallholders') incomes remains high. Agricultural productivity is recognised as essential to achieving food and nutritional security as well as fighting poverty<sup>45</sup>. The private sector, including multinational agribusiness companies, are increasing their investment in ACP agriculture. Development agencies, such as the World Bank and the International Fund for Agricultural Development (IFAD), and private foundations are scaling up their investment in agriculture.

### **2.2.2. Sector context: policies and challenges**

The European Union (EU) and governments in the ACP have reiterated their commitment to placing agriculture at the forefront of their development plans. This is reflected, for example, in:

- EU *Agenda for Change* (2011) that commits to “helping reduce developing countries exposure to global shocks such as climate change, ecosystem and resource degradation, [...] by concentrating investment in sustainable agriculture and energy;”<sup>46</sup>
- The new policy framework for the 11<sup>th</sup> EDF whereby the EU will concentrate aid on the poorer countries and fewer sectors per country in maximise results and impact from interventions<sup>47</sup>
- Through the Comprehensive African Agriculture Development Programme (CAADP), African countries have committed themselves to increasing their investment in agriculture to a minimum of 10% of their annual national budget and a number of countries have met or surpassed the target;
- The Rio+20 Conference, where world leaders, committed to a concept of a Green Economy that integrates sustainable development and poverty alleviation;
- The 11th Caribbean Week of Agriculture (2012) which placed youth and gender at the forefront of agriculture and food and nutrition security in Caribbean;
- The Brussels and Regional Briefings on Small Island Developing States in the Caribbean and Pacific (2012) where food and nutrition security in a changing climate is placed firmly on the agenda.

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<sup>45</sup> CTA Annual Report 2011.

<sup>46</sup> European Commission, 2011. « Increasing the Impact of EU development policy : An Agenda for Change

<sup>47</sup> EU, 2013. Speech by Commissioner Andris Piebalgs at the meeting with ACP NAOs and RAOs, Brussels 17 April 2013.

In spite of these positive developments, serious challenges still persist. As noted in International Food Policy Research Institute (IFPRI)'s Global Food Policy Report, "the world food system continued to be in a vulnerable situation in 2012. As the 2015 deadline for the Millennium Development Goals approaches, progress towards halving the proportion of people suffering from hunger is not on track." Chronic food shortages and food price volatility continue to haunt the Sahel, the Horn of Africa and a number of countries in Southern Africa, exposing the weak resilience of the countries and regions to crisis.

CTA's strategic plan for 2011-2015, through its focus on strengthening agricultural policies, value chain development, promoting the use of Information and Communications Technologies (ICTs) to support smallholder agriculture and capacity building, places the Centre in a prime position to support ACP countries in transforming their agricultural sector. Evidence of technical and pragmatic measures being taken to support agriculture, drawn from CTA's activities include, among others:

- *Agricultural extension*: The International Conference on Innovations in Extension and Advisory Services<sup>48</sup> noted that after decades of under-investment, government and the development community are recognising the need to revitalise extension services and that efficient demand-driven services are the key to improving the productivity and incomes of the world's smallholder farmers;
- *Value chains*: The International Conference "Making the Connection – Value Chains for Transforming Smallholder Agriculture" identified a number of priority issues--national and intra-regional trade; value chain finance; inclusive chains; capacity building; enabling environment; and multi-stakeholder engagement;
- *ICTs and youth*: developing a holistic youth in agriculture policy framework in Southern and Eastern Africa with stronger support for youth involvement in agriculture and ICTs and increased support of ACP governments and institutions to encourage young people to make greater use of ICTs in value chains;
- Strengthening the capacities of civil society organizations, particularly regional farmers organizations and local community groups to engage actively in policy processes such as CAADP and climate change fora using innovative tools including participatory mapping.

Concerning the management of environmental risks and promotion of sustainability:

CTA's work on agriculture and fisheries takes place in a context of growing environmental threats, not only for the small island economies among the ACP countries, but also in all other countries where a growing population and more extreme weather conditions combine to put increasing pressure on natural resources. Building agricultural resilience to climate change is a common theme throughout CTA's work programme, by supporting for example the preservation of traditional plant genes in the Caribbean, the exchange of experience between ACP universities on effective mechanisms for building agricultural resilience, or exchanges between the Caribbean and Pacific on successful risk mitigation experiences. Several of CTA's activities also aim to help the spread of techniques that can help communities prevent the conflicts that may result from climate change, e.g. on land use or coastal fisheries. In its outreach to decision makers, including in governments, CTA has highlighted – and will continue to do so – the need to mainstream environmental considerations in agricultural and fisheries programmes and policies; this is, for example, one of the recurrent themes of the Brussels briefings.

Enabling environment is a priority issue for value chain development under the focus of the CTA's strategic plan for 2011-2015. As important transversal points for its programmes, the CTA promotes ecosystem issues which are relevant for agriculture and rural development in ACP countries, notably (i) the promotion of land management techniques that maintain and/or improve key agro-ecosystems; (ii) sustainable use of water resources with consideration of river basin catchment areas; and (iii)

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<sup>48</sup> This landmark conference took place in Kenya in November 2011 and was co-organised by CTA and 17 national and international partners.

protection of biodiversity, including natural habitats that support essential ecosystem services and the diversity of genetic resources for food.

In 2014, CTA will continue to focus on the above referenced key trends and issues, and further consolidate its work with ACP, EU, international and regional partners in the areas of promoting: (i) conducive agricultural and rural development policies; (ii) smallholder value chain development; (iii) promoting the use of ICTs for strengthening policy engagement and value chain development; (iv) publishing and dissemination of Agriculture and Rural Development (ARD) information in electronic and print to ACP beneficiaries; and (v) enhancing the information, communication and knowledge management (ICKM) capacity of ACP organisations and networks. Women and youth involvement in the various ARD processes, value chain development and usage of ICTs will continue to be mainstreamed in CTA's programmes and activities.

### **2.3. Lessons learnt**

CTA continues to build upon the feedback received from a number of sources to improve its project, product and service delivery in order to maximise the outcomes and impact of its interventions. Key lessons learning moments in 2013 included: joint impact studies with over 9 ACP organisations; evaluation of CTA's ARD policy work through its portals – Knowledge for Development, Agritrade and the Brussels briefings; the joint organisational learning workshop with over 20 of CTA partners in Cape Town, South Africa; knowledge management workshops with partners at CTA headquarters; and an internal planning and review meeting. These events have led to the further refinement of the Centre's programmes and projects.

Institutional and programmatic changes implemented in the 2012 – 2013 period, which are expected to continue to have a positive influence on the Centre's programmes of work include:

- Developing and refining a Results Framework, including outcome and impact level indicators for master and specific projects. This has led to the consolidation of and reduction in the number of projects from 7 to 5, thereby increasing coherence and effectiveness in project conception, design and implementation, and will form the basis for project and strategic level evaluations.
- Developing CTA's youth strategy as well as clear guidelines and criteria for their incorporation into CTA's programmes.
- Developing CTA's partnership strategy and mechanisms for complementing the Centre's financial contribution with that of partners' contributions and other possible sources of funding.
- All the newly recruited staff following the 2011 restructuring has now settled into their positions bringing new skills and insights to the Centre.
- Strengthening integrated participatory planning processes that effectively engage partners and work across CTA programmes thereby facilitate coherent planning.
- The award of the four pillar audit status by the EU and approval of the "Procurement and Contract Awarding" manual, greatly enhancing the Centre's modus operandi.

In addition, the 2014 programme will be further shaped by lessons from on-going or soon to be completed key activities in 2013 such as: the International Conference on ICTs for Agriculture, the Forum for Agricultural Research in Africa (FARA) general assembly, the CAADP Partnership Platform, the New Partnership for Africa's Development (NEPAD)-led launch of the Africa Rural Development Forum; the Caribbean Week of Agriculture and the Pacific Ministers of Agriculture meeting.

With regard to thematic coverage, the Centre will continue to focus on agricultural policies (including CAADP, Green Economy in the context of Small Island Developing States (SIDS), climate change); value chains (including value chain finance, food grains in Africa, roots and tubers in the Caribbean and coconut and cocoa in the Pacific), ICTs (including Web 2.0 technologies, Agriculture policies, participatory mapping) as well as other emerging issues deemed highly important for the ACP regions.

## **2.4. Complementary actions**

With regard to complementarity, CTA is engaged in a series of collaborative projects with various EU funded institutions/programmes/projects (e.g. CAAST-NET Plus, COLEACP, All ACP Agricultural Commodities Programme, PAEPARD II, Intra-ACP policy programmes, Platform for African European Partnership on Agricultural Research for Development/FP6-SSA project, Trade.com, etc.) and with other organisations (AU/NEPAD, UNECA, IFAD, FAO, World Bank, CGIAR. etc.). The Centre will also work closely and ensure its interventions complement various continental and regional programmes/organisations such as the CAADP, NPCA/NEPAD Rural Futures, FARA, CORAF/WECARD, AUC, ECOWAS, COMESA, SADC, IICA, CARDI, CARICOM, SPC, PACENet, SPREP, ASARECA and IOC.

## **2.5. Donor coordination**

CTA currently develops its annual programmes within the framework of the ACP-EU Cotonou Agreement revised in 2010, and contributes to the objectives set out in the Cotonou Agreement (Annex III, Article 3, paragraph 1 of the Agreement) and various cooperation strategies (Part 3, Titles I & II).

In addition, CTA's annual programmes are also developed bearing in mind various international initiatives, agreements and commitments involving the EU and ACP, namely: the EU Communication Advancing African Agriculture (AAA); the EU Approach to Resilience: Learning from Food Security Crises; the EU Policy Framework to Assist Developing Countries in Addressing Food Security Challenges; Millennium Development Goals (MDGs) and discussions on the Post-MDG framework including SDGs; World Summit on the Information Society (WSIS); World Trade Organization (WTO) trade negotiations; Regional Economic Partnership Agreements (EPAs); EU action plan on commodities and the EU-Africa Partnership on Cotton; EU–Africa Partnership on Infrastructure (transport, energy, water, ICTs) – launched in 2006 as part of the EU Strategy for Africa.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

#### **Overall objective**

Enhanced ARD policy processes and value chain development for food security, prosperity and sound NRM in ACP regions and countries.

#### **Specific objective**

Improved engagement (long-term commitment and active participation) of CTA's direct beneficiaries in ARD policy processes and value chain development.

### **3.2. Expected results and main activities**

#### **Result 1 (R1)**

Enhanced multi-stakeholder participation in ARD policy processes and value chain development (VCD)

#### **Result 2 (R2)**

Enhanced awareness, knowledge and skills, and access to information for engaging in ARD policy processes, value chain development

#### **Result 3 (R3)**

Enhanced information, communication and knowledge management (ICKM) capacity (to develop and use ICKM tools and strategies), for ACP organisations and networks to effectively engage in and promote ARD.

These results will be achieved through six projects as follows:

***Project 1: Strengthening ARD policies and strategies (Mainly in support of R1 & R2)***

Activities include:

(i) Strengthening the engagement of regional farmers' organisations, agribusiness organisations and parliamentarians in CAADP and related ARD policy process (Key implementing partners: ROPPA, EAFF, SACAU, NEPAD-CAADP, AUC/DREA, PanAAC, PAFO, PROPAC, FANRPAN); (ii) Strengthening the engagement of ACP knowledge institutes in ARD policy processes (Key implementing partners: WUR, WUR-CDI, ILTAB, Agri Profocus, UNESCO, PACENET, EUCARINET, CAASTNet Plus, NPCA, IFS, AGRA, FARA, ANAFE, RUFORUM); (iii) Brussels and Regional Briefings to build awareness, facilitate networking and advance policy dialogue on key ARD issues (Key implementing partners: EC, ACP Secretariat, African Union Commission, NEPAD, CGIAR); (iv) Promoting coherent multi-sectoral "youth in agriculture" policies in the Pacific (Key implementing partners: SPC / PAFPNet); (v) Implementing the Caribbean Community Common Fisheries Policy (Key implementing partners: CTA, CRFM, CNFO); (vi) Improving multi-stakeholder policy framework for developing climate change resilient agricultural systems in the Caribbean (Key implementing partners: CARDI); (vii) Promoting youth and rural modernisation policies in the Caribbean (Key implementing partners: CaFANN, IICA/ CARAPN/ CAFY, CTA).

***Project 2: Enhancing value chain governance and competitiveness (Mainly in support of R1 and R2)***

Activities include:

(i) Strengthening smallholder-inclusive value chain finance in Africa (Key implementing partners: AFRACA); (ii) Identification and inventory of origin linked quality products and rural stakeholders in Central and West Africa (Key implementing partners: ROPPA, OAPI, FAO, REDD); (iii) Continued development of the value chains web portal for the Pacific – PACIFICAgLinks (key implementing partners: SPC); (iv) Identification and support to the production and use of additional, non-academic, value chain training tools and materials and case studies in the Caribbean (Key implementing partners: CARDI); (v) Support to develop/improve curricula and teaching skills for agribusiness and value chain teaching at tertiary level (Key implementing partners: ANAFE, AABS, UNIBRAIN); (vi) Support to the elaboration of guidelines/tools on linking smallholders to agribusiness/agro-food companies and retailers (Key implementing partners: ROPPA); (vii) Support to the development of multi-stakeholder associations (Key implementing partners; EAGC, SACAU, and SPC).

***Project 3: Promoting the use of ICTs to support value chains and ARD policies and strategies (in support of all Results)***

Activities include:

(i) ARDYIS: Innovation and entrepreneurship in ICTs for youth engaging in value chains (Key implementing partners: SPC/LRD, Caribbean Farmers' Network (CAFAN); Azur Development (Congo); (ii) Enhancing institutional capacity in the use of Social Media and Web 2.0 (Key implementing partners: SPC, NEPAD, CARDI, UNITAR, UNDP, IDRC, APC); (iii) Strengthening rural youth employment opportunities in Southern Africa (SOFIA) (Key implementing partners: NYRC, FAFOTRAJ, LULOTE)

***Project 4: Multimedia publishing and dissemination for ARD (Mainly in support of R2 and R3)***

Activities include:

(i) Development and production of ARD information --: CTA publications including Policy Briefs (6-8) and Policy Pointers (1-2), New series (value chain), stand-alone publications; Magazines: Spore / Esporo (6+1 special issue), ICTupdate (6+1); Co-publications (50-60); (ii) Dissemination of ARD information -- : Updated criteria for subscriptions and updated list of subscribers (Spore, , DORA); Improved knowledge on the use of publications; 100,000 copies of CTA (co)publications distributed in print (60% of the orders placed online) and 15,000-20,000 downloaded; 2,000 reference publications and 50 databases disseminated; 65,000 copies of Spore / Esporo per issue; (iii) Supporting capacity building in publishing and communications – improved downloading functionality on Spore/Esporo website; Needs assessment and sensitisation workshop on (e-)publishing; 2 pilot dissemination projects; 1-2 strategies and follow-up actions; (iv) conducting corporate marketing communication; (v) promoting of CTA products and services, including impact assessment of key marketing activities.

***Project 5: Strengthening the information, communication knowledge management (ICKM) capacity of ACP organisations and networks in ARD***

Activities include:

(i) Developing virtual policy dialogue platforms; (ii) supporting communities of practice to run platforms and facilitate dialogue; (iii) supporting the development of repositories and hybrid libraries (needs assessment, development of approaches, project implementation) with key implementing partners -- CAADP, PAFO and RFOs, MSG, IOC, UWI, CFF, SPC, SPREP, IAALD, IFLA; (iv) supporting studies and promoting the adoption of effective ICKM strategies with key implementing partners: IAALD, CIARD, FAO, CGIAR, FARA, CORAF, SPC, EAFF, WOUGNET, REN; (v) Supporting the integration of resource portals – build capacity of content contributors, develop data visualisation tools, undertake performance tracking of user interaction metrics; (vi) technical management and maintenance of CTA website and portals.

***Project 6: Learning, monitoring and evaluation (in support of all results)***

Activities include:

(i) Providing management information and procurement support including – continued development and refinement of CTA’s IT-based project management, monitoring and reporting system (DELTA); (ii) Providing support for the CTA planning and review process -- organising internal review and planning meetings, developing, testing and applying PCM performance indicators, developing annual programme of activities for 2015; (iii) Conducting evaluation and impact assessment on CTA’s strategy and operations obtained in collaboration with programmes and partners includes methodology development, the elaboration of terms of reference and guidelines for consultants, CTA staff and partners (iv) enhancing CTA project cycle management methodologies and skills; (vi) organising joint learning initiatives with CTA and partners (in collaboration with project 5).

**3.3. Risks and assumptions**

CTA operates in a dynamic environment and its impact depends largely on the circumstances under which its outputs are used by its partners and beneficiaries. Although the current strategic plan defines various approaches and tactics aimed at addressing risks and obstacles, CTA can exert little or no influence, on the following issues or situations:

- Political and social upheavals or natural disasters in ACP countries that may disrupt, albeit temporarily, programme implementation and the flow of CTA’s services
- Loss of political will to provide continued support to various regional groupings, institutions and networks.

**3.4. Cross-cutting Issues**

CTA will continue to focus on food and nutrition security, the relationship between climate change and agriculture, regional trade and markets, and agricultural research and innovation, as well as emerging issues deemed highly important for the ACP regions (e.g. green economy). CTA will also address issues related to biodiversity, post-harvest losses, nutrition and its link with health as well as value-chain actors' access to microfinance. The strategic goals and specific objectives will provide the platform for reform, innovative approaches and energised delivery of CTA's services. Gender and youth are cross-cutting themes that will continue to be emphasised and mainstreamed in all CTA activities.

Capacity-building initiatives will facilitate interactive and blended learning, networking, partnerships and advocacy for policy and institutional change/reforms that enable innovation, market access and development, and investment decisions. Online and print information resources will provide access to up-to-date information and knowledge on ARD innovations, value chain finance; commodity markets; changing consumer demands; postharvest handling, processing and standards; vulnerability and resilience; climate change and agriculture; and ICTs.

These themes will be reviewed on a regular basis to allow CTA to address emerging topics of importance to ACP countries.

### **3.5. Stakeholders**

CTA is mandated to assist the 80 ACP countries in a collaborative framework between these countries and the 27 EU member states. About 550 million people, who constitute CTA's potential beneficiaries, live in ACP rural areas out of a total of over 800 million.

In 2013, CTA further refined its stakeholder groups, placing increasing emphasis on those involved in key policy processes and value chain activities in the agriculture sector in the ACP regions. The Centre revised its partnership arrangements and updated its partnership strategy to better reflect the strategic orientations for the 2011 – 2015 period. Subsequently, 5 strategic partner groups were identified: (i) governmental and inter-governmental policy organisations and networks (at national, regional and continental level); (ii) civil society (specifically regional farmers associations and commodity groupings), extension and rural advisory services; (iii) research, extension and tertiary education institutions / networks and; (iv) private sector organisations and institutions involved in ARD issues (including agribusiness companies, multi-media publishing houses). CTA will also continue to work with the mass media (radio & TV stations, journalists) to ensure that ARD issues are given the priority they deserve reported in the various national and regional media.

Other important CTA's stakeholders include:

- ACP continental and regional organisations (e.g. AU/NEPAD, CAADP, ASARECA, FARA, SADC, CARDI, IICA, CARICOM, CORAF/WECARD, CMA-AOC, SPC)
- ACP and EU bodies (ACP and EU Councils of Ministers, ACP–EU Committee of Ambassadors, ACP-EU JPA, DG EuropeAid, ACP sub-committees and working groups)
- EU Delegations and ACP national/regional authorising officers (NAOs/RAOs)
- EU partner organisations and beneficiaries (universities, think tanks, research organisations)
- International development and research organisations (FAO, CGIAR, other UN agencies)

CTA has regular contacts with these stakeholders undertaking joint actions such as expert consultations, briefings, meetings, seminars, workshops and study visits, wherever possible.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Financing agreement**

N.A. No financing agreement applies in this case. It is a multi-annual contribution.

## **4.2. Indicative operational implementation period**

The indicative operational implementation period of this action, during which the activities described in sections 3.2. and 4.3. will be carried out, is 24 months, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements. The period of execution will be 48 months. Due to the annuality of the allocation, all funds will need to be committed in 2014.

## **4.3. Implementation components and modules**

Implementation will be carried out both through direct centralised and joint management modes. Both the grant contract and the contribution agreement will be signed between the CTA and the European Commission.

### 4.3.1 Grant: direct award (direct centralised management)

#### (a) Objectives of the grant, fields of intervention, priorities of the year and expected results

An operating grant for an amount of EUR 6 256 000, representing 39% of the annual budget will cover the operating expenditures of Title I of the budget (staff expenditure, total amount of EUR 4 990 000) and Title II (building, equipment and miscellaneous operating expenditure, total amount of EUR 1 266 000), through direct centralised management in accordance with Article 25 of Regulation (EC) No 215/2008 on the Financial Regulation applicable to the 10th European Development Fund.

#### (b) Justification of a direct grant

Under the responsibility of the authorising officer by delegation, the grant may be awarded without a call for proposals to CTA.

Under the responsibility of the authorising officer by delegation, the recourse to an award of a grant without a call for proposals is justified since support to CTA is foreseen in Article 3 of annex III of the Cotonou Agreement.

#### (c) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 100%

The maximum possible rate of co-financing may be up to 100 % in accordance with Articles 192 of the Financial Regulation and 109 of the Financial Regulation of the 10<sup>th</sup> EDF if full funding is essential for the action to be carried out. The essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

Financing in full is granted since the CTA is a joint institution foreseen in the Cotonou Agreement that is mainly financed by the EU.

#### (d) Exception to the non-retroactivity of costs

The Commission authorises the eligibility of costs prior to the submission of the grant application as of 1<sup>st</sup> January 2014.

### 4.3.2. Joint management with an international organisation

A part of this action with the objective of covering the action (title III of the budget: interventions) will be implemented in joint management, for an amount of EUR 9 803 141, representing 61% of the annual budget. Joint management with the CTA in accordance with Article 29 of the Financial Regulation of the 10th EDF is possible because of the approval of a last version of CTA's Procurement and Contract Awarding Procedures Manual (27 March 2013, ARES 516820), last step of the 4 pillars assessment, which gives the possibility for CTA to sign contribution agreements with the European Union.

The change of method of implementation constitutes a substantial change except where the Commission "re-centralises" or reduces the level of budget-implementation tasks previously entrusted to the international organisation.

CTA has an Executive Board, reporting to the Committee of Ambassadors that has the following extended responsibilities since the 2010 revision:

- approving annual and multi-annual work programmes;
- approving the organisational structure, personnel, policy and organisational chart;
- approving the recruitment of new staff and the renewal, extension or termination of existing staff contracts;
- approving the Centre's annual budgets;
- adopting the annual financial statements; and
- approving annual reports and forwarding them to the Committee of Ambassadors for verification.

As stated in the Cotonou Agreement, the ACP-EU Committee of Ambassadors is the supervisory authority of the Centre. It is responsible for:

- laying down the statutes and rules of procedures of the Centre, including its supervisory bodies;
- laying down the statutes relating to staff, financial and rules of procedure of the Centre;
- supervising the work of the bodies of the Centre; and
- laying down the rules of operation and the procedures for the adoption of the Centre's budget.

#### **4.4. Procurement and grant award procedures**

##### *a) In direct centralised management*

###### *a.1) Contracts*

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents lay down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

Participation in the award of contracts for the present action shall be open to all natural and legal persons covered by 10<sup>th</sup> EDF. Further extensions of this participation to other natural or legal persons by the concerned authorising officer shall be subject to the conditions provided for in Article 20 of Annex IV of the Cotonou Agreement.

*a.2) Specific rules for grants* The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call. They are established in accordance with the principles set out in Title VII 'Grants' of the Financial Regulation applicable to the 10th European Development Fund. When derogations to these principles are applied, they shall be justified, in particular in the following case:

- Financing in full (derogation to the principle of co-financing): the maximum possible rate of co-financing for grants is 80%. Up to full financing may only be applied in the cases provided by in Article 109 of the Council Regulation on the Financial Regulation applicable to the 10<sup>th</sup> European Development Fund.

##### *b) In joint management*

All contracts implementing the action are awarded and implemented in accordance with the procedures and standard documents laid down and published by the relevant International Organisation. CTA applies its Financial Regulation approved by the ACP-EC Committee of Ambassadors n°3/2006 of 27<sup>th</sup> September 2006.

#### 4.5. Budget and calendar

The estimated budget is as follows (in EUR) – for 2014

<i>Direct centralised management: functioning grant</i>	
TITLE I – STAFF EXPENDITURE	4 990 000
TITLE II – BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	1 266 000
<i>Joint management: contribution agreement to CTA</i>	
TITLE III – INTERVENTIONS	9 803 141
TOTAL	16 059 141

The EU contribution will be EUR 16 059 141.

EUR 200 000 are financed from repayment of income taxes and other income (already integrated in Title I in reduction of the costs). This will be indicated in the budget breakdown submitted by CTA after their Board meeting of June (3-4 June).

#### 4.6. Performance monitoring

CTA has developed a “Monitoring, Evaluation and Organisational Strategy” which was approved by the Executive Board in June 2012. The Centre’s Learning, Monitoring and Evaluation (LME) Unit has two broad functions, namely: (i) building a comprehensive M&E system to support decision-making, planning, procurement and accountability and (ii) support joint learning initiatives with partners to promote organisational development and impact.

The Centre’s new IT-based project management system (DELTA) will enable CTA to monitor the performance of projects and programmes throughout their life cycle with project staff being encouraged to devote more time to monitoring the tangible outcomes and impact of their projects. In 2013, CTA also conducted an evaluation of 3 of its major portals (Agritrade, Knowledge for Development and the Brussels weblog) and undertook an impact evaluation of the Centre’s capacity-building efforts with its partners over the past 10 years. As most of the Centre’s interventions are with and through partners, jointly working with them to improve their monitoring and evaluation practices will ultimately enhance not only their but also CTA’s outcomes and impact.

For the Centre as a whole, budget commitment and expenditure are examined on a monthly basis by the senior management group, with corrective action being taken continually. Projects are also monitored on the basis of technical and financial reports submitted by CTA partners at several points during the project cycle.

The revamped Programme Committee evaluates project proposals, based on the logical framework included in the Project Profile and Review Form elaborated for all CTA’s programmes and activities. The form includes an explicit section on monitoring & evaluation – key performance indicators (targets – outputs and outcome indicators, which is updated on regular basis. The Executive Board also plays an active role in the Centre’s monitoring and evaluation system. Currently, it is overseeing the follow up to the recommendations of the Independent External Evaluation of CTA completed in 2011. In addition, CTA has periodic meetings with EuropeAid and ACP’s Sub-Committee on Sustainable Development to report on the progress being made in the implementation of its strategic plan.

#### 4.7. Evaluation and audit

CTA conducts various self- and external independent evaluations of its programmes at regular intervals. The results and recommendations of such exercises are discussed with the Executive Board,

with the Board commissioning external and independent evaluations at the end of the implementation period of each strategic plan.

The European Commission monitors the implementation of recommendations made in the externally conducted operational audit on a regular basis. In particular a 'four pillar' assessment was carried out in June 2009 (and a follow-up audit was undertaken in 2011). CTA was granted 4-pillar audit compliant status by the European Commission in March 2013, and is now in a position to apply its own "Procurement and Contract Awarding Procedures". An audit to ensure the Centre's compliance with the terms and conditions stipulated in the 4-pillar status will be conducted in 2014.

In respect of financial audits, in accordance with Article 26 of Decision N° 3/2006 on the Financial Regulation of CTA, a firm of auditors of international standing has been appointed to audit the books and cash of the Centre, to verify that the inventories and balance-sheets have been drawn up in a regular and proper manner in accordance with International Accounting Standards. Statutory audits are conducted every year and expenditure verification reports are drawn up for previous years.

As for CTA, the Centre disposes of its own monitoring and evaluation department, which deals with the evaluation of the actions they implement. The evaluation costs are integrated within Article 331 of Title III, as per CTA annual budget.

The CTA's audit department carries out statutory audits as well as expenditure verification audits, which costs are in turn included within Article 235 of Title II, as per CTA annual budget.

The specific amounts set aside for audit and evaluation will be specified on the detailed budget which is to be submitted for the year 2014 during the next CTA Board members' meeting, planned for August 2013.

#### **4.8. Communication and visibility**

CTA ensures the visibility of actions financed by the EU, through the use of the EU logo and the words "CTA is funded by the European Union" on its letter heads, in CTA's website, on its periodic publications *Spore* and *ICT Update*, on its numerous publications and on its publicly displayed posters. CTA also promotes the ACP/EU partnership by displaying the logos of both organizations side by side.

### **Appendix: List of Acronyms**

AAA	Advancing African Agriculture
AABS	Association of African Business Schools
ACP	Africa, Caribbean and Pacific
ACP-EU JPA	ACP-EU Joint Parliamentary Assembly
AFRACA	African Rural and Agricultural Credit Association
AGRA	Alliance for a Green Revolution in Africa
ANAFE	African Network for Agriculture, Agroforestry and Natural Resources Education
APC	Association for Progressive Communications
ARD	Agriculture and Rural Development
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
AU	African Union
AUC	African Union Commission
AUC/DREA	Department of Rural Economy and Agriculture of the African Union Commission
CAADP	Comprehensive African Agriculture Development Programme Coordination and Advancement of Sub-Saharan Africa-EU Science and Technology Cooperation
CAAST-NET	Cooperation
CaFANN	Caribbean Farmers' Association and NGO Network
CAFY	Caribbean Agricultural Forum for Youth
CARAPN	Caribbean Regional Agricultural Policy Network
CARDI	Caribbean Agricultural Research and Development Institute
CARICOM	Caribbean Community
CFF	Cities Farming for the Future
CFNO	Caribbean Network of Fisherfolk Organization
CGIAR	Consultative Group on International Agricultural Research
CIARD	Cohérence de l'Information sur la Recherche Agricole pour le Développement
CMA-AOC	Conférence des Ministres de l'Agriculture de l'Afrique de l'Ouest et du Centre
COLEACP	Europe-Africa-Caribbean-Pacific Liaison Committee
COMESA	Common Market for Eastern and Southern Africa
CORAF/WECARD	West and Central African Council for Agricultural Research and Development
CRFM	Caribbean Regional Fisheries Mechanism
CTA	Technical Centre for Agricultural and Rural Cooperation ACP-EU
DORA	Diffusion d'Ouvrages de Référence en Agriculture
EAFF	Eastern Africa Farmers Federation
EAGC	Eastern Africa Grain Council
EC	European Commission
ECOWAS	Economic Community of West African States
EDF	European Development Fund
EPAs	Regional Economic Partnership Agreements
EU	European Union
EUCARINET	Fostering EU-Caribbean Research and Innovation Networks
FAFOTRAJ	Forum des Agriculteurs pour le Commerce et la Justice
FANPRAN	Food, Agriculture and Natural Resources Policy Analysis Network
FAO	Food and Agriculture Organization
FARA	Forum for Agricultural Research in Africa
IAALD	International Association of Agricultural Information

ICKM	Information, Communication and Knowledge Management
ICTs	Information and Communications Technologies
IDRC	International Development Research Centre
IFAD	International Fund for Agricultural Development
IFLA	International Federation of Library Association and Institutions
IFPRI	International Food Policy Research Institute
IFS	International Foundation for Science
IICA	Intern-American Institute for Cooperation on Agriculture
ILTAB	International Laboratory for Tropical Agricultural Biotechnology
IOC	Indian Ocean Commission
LME	Learning, Monitoring and Evaluation
LULOTE	Luhlelo Lolunotsisa Temabhezini
MDGs	Millennium Development Goals
MSG	Melanesian Spearhead Group
NAOs	National Authorising Officers
NEPAD	New Partnership for Africa's Development
NPCA	NEPAD Planning and Coordination Agency
NRM	Natural Resources Management
NYRC	Ndola Youth Resource Centre
OAPI	Organisation Africaine de la Propriété Intellectuelle
PACENet	Pacific Plan for Regional Integration and Cooperation
PAEPARD	Platform for African European Partnership on Agricultural Research for Development
PAFO	Pan African Farmers' Organisation
PAFPNet	Pacific Agricultural and Forestry Policy Network
PanAAC	Pan African Agribusiness and Agroindustry Consortium
PCM	Project Cycle Management
PROPAC	Plateforme Régionale des Organisations Paysannes d'Afrique Centrale
RAOs	Regional Authorising Officers
REDD	Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
RFOs	Regional Network of Farmer Organizations
ROPPA	Network of Farmers' and Agricultural Producers' Organisation of West Africa
RUFORUM	Regional Universities Forum for Capacity Building in Agriculture
SACAU	Southern African Confederation of Agricultural Unions
SADC	Southern African Development Community
SDGs	Sustainable Development Goals
SIDS	Small Island Developing States
SOFIA	Agriculture in Southern Africa
SPC	Secretariat of the Pacific Community
SPC/LRD	Land Resource Division of Secretariat of the Pacific Community
SPREP	South Pacific Regional Environment Programme
UN	United Nations
UNDP	United Nations Development Program
UNECA	United Nations Economic Commission for Africa
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNIBRAIN	Universities, Business and Research in Agricultural Innovation

UNITAR	United Nations Institute for Training and Research
UWI	University of the West Indies
VCD	Value Chain Development
WB	World Bank
WOUGNET	Women of Uganda Network
WSIS	World Summit on the Information Society
WTO	World Trade Organization
WUR	Wageningen University
WUR-CDI	Centre for Development Innovation of Wageningen University