



This action is funded by the European Union

ANNEX 1

of the Commission Implementing Decision on the Annual Action Programme 2015 of the DCI Pan-African Programme

Action Document for "Enhancing African capacity to respond more effectively to transnational organised crime (TOC)"

INFORMATION FOR POTENTIAL GRANT APPLICANTS

WORK PROGRAMME FOR GRANTS

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning grants awarded directly without a call for proposals: 5.4.1.

1. Title/basic act/ CRIS number	"Enhancing African capacity to respond more effectively to transnational organised crime (TOC)" CRIS number: DCI/PANAF/037-964 financed under the Development Cooperation Instrument
2. Zone benefiting from the action/ location	Pan African: African continent generally
3. Programming document	Pan African Programme Multiannual Indicative Programme 2014-2017
4. Sector of concentration/ thematic area	Strategic Area 1: Peace and Security
5. Amounts concerned	Total estimated cost: EUR 16 500 00 Total amount of EU budget contribution: EUR 14 500 000 The contribution is for an amount of EUR 14 500 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget. This action is co-financed in joint co-financing by grant beneficiaries for an indicative amount of EUR 2 000 000 divided as follows: <ul style="list-style-type: none"> • ISS (Institute for Security Studies): EUR 1 000 000 • UNODC (United Nations Office on Crime and Drugs): EUR 400 000 • INTERPOL: EUR 600 000
6. Aid modality and implementa- tion modality	Project Modality A non-pillar assessed direct grant
7. DAC codes	15113 Anti-Corruption Organisations and Institutions 15130 Legal and Judicial Development 16063 Narcotics Control

8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	N/A			

SUMMARY

Peace and Security lie at the heart of the EU's partnership with the African continent under the Joint Africa-EU Strategy (JAES). There is a common understanding of the importance of peace and security as preconditions for political, economic and social development. At the 4th Africa-EU Summit in April 2014, the Heads of State and Government of both continents and the Presidents of the AU (African Union) and the Commission (European Commission) reaffirmed their commitment to strengthen efforts to fight international threats to peace and stability, including transnational organised crime (TOC) - the trafficking of human beings including the smuggling of migrants, trafficking of arms, wildlife, natural resources, drug trafficking, trafficking of cultural goods, or illegal fishing.

The Africa-EU Roadmap 2014-17 sets out jointly agreed peace and security priorities and states that the EU and Africa "*will increase cooperation in addressing the root causes of conflict and cross-cutting issues of common concern such as terrorism and related threats and transnational organised crime, including trafficking in human beings, drugs, arms trafficking and illegal trade in wildlife*".

The proposed action will provide a one-stop shop for updated information and analysis on TOC flows and evolving trends in each region and inter-regions, as well as analysing the impact that these flows are having on stability, governance, the rule of law and development. Reliable evidence-based analysis and research will be carried out and coordinated at regional and continental levels. Coverage will be provided in a number of different ways including from observatories placed within ISS (Institute for Security Studies) regional offices as well as where UNODC (United Nations Office on Drugs and Crime) and Interpol's regional bureaus are. These include Pretoria, Addis Ababa, Nairobi, Dakar, Abidjan, Yaoundé and Harare. The action will raise awareness and enhance the capacity and coordination amongst key national and regional actors to work together and with civil society at a continental level to proactively improve strategic policy development, analysis, and law enforcement and judicial cooperation in Africa. This will enable them to effectively identify and respond to TOC groups and acts, and to mitigate its most deleterious impacts on governance, human rights, the rule of law and development in general.

This action will: 1) Improve the evidence-based knowledge and analysis on TOC in Africa, and its impact on governance, development and state fragility; 2) Strengthen the awareness, technical and strategic capacity and cooperation of key policymakers, law enforcement and criminal justice sector actors and relevant civil society to counter organised crime and mitigate its negative impacts on the citizens of Africa.

This action will complement EU efforts to support national and regional capacities to combat TOC via other instruments.

1 CONTEXT

1.1 Sector context

Transnational Organised Crime (TOC) is on the rise globally including across Africa. Economic liberalisation and globalisation, the deregulation of capital markets, the movement of services, goods and people across open frontiers and technological advancements in communications, e.g. the internet and transport, have also assisted TOC grow exponentially.

TOC is a serious threat to international peace, good governance and development. In 2009 the World Bank estimated the value of revenue accruing to organised crime in Africa to be of USD 1.3 trillion (EUR 1.15 trillion), while this figure had risen to USD 3.3 trillion (EUR 2.9 trillion), by 2011, a 50% rate of growth per year. In comparison, net official development assistance to Africa amounted to USD 55.79 billion (EUR 49.5 billion) in 2013. The UN has reported that 90% of African countries are affected by human trafficking flows, either as a source, transit site or destination. TOC syndicates in Africa deal in a wide range of illicit commodities - drugs, human beings, gems, oil, timber, ivory and weapons and, increasingly, new forms of crime, e.g. cyber-crime, illicit trafficking of cultural goods. African criminal actors are strongly connected to non-African ones: wildlife trafficking teams African criminal groups with groups from the US, France, Saudi Arabia, Pakistan, China, Vietnam, Germany, North Korea and elsewhere. The theft of marine resources involves fishing companies and criminal entrepreneurs from China, Western Europe and South Korea.

Organised crime is an obstacle to reducing poverty. It distorts local economies, hinders trade and diverts resources that could be dedicated to improve basic services and, when dealing with cultural objects, it contributes to cultural cleansing. It does so through corruption, lost tax or customs revenue, by smuggling cultural goods illicitly acquired and by inflating prices, particularly real estate (e.g. in Kenya with the criminal revenues of ransoms in Somalia). Its negative effects on society, health and the environment undermine development efforts and the chances of Africa's achieving the MDGs (Millennium Development Goals) and hurts aid effectiveness. The illegal trade in natural resources has huge impact both on livelihoods and on Africa's biodiversity. Illegal fishing has denuded the coastal waters off Sub-Saharan Africa costing African countries more than USD 1 billion a year and depleting fish stocks on which local communities depend for livelihoods. Illegal logging of rainforests in the Congo Basin and other parts of Africa not only deprive governments of revenue normally generated by duties and taxes, but it also alters carbon and water cycles causing the loss of local species. More worryingly, TOC may be, in many parts of Africa, the sole provider of local livelihoods. The lack of socio-economic opportunities for vulnerable and excluded segments of society has created a framework by which many local communities for example in the Sahel, Somalia and Mozambique, depend on income from criminal groups who provide them with basic services instead of the State or where the State is absent (e.g. in North Mali).

TOC is a serious threat to Africa's peace and stability. Of the 77 Resolutions or Presidential Statements of the United Nations (UN) Security Council that have mentioned organised crime from 2004 to 2014, the vast majority (83%) relate to countries or regions in Africa. The African Union (AU), including through the report of the Chairperson of the AU Commission (AUC) on Terrorism and Violent Extremism in Africa (2014), has expressed its concern on the links

between transnational organised groups and armed groups, warlords, insurgents or terrorists across Africa.

TOC is a threat to human security, democratic governance and human rights. Criminal organisations use legitimate state structures to sustain and ensure the circulation of illicit goods, facilitate money laundering and minimise the risks of successful prosecution. They therefore take advantage of systemic weaknesses in electoral, legislative and public procurement processes. They do so by bribing law enforcement officials, neutralising courts of law, purchasing or intimidating politicians and journalists and engaging business leaders in criminal activities. There are numerous accounts of collusion between organised criminals and corrupt officials at all levels of government and in critical State institutions such as the judiciary, the police and the military. In many parts of Africa, profits from drug trafficking are suspected to finance election campaigns and political parties. Journalists, human rights defenders and other members of society or government who confront or expose the ties between TOC and public officials, police or military, or who denounce the impact of TOC in their countries, are frequent targets of criminal groups and their associates.

Under the Rome Statute of the International Criminal Court (ICC) attacks on cultural heritage are a war crime. The majority of EU member states and several African states are parties to the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property – 1970.

1.1.1 Public Policy Assessment and EU Policy Framework

The UNTOC (United Nations Transnational Organized Crime Convention) ratified by 182 States, of which 52 are African, is the main international instrument to address TOC, supplemented by its three Protocols which target specific areas and manifestations of organised crime: the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children; the Protocol against the Smuggling of Migrants by Land, Sea and Air; and the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition. Other relevant instruments include the UN Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances; the UNESCO (United Nations Educational Scientific and Cultural Organization) Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property; CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora); the Council of Europe Convention on Cybercrime and the Convention for the Suppression of Unlawful Acts Against the Safety of Maritime Navigation.

In Africa, the AU Plan of Action on Drug Control is the main framework addressing organised crime from a continental perspective. Other instruments and initiatives include: the Ouagadougou Action Plan to Combat Trafficking in Human Beings, Especially Women and Children; the AUC Initiative against Trafficking (AU COMMIT); the AU Convention on Corruption; the AU's Strategy on the Sahel; Africa's Integrated Maritime Strategy (2050 AIM-Strategy); the AU Strategy on the Control of Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons; the Plan of Action of the AU for the Prevention and Combating of Terrorism in Africa; the possible establishment of AFRIPOL, and the ongoing elaboration of an African Common Strategy on Combatting Illegal Trade in Wild Fauna and Flora.

In the European Union (EU), TOC was first identified as an external security threat in the European Security Strategy 2003. Since then, a number of policies have addressed specific priority sectors of international illicit trafficking such as that of illegally harvested timber and conflict minerals, as well as that of wildlife (development of an EU Strategic Approach to Wildlife Conservation in Africa and an EU Action Plan against wildlife trafficking).

Peace and Security are at the heart of the EU's partnership with the African continent under the JAES. At the 4th Africa-EU Summit in April 2014 in Brussels, the Heads of State and Government of both continents and the Presidents of the African Union and European Commissions reiterated their commitment to *"strengthen ...transnational organised crime, including the trafficking of human beings, wildlife, natural resources, and drug smuggling"*. Priority Area 1 of the Roadmap 2014-17 adopted at the 4th Africa-EU Summit identifies TOC as a key area of cooperation under Priority Area 1 – Peace and Security. The Pan African Programme ("PAP") 2014-2020 will be a key instrument to support the JAES. Its MIP (Multiannual Indicative Programme) 2014-17 sets out as a main result *"the comprehensive monitoring and assessment of organised crime at cross-regional, continental level to help design strategic policy and legal responses to those threats"*.

Other EU policies identify TOC as a priority regionally, such as in the EU Strategies on the Sahel and on the Gulf of Guinea, the EU Strategic Framework on the Horn of Africa, as well as the JAES. Particularly strong synergies are anticipated between this action and national and regional programming on issues related to TOC, as well as with the mentioned EU's political regional strategies in Africa. Although currently being developed, regional programming can both feed into, and be fed by, this action. See details below in section 3.2 – complementarity.

The EU's activities to counter TOC are aligned with, and complementary to, a number of strategies and proposed policies of RECs (Regional Economic Communities) including ECOWAS (Economic Community of West African States), EAC (East African Community), IGAD (Intergovernmental Authority on Development) and SADC (Southern African Development Community). This includes, *inter alia*, the ECOWAS Political declaration on Drug Trafficking and Other Organised Crimes in West Africa; the ECOWAS Integrated Maritime Security Strategy, the EAC's East African Strategy for Regional Peace and Security; the draft IGAD Integrated Maritime Safety and Security Strategy and the relevant actions contained within the SADC RISDP (Regional Indicative Strategic Development Plan).

1.1.2 Stakeholder analysis

The ultimate beneficiaries of the proposed action will be African societies who experience the negative impacts of TOC. Target groups will be African regional, sub-regional and national policy and decision-makers; security, law enforcement/criminal justice professionals; civil society; media, local communities, international policy-makers and development partners.

Within these organisations, key duty bearers and policy makers will be identified and engaged by the action. Participation will be based on actual and potential impact but an important consideration will be those institutions that capture data and represent vulnerable and under-represented interests including women and girls. Participation will be analysed for representation including in terms of gender. The implementers (ISS, INTERPOL and UNODC) will also work closely with the AU, and particularly with the AU Peace and Security Council (PSC), the Continental Early Warning System (CEWS), the regional early warning systems (ECOWAS Early Warning System, EAC Early Warning Mechanism), and other relevant players such as, among others, the African Centre for the Study and Research on Terrorism (ACSRT), the International Institute for Justice and the Rule of Law, of which the EU and the AU are founding members, or the sub-regional police organisations across the continent.

1.1.3. Priority areas for support/problem analysis

TOC in Africa is increasingly the focus of attention inside the continent and internationally. Africa is simultaneously a supply zone (e.g. cannabis, natural resources including illegal fishing), a transit zone (e.g. drug trafficking, arms trafficking) and a destination (e.g. human smuggling,

drugs, counterfeit drugs, arms trafficking) for criminal markets that span multiple continents. African countries are at the same time origin, transit and, in some cases, the destination of smuggling of migrants and trafficking of human beings. Africa's structural governance and economic weaknesses, plus its vast territories with porous borders, make it particularly vulnerable to organised crime compared to other regions. As democracy and post-conflict state-building spread in Africa, new opportunities arise for criminal money to exercise political, economic and social influence. While Africa is experiencing high growth rates, TOC is likely to flourish hand in hand with legitimate growth, particularly where State control and the regulatory environment are weak.

Trends in inequitable economic growth, burgeoning populations, globalisation, urbanisation and the degradation of the rule of law result in rising levels of violence and violent crime in a number of African urban centres and in key borderland communities. Phenomena such as the control of urban neighbourhoods and rural areas by gangs or movements that 'tax', extract goods and services, coerce labour, and take on quasi-governmental roles (in addition to flows and criminal trade which have a strong impact on Europe) have become apparent. There are categories of localised crime like kidnapping and armed robbery that cause considerable damage to local communities. These issues will be considered by the observatories and translated into key priorities in the capacity building and awareness raising initiatives, in order to ensure that the focus on organised crime gains traction with local stakeholders.

A number of recent crises have highlighted the extent to which organised crime not only traverses the continent, but how its impact can seriously affect stability and development across sub-regions. The crises in Libya and across North Africa have revitalised trans-Saharan trafficking across the Sahel and the virulence of criminal groups poaching wildlife has had negative ripple effects across West and Central Africa.

As the scale of the problem grows, there is an urgent need to increase and improve information collection and analysis, and to use this data in effective and coordinated policy and programmatic responses at a time where Africa is moving towards political and economic integration. Furthermore, more effective bridges need to be built between regional bodies to ensure that their data sharing, cooperation and strategic planning can operate effectively.

Most responses to TOC in the continent to date focus on national and sub-regional levels (West Africa, Gulf of Guinea, etc.) and/or on a particular type of criminality (drug trafficking, wildlife, arms, piracy, etc) often intervening from a criminal justice or a security angle, e.g. focusing on strengthening border controls, intelligence-gathering capacities, etc. However, security focused initiatives alone cannot combat the challenges of TOC, given the extent of criminal penetration into key institutions of the state, its connections to on-going conflicts and the socio-economic roots that it has in many places on the continent. Organised crime is now seen as an issue at the heart of the "security-development nexus" requiring both development and security responses to address it and mitigate its impact.

The proposed action will complement national and regional efforts to combat TOC by providing a one-stop shop for updated information and analysis on TOC flows, evolving trends in each region and at inter-regional level, and on the impact of these flows on stability, governance, the rule of law and development. Through a dedicated capacity for mapping, data collecting and analysis of all types of criminal flows and markets, based in a number of strategic observatories of TOC across the continent, reliable evidence-based analysis and research will be carried out and coordinated at regional and continental levels. Where possible (i.e. where source data is already gender disaggregated), data collection and analysis will also be disaggregated according to gender. The analysis will be able to identify changing cross-border relationships, gauging the impact of TOC across Africa as a whole and allowing policy makers to draw attention to key

geographical areas, catalysing political will and measuring whether strategies to counter TOC are having the desired effect. If not, the analysis will serve as a basis for the development and implementation of more effective strategies and actions. Most importantly, the work and outputs of these observatories, the data, trends and analysis will be fed into the policy discussion on security, governance, the rule of law and development taking place within the AU and the RECs, between the AU and the EU in the framework of the JAES, and also in the broader global policy debate on organised crime. While the project will work across all forms of TOC, there are a number of priority themes and specific issues for which continental level analysis is a priority (e.g. smuggling of migrants, wildlife, etc) and on which the action will focus some its activities, i.e. reports, training.

The goal of the first objective of the proposed action is to build a strong evidence basis upon which to develop strategic policy and coordinated action. This action works at three levels: international, continental and sub-regional, collecting primary data, and deploys international expertise and best practice to developing cutting-edge policy applied research and analysis. Products range from continental reports aimed at both continental and international actors which are intended to further the knowledge base and catalyse political action; to the establishment of a network of regional organised crime observatories that will work with a combination of law enforcement-generated intelligence, and civil society and community based research and perspectives to develop targeted briefs on specific thematic or sub-regional issues. The work of the observatories will also promote the engagement of civil society groups and Africa's media on building knowledge and action against organised crime, corruption and the infiltration of criminal actors and money in the public and private sectors.

Under objective 2 of the proposed action, the project will work in partnership with a range of actors, from national, regional and continental policy makers, to law enforcement and justice professionals, to a range of civil society actors the project will raise these actors' awareness and understanding of the findings of the regional observatories, and will build pan-African networks of practitioners and develop their capacity to design policies and programmatic responses to TOC, and to serve as advocates, frontline responders and bulwarks to mitigate organised crime's impact on the state and on the community.

The catalytic use of the data and analysis gained in the first objective will be used and translated into strategic policy changes and operational responses under the second Objective. The action will draw key national and regional actors together at a continental level to act upon the findings of the analysis, and to accordingly improve law enforcement and judicial cooperation in Africa. This in turn will enable these actors to more effectively and appropriately detect, investigate transnational threats and prosecute TOC groups and acts, as well as to facilitate a wider policy debate at the AU level on potential pan African approaches to TOC. For example:

- Recent events have highlighted the critical importance of building a pan-African capacity for monitoring irregular migration and the role of criminal networks in the smuggling of migrants and trafficking in human beings. The observatories would ideally be charting the phenomena from its early emergence, noting the change in trends, the growth in violence and human rights abuses relating to migration, and monitoring the groups involved and the impact on local dynamics. Through the Steering Committee, the project would project the changing trends into policy spheres like the AU, but also to the international community. The second outcome area of the project could be used to convene policymakers at various levels to discuss the research proactively and preventively; it could be used to build community awareness of the risks of irregular migration; to build capacity of law enforcement and border officials to fight smuggling of migrants and trafficking of human beings, or to convene dialogue between local communities and the state to find incentives to reduce irregular migratory flows.

- Another example relates to the exponential growth in the number of international organised crime groups trafficking in environmental resources, including wildlife, which requires greater sensitisation and awareness. Their activities displace and modus operandi evolves rapidly beyond national, or even regional, borders. In this respect, continent-wide investigations and analysis along specific trafficking routes or around specific commodities, drawing together law enforcement and civil society both on the continent and beyond, will be an innovative strategy to develop holistic shared solutions.

These forms of action, due to their continental perspective, and cross-regional action, would complement regional support already provided by the EU through sub-regional and national programming and would seek to ensure synergies and coordination between sub-regional groups thereby providing significant continental added value. The ultimate aim of the action is to end impunity for the perpetrators, enablers (middle-men) and accomplices of such acts, and mitigating the impact of criminal flows on the community and the State.

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
The lack of political will of African States and other key stakeholders to share information and valuable data on organised crime in their countries	M/H	This action will obtain data from a variety of national and international sources, including from media and non-governmental organisations specialised in particular areas of TOC, to circumvent such a risk. Through an effective networking and communication strategy it is hoped that political trust will be built.
The potential danger for civil society actors, human rights defenders, activists, journalists, etc who research and report on organised crime activities	M/H	Mitigation measures should include the inclusion of risk assessments in training similar to that provided to human rights defenders and journalists by, for example, projects and small grants financed by the EIDHR (European Instrument for Democracy and Human Rights) or produced by specialised organisations.
Weak institutional capacity and/or low political will to cooperate among neighbours remain a constant challenge to the official ability to effectively investigate and prosecute crime	M	Through increased awareness of the problem of TOC and its impacts, peer pressure for action and other means, this risk will be mitigated.
Insufficient engagement and ownership of the action at AUC/RECs level	L/M	The project will be aligned to the AU's legal and policy frameworks and priorities in the area of TOC; it will ensure regular networking and dialogue in Addis Ababa and with the RECs, and the effective support to the development of AU and RECs policies, if so requested, through the project. The potential implementing partners all have long experience of working with most AU Member States, the AUC and RECs and have good existing relationships.
Lack of synergies between this action and other EU-funded programmes at regional and cross regional level	L	Regular coordination with EU Delegations and engaged EU Member States in countries where the crime observatories will be based, as well as with Brussels will be pursued.
Sustainability: Data collection and analysis will not be maintained at sufficient frequency and level post programme to render data useful; institutional cooperation will fall way		Observatories will be based upon existing and embedded institutional structures that will continue to exist beyond the life of the programme. Civil society will be engaged through work emphasising the harmful societal impact of TOC. With their increased engagement, pressure will be maintained

	<p>to sustain levels of data analysis and cooperation over TOC.</p> <p>Institutional cooperation among African countries, RECs and AU, which will be reinforced by this programme, is likely to continue after the end of this project since the fight against TOC is becoming an ever-growing priority in Africa.</p>
<p>Assumptions</p>	
<p>- Combating TOC continues to be a priority for AU MS, RECs and the AU, as well as for the EU. - Existence of an enabling political climate leaving enough space and opportunity at country level for civil society actors to engage on issues related to transnational organised crime.</p>	

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The proposed action takes into consideration the findings of the mid-term review of the EU CRP (Cocaine Route Programme) in West Africa; international discussions on TOC, and the findings and recommendations of recent studies commissioned by the AUC: the “*Comprehensive Assessment of the Socio-Economic and Security Challenges of Drug Trafficking and Related Organised Crime in West and Central Africa*”, an independent study by the West African Commission on Drugs (“Not Just in Transit. Drugs: The State and society in West Africa”) and a study recently produced on the impact of TOC in the IGAD region. Although the two reports are based on Western, Central Africa and Eastern Africa, their findings and recommendations are applicable to the whole continent. A scoping study produced by the European External Action Service (EEAS) on TOC in Africa includes a number of lessons learnt from these studies, other EU programmes and other international discussions. The main lessons extracted from these findings, in particular the two AUC reports are:

- 1) More structured, comprehensive and diverse data collection, monitoring and reporting on illicit flows across and between all African sub-regions is necessary to understand the trends, actors, incentives, enabling factors and local impacts in Africa, and inform policy-making. A long-standing over-reliance on seizure data and criminal justice indicators has failed to respond to the challenges of TOC on governance and human security;
- 2) In a context of widespread corruption and weakness of state actors responsible for investigating and gathering data on TOC, there is a need to harness the support of civil society, media, the private sector and traditional community structures, as important sources of objective information on TOC on the ground. They can also help overcome political impasse, build knowledge and action against TOC, ensure there is media scrutiny to fight corruption and raise awareness about the impact of TOC in Africa. In addition, civil society is increasingly playing a front line role both in environment (particularly in the wildlife sector), as well as in service delivery in the communities most vulnerable to TOC, as such enhancing understanding and coordination amongst civil society and the state is a priority;
- 3) Over-reliance on literature about TOC mostly originating in the West, focussed on criminal activities perceived as a threat to Europe or North America rather than to crimes or related impacts which affect Africa's populations. There is a crucial need to build African ownership of the research and of the analytical capacity in order to allow for a better understanding of the changes in global illicit markets and the degree to which Africa may be both a source or transit point for illicit commodities, helping to develop African-owned and led priorities and policies that respond to the needs of local populations. A key recommendation of the report "A

Comprehensive Assessment of the Socio-Economic and Security Challenges of Drug Trafficking and Related Organised Crime in West and Central Africa", endorsed by the AU PSC in July 2014, is to seek to build an African "observatory" on TOC to ensure an objective and independent source of monitoring and reporting that would contribute to the discussions of AU Member States;

4) Evaluations on EU and international engagement in the security sector across Africa, e.g., the IcSP (Instrument Contributing to Stability and Peace) Cocaine Route Programme, have highlighted the weakness of capacity in state institutions, including the criminal justice system and law enforcement, and the need for stronger regional and international cooperation. Existing systems are perceived as reactive and often corrupt. Regional efforts within the framework of existing mechanisms, such as the regional Police Chiefs Associations are valuable, but lack the cross-regional cooperation necessary for continental action. Furthermore, there is no dedicated policy forum that promotes lesson learning across these sub-regional entities, or promotes a peer-review mechanism for strengthening engagement (as the Financial Action Task Force might, for example). While continental action on security and justice is considered by many to be a long way off, promoting inter-regional coordination will promote coordination, build trust, and lay the foundations for continental initiatives such as Afripol.

Ongoing lesson-learning will also be derived from relevant current/previous programming implemented by consortium members. For example, INTERPOL and UNODC regional programmes in Africa such as the Law Enforcement Programme in the Horn of Africa by Interpol and UNODC's - Promoting the Rule of Law and Security in Eastern Africa" (2009 - 2015).

3.2 Complementarity, synergy and donor coordination

Complementarity and synergies will be ensured with CFSP (Common Foreign and Security Policy) Council Decisions promoting the implementation of the EU Strategy to Combat Illicit Accumulation and Trafficking of Small Arms and Light Weapons and their Ammunition, including, in particular, Council Decision 2013/698/CFSP in support of a global reporting mechanism on illicit conventional weapons and ammunition, which generates up-to-date and verified information on the diversion and trafficking of conventional weapons and ammunition in conflict-affected areas, especially in sub-Saharan rim countries. Synergies will also be ensured with key EU political strategies in Africa such as the Sahel and Horn of Africa strategies. In particular, the regional observatories, their products, and capacity building efforts of this action will be aligned with and utilised to inform the implementation of the Regional Strategies. It will also be used to build bridges between Regional Strategies and to identify and facilitate inter-Regional action where appropriate by offering complementary activities.

Complementarity and synergies will also be sought with other EU programmes, mainly the IcSP actions, notably countering terrorism, the fight against organised crime and the protection of critical infrastructure. For instance, specific attention will be paid to the Cocaine Route Programme, including its upcoming component on criminal justice cooperation and criminal investigation along the cocaine route to be implemented by Interpol and UNODC indicatively from mid-2015 onwards; the project "A Global Action on Cybercrime", an EU/Council of Europe Joint Project on Global Action in 70 countries, including in some countries in Africa, from 2015 onwards.

Complementarity will also be sought with a number of projects supported under the DCI Global Public Goods and Challenges, such as the "Global Action to Prevent and Address Trafficking in Human Beings and the Smuggling of Migrants" to be implemented by UNODC; "Addressing mixed migration flows in Eastern Africa" to be implemented by Expertise France and the project "Combat Wildlife Crime" with the International Consortium on Combating Wildlife Crime

(ICCWC). Moreover, complementarities should be sought with the planned support for the EU law enforcement cooperation in the framework of the Horn of Africa Migration Route Initiative financed by the ISF (Internal Security Fund) for police cooperation (ISF-police).

Under the 11th EDF (European Development Fund), a number of African countries will have Governance as a sector of concentration, targeting priorities such as public sector reform, rule of law, accountability, fight against corruption, security, etc. Furthermore, several justice reform programmes funded under the 10th EDF are still ongoing. RIPs (Regional Indicative Programmes), for instance for the EAC, in the IGAD region, for the SADC, Central Africa and West Africa, as well as the envelope to support peace and security in the Great Lakes region and the cross-regional envelope for Eastern Africa, Southern Africa and the Indian Ocean, foresee support for regional and cross-regional policy frameworks on cross-border organised crime. Complementarity with all these programmes is therefore essential. The 11th EDF will support governance in many African countries. Peace, Security and Regional stability, including good governance feature prominently in the 3 RIPs. EDF programmes contribute to the overall objective of fostering peace, preventing and managing security threats in Africa in a complementary manner, at national and regional level, and in coherence with other EU instruments.

The 10th EDF RIP for West Africa has started to work on TOC with 3 programmes of a total amount of EUR 47.6 million: EUR 27 million to improve migration management capacities in the region, EUR 17 million to support Regional Action Plan on illicit drug trafficking and EUR 3.6 million to strengthen anti-money laundering capacities in West Africa. The 11th EDF RIP foresees a significant increase of this effort with an indicative envelope of EUR 200 million to reinforce national civilian security services and support their cooperation, in complementarity with the IcSP long term and consistent with Sahel and Gulf of Guinea strategies. Likewise TOC will also be addressed in the regional programming for central Africa and more specifically, the illegal trafficking of wildlife, minerals and timber.

Complementarity with the Central African RIP will be ensured whilst taking into account capacity challenges of Central African RECs - ECCAS (Economic Community of Central African States) and CEMAC (Customs and Economic Union of Central Africa). Actions to address TOC can be supported both under the focal sector for political integration/peace and security and the focal sector for sustainable management of natural resources and biodiversity (the focus here is on illegal trafficking in wildlife, minerals and wood). EU Delegations will be regularly updated and their knowledge drawn upon.

Internal synergies in actions/programmes supported under the African Peace Facility and under the PAP will also be important. For instance, in the area of migration (with potential projects on trafficking in persons), public financial management and governance (illicit flows) and possible programmes on anti-corruption.

Complementarity and internal synergies with actions/programmes supported by the Internal Security Fund (ISF) which can bring financial support to actions in and with third countries to address organised crime threats should be ensured.

A significant number of donors are engaged in activities to counter TOC. Close coordination of activities that complement this action will be required to foster synergies and prevent inefficiencies. EU Member States are particularly active. France, Germany, UK, Sweden, Denmark and the Netherlands for example all have TOC-related programming. Non Member States such as Norway, Switzerland and the US are also active as are a number of emerging and non-traditional donors - China, Australia, Turkey and Japan,

3.3 Cross-cutting issues

TOC is cross-cutting - it affects negatively good governance including **corruption, human rights** (including women's rights and gender equality, cultural rights) and the **environment**. All these aspects will be reflected in this action, where a rights-based approach encompassing all human rights will be applied. For example, each topical report will discuss the role of corruption and human rights with regard to a particular crime type, or in its specific impact locally or continentally. The outputs of the Observatories and the Organised Crime Index both anticipate necessarily having to address issues of corruption, human rights and gender.

The action will seek to indirectly contribute to **climate change** mitigation efforts by contributing to efforts to reduce TOC and therefore TOC's negative impact on the environment including damage to ecosystems (e.g. by illegal logging) including marine ecosystems (e.g. by illegal fishing).

The impact of illegal trade in **natural resources** on development, livelihoods and on Africa's biodiversity was highlighted at the 4th Africa-EU Summit in April 2014 as was the commitment to strengthen efforts to fight TOC including the trafficking of wildlife, natural resources and illegal fishing, which have important negative consequences on the environment. This action will therefore be making a contribution to the protection of ecosystems, species and genetic resources.

Finally, particular attention will be paid to the deployment of state-of-the-art specialised information and communication technologies' (ICT) tools and applications in the detection, monitoring and prevention of organised crime.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The overall objective of this action is to contribute to the mitigation of the impact of TOC on governance, development, security and the rule of law in Africa.

The specific objectives are to:

- 1) Improve the evidence-based knowledge and analysis of TOC in Africa, and its impact on governance, development, security and the rule of law;
- 2) Building upon an improved evidence base, strengthen the awareness, technical and strategic capacity of relevant African stakeholders (e.g. policymakers, practitioners civil society organisations) to prevent and respond to TOC and its effects on governance, development, security and the rule of law.

The expected results are:

1. Improved data and analysis is available to African stakeholders, as well as to international donors and other relevant actors on the evolution, facilitating environment and impact of TOC in Africa at both continental and sub-regional levels. There will be a particular focus on its local effects on governance, development, security and the political-criminal-nexus, to enable a better informed collective discussion and more effective policy response to the challenges posed by this problem at continental and sub-regional levels.
2. On the basis of result 1, improved capacity of relevant African key stakeholders (e.g. policy makers, practitioners - including judicial and law enforcement actors, civil society, media, local communities, academics, and the private sector) to research, collect and interpret data on crime and elaborate more efficient and effective responses to TOC and its effects on governance,

development, security and the rule of law in line with international standards and provisions on human rights.

3. On the basis of results 1 and 2 above, practitioners' (e.g. police and judicial actors) cooperation is enhanced at sub-regional, cross-regional, continental and international levels, both across sub-regions (and by extension at a national level) including with relevant civil society actors.

The action is designed to ensure that the different outputs are mutually reinforcing, working at multiple levels, and maximising the strengths of long-standing partnerships including between both state and non-state actors.

These results will contribute to the action's overall intended impact - to increase the efficiency and effectiveness of African responses to address TOC.

4.2 Main activities

Drawing on the comparative advantages of each of the three partner institutions, the ISS, INTERPOL and UNODC¹ the action will enhance the capacities of African institutions to monitor, analyse and address TOC flows, trends, and drivers in Africa, and to support initiatives to mitigate its negative impact on governance, development and the rule of law for the citizens of Africa. This will be achieved through the following indicative list of activities, to be implemented and delivered in close coordination by the three partners:

i. Knowledge and analysis of TOC in Africa

- Establishment of a network of five regional independent, civil society-organised crime observatories, underpinned by a network of regional law enforcement analysts, to provide the first pan-African centre for the applied research and policy analysis, including Futures analysis, on TOC in Africa, with a broad dissemination strategy that will sensitise and raise awareness and catalyse political momentum and provide advice and support to key stakeholders, in particular at the level of AU and RECs policy makers, on possible strategies and responses to TOC at regional and continental levels.
- Creation of an annual “Organised Crime Index for Africa”, a multi-dimensional measure of the scale and scope of organised crime in Africa, as well as its impact on the people of Africa, validated by international and continental experts, to include a web-based platform of interactive tools and comparative data, a high-level launch event per year, and a range of awareness raising and dissemination activities, as well as a range of web-based monitoring and analytical tools that will allow predictive, preventive analysis and evidence-based strategic planning.
- Publication of a number of strategic continental reports on thematic, continent-wide studies of priority threats and major crimes, aimed at a global audience, to be presented to decision-makers at the AU e.g. AU PSC and to the Regional Chiefs of Police AGM (Annual General Meeting) among other fora, to provide an evidence basis for organised crime threat assessments and strategic plans at continental, sub-regional or national level;

ii. Awareness, technical and strategic capacity and cooperation networks

- Delivery of a range of workshops, seminars and capacity building activities ranging from short add-on modules in relevant planned capacity-building activities; from short (2-3 days) specialised courses for specific actors to extended intensive trainings (2 weeks) that translate the findings of the data, analysis and intelligence activities of the first section

¹ On illicit trafficking in cultural goods, when relevant, collaboration will be sought with UNESCO and ICOM.

into capacity and catalytic action. Capacity development is sustained through on-going mentoring provided through the network of crime analysts, the Regional Observatory analysts and through peer-to-peer networks provided through the Observatories (ISS and INTERPOL led).

- Development of a range of specialist and practitioners' networks for those on the frontline of fighting TOC in Africa. To include, for example, under the Regional Observatories, the creation of a supported network of civil society actors (e.g. independent journalists; academics); or networks of law enforcement and intelligence agents underpinned by the INTERPOL 1-24/7 communication system.
- Regional Criminal Intelligence Analysis training for African law enforcement officials: advanced operational analysis training on all the vital steps of the intelligence process.

4.3 Intervention logic

This action is predicted on the understanding that the nature of TOC in Africa presents a serious threat to the stability, growth and development of the Continent, and undermines the human security and human rights of its people. The root causes of organised crime's entrenchment in the continent, its ability to infiltrate the integrity of African states and build legitimacy with communities, mean that the issue can no longer be viewed as just a criminal justice issue but should be understood as a multi-faceted threat that requires coordinated action by a wide range of actors - state and non-state – both to counter the threat but also mitigate its deleterious impacts.

The action further recognises that thus far, the majority of the analysis and efforts to examine TOC in Africa have largely been externally driven and partial and thus, to ensure sustainable responses driven by African priorities for its citizens, there is an urgent need to build awareness, political will and capacity to respond amongst African policymakers and practitioners. Finally, it recognises that the nature of transnational threats requires a continent wide, pan-African response capacity that builds flexible networks of practitioners and builds durable operational cooperation at all levels.

The action has thus defined an intervention logic that works on multiple levels to enhance the capacities of African institutions to monitor, analyse and address TOC flows, trends, and drivers in Africa, and to support initiatives to mitigate its impact on governance, development and the rule of law for the citizens of Africa.

This will be achieved by outcomes to be delivered in parallel: the creation of an Organised Crime Index in Africa, that will raise awareness, catalyse political will and support the prioritisation both by continental actors and international donors; the development of civil society analytical and policy networks and capacity through the establishment of regional Organised Crime Observatories that will draw attention and mobilise action against specific TOC threats; further the capacity of law enforcement and criminal justice sector practitioners to investigate and prosecute TOC groups and acts. By engaging in such a multi-sectoral fashion, the action will provide a mutually reinforcing range of interventions that will push forward action and ensure the sustainability of the intervention.

5 IMPLEMENTATION

5.1 Financing Agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with a partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 42 months from the date of adoption by the Commission if this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

5.3 Implementation of the budget support component

Not applicable.

5.4 Implementation modalities

5.4.1 Grant: direct award to the Institute for Security Studies (direct management)

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

The objectives of the grant, fields of intervention and expected results are those of the overall action. The overall objective is to contribute to the mitigation of the impact of TOC on governance, development, security and the rule of law in Africa. The specific objectives are to: 1) Improve the evidence-based knowledge and analysis of TOC in Africa, and its impact on governance, development, security and the rule of law; and 2) Build upon an improved evidence base, strengthen the awareness, technical and strategic capacity of relevant African stakeholders (e.g. policymakers, practitioners civil society organisations) to prevent and respond to TOC and its effects on governance, development, security and the rule of law.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the ISS.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because the nature of the action requires a specific type of beneficiary for its technical competence, specialisation or administrative power (Article 190(1) (f) RAP). Via its consortium arrangement, this grant also fulfils the conditions in article 190(c) (body with a de facto monopoly).

In addition, the proposed consortium of implementers ISS, UNODC and Interpol, combined, holds a de facto monopoly of the combined continental-level specialised expertise and existing infrastructure and relationships required to deliver the action.

The project brings together three institutions who have unparalleled capacity, networks and institutional relationships across the African Continent.

The ISS, the primary project partner, is the only pan-African organisation working on issues of African security and development. Established more than two decades ago, the ISS is a leading internationally registered non-profit organisation which serves as an implementation partner to national governments, regional commissions and the AU, as well as international multi-lateral

institutions and bilateral donors and development agencies. As an African organisation, the ISS aims to enhance human security on the continent through independent and authoritative research, providing expert policy analysis and advice and delivering practical training and technical assistance. On an annual basis, the ISS produces over 150 substantive publications, maintains eight websites with an average of 1.5 million hits per month, and ISS staff gives several hundred media briefings, provides technical assistance and training across the continent. The ISS comprises 120 staff from 17 African countries.

INTERPOL is the world's largest international police organisation, with over 190 member states, whose primary mandate is to enable police around the world to work together to make the world a safer place. By bringing to bear its high-tech infrastructure of technical and operational support, INTERPOL helps national police services to meet the growing challenges of fighting crime in the 21st century. INTERPOL has a National Central Bureau in each one of the 54 States of the AU, and facilitates a number of coordinated, specialised actions against priority organised crimes in Africa.

UNODC is a global leader in the fight against illicit drugs and international crime. Established in 1997 through a merger between the United Nations Drug Control Programme and the Centre for International Crime Prevention, UNODC operates in all regions of the world through an extensive network of field offices. UNODC is mandated to assist its Member States in their struggle against illicit drugs, crime and terrorism. In the Millennium Declaration, UN Member States also resolved to intensify efforts to fight transnational crime in all its dimensions, to redouble the efforts to implement the commitment to counter the world drug problem and to take concerted action against international terrorism. UNODC has four regional offices on the African continent – in Dakar for West and Central Africa; in Cairo for North Africa; in Pretoria for Southern Africa, and in Nairobi for Eastern Africa, in addition to a number of national offices in priority countries. The UNODC also works in close partnership with the AU and the RECs across the continent to undertake catalytic research and assessment, enhance capacity and provide technical assistance in an integrated manner under the areas of the mandate of the organisation.

This grant therefore fulfils the conditions in article 190(c) (body with a de facto monopoly) and 190(f) (actions with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative power) of the Rules of application of the Financial Regulation for direct award.

(c) Eligibility conditions

N/A

(d) Essential selection and award criteria

The essential selection criteria are the 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.

(e) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 85%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(f) Indicative trimester to conclude the grant agreement

5.5 Scope of geographical eligibility for procurement and grants

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

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.6 Indicative budget

5.4 Direct Management	EU contribution (EUR)	Indicative third party contribution, in currency identified (EUR)
5.4.1. Grant to ISS	14 500 000	2 000 000
Total Value of the Action	16 500 000	

5.7 Organisational set-up and responsibilities

This action will be implemented via a consortium of the ISS, INTERPOL and the UNODC.

The consortium partners identified have the expertise, credibility and necessary financial and technical capacities to implement the action. Partners have worked together in the past and are currently receiving funds from other EU instruments.

Funding will be provided directly to ISS who will act as coordinator. ISS is the most appropriate lead, contracting partner and overall manager of funds as it will implement the biggest proportion of action activities and will receive the largest proportion of the action's funding. ISS will be responsible for the onward distribution of funds to co-beneficial partners in the consortium and its subsequent accountability.

There is a clear internal division in budget allocations to be managed by each partner for the implementation of the respective responsibilities. Indicative budget allocations are as follows: ISS 53%; Interpol 26%; UNODC 21%.

The programme will be overseen by a steering committee consisting of the consortium partners and the EU (EC and EEAS).

5.8 Performance monitoring and reporting

The project's impact and sustainability will be measured by the degree to which the research and analytical products are disseminated and utilised by continental actors (both state actors and civil society) which can be measured through the degrees of references in policy documents such as AU, REC or national strategies programmes or annual reports of key organisations, national or international reports, academic work and in the media. Other success metrics include demand for and attendance in the awareness raising and capacity building initiatives funded under the action. See logframe attached.

There will be an inception period of 6 months. Progress during that inception period will be assessed at a 6-monthly inception meeting at which an inception report detailing implementation progress will be prepared by the consortium partners and discussed by the steering committee.

The day-to-day technical and financial monitoring of the implementation of action will be a continuous process and part of the implementing partner's responsibilities. To this end, the

implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

Sustainability

The project as a whole is intended to facilitate a period of transition in analysis and policy-making around TOC on continental level. The project period will be sufficient to begin to develop new attitudes and responses to organised crime. Once initial momentum has been achieved, it should be sufficient to continue the work of building capacity and supporting policy-making and implementation through the regular partnership channels of the three organisations.

Over the three-year duration of the project, the Observatories will work in partnership with African academics, think-tanks and other civil society groups such as the media to build their capacity and create peer-networks of practitioners. This is intended to broaden the basis of stakeholders who are engaging on the issue of organised crime in Africa. One measure of success and sustainability for the Observatories will be an increase in the number of other actors who are actively analysing and engaged around TOC. Over the three-year duration of the project, the partners will endeavour to build a broader funding base for the Observatories, including from continental sources and actors, as well as other international donors and private foundations.

Ensuring the sustainability of the Organised Crime Index is of primary concern to the project partners, as the value in such an endeavour is in its capacity to gain broad-based credibility and acceptance, and to develop a tool by which organised crime and state responses to it can be measured over time. Thus, developing a sustainable and independent funding model that will support the Index over time will be a critical part of the implementation plan. There are also ambitions to develop the Index to provide global coverage, (i.e. a Global Organised Crime Index) which would open the process to new potential sources of funding. It should be noted, however, that every effort will be made to ensure the neutrality and independence of the Index will not be compromised by its funding source.

The I24/7 extension is another critical capacity for which sustainability of resources will be required. In this regard, INTERPOL and the project partners will be seeking to raise funds from the beneficiary states to support the platform's continuation after the end of the project period. It is anticipated that African states will be convinced of the tool's utility and will thus be prepared to support its continuation through their own budgets.

5.9 Evaluation

Having regard to the importance and nature of the action, a mid-term and a final evaluation may be carried out for this action or its components via independent consultants contracted by the Commission.

The mid-term evaluation will be carried out for problem solving and learning purposes.

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

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

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

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

5.10 Audit

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

The financing of the audit shall be covered by another measure constituting a financing decision.

5.11 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

APPENDIX 1: LOGFRAME

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action without an amendment to the financing decision. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for listing the activities as well as new columns for intermediary targets (milestones) when it is relevant and for reporting purpose on the achievement of results as measured by indicators.

	Intervention logic	(Sample) Indicators	Baselines	(Sample) Targets	Sources and means of verification	Assumptions
Overall objective: Reduced impact of TOC	Contribution made to the mitigation of the impact of TOC on governance, development, security and the rule of law in Africa.	<ul style="list-style-type: none"> Extent to which impact of TOC is reduced. This is measured by a composite indicator (Organized Crime in Africa Index) totalling a selected number of points 	<ul style="list-style-type: none"> Current ranking on composite index 	<ul style="list-style-type: none"> Overall rankings and individual rankings of countries under the Organized Crime in Africa Index improved by X points (Y3) 	<ul style="list-style-type: none"> Indexes (Transparency International, UNDP HDI, Mo Ibrahim Index, etc) 	<ul style="list-style-type: none"> Reducing the impact of TOC will improve transparency, governance, and development in Africa
Outcome 1: Improved Knowledge	<p>Improved evidence-based knowledge, monitoring and analysis on TOC flows, trends and drivers in Africa, and its impact on governance, development and state fragility by African institutions</p> <p><i>MIP Result 1: Comprehensive monitoring and assessment of organised crime at cross-regional and continental level to help design strategic policy and legal responses to those threats.</i></p>	<p>Extent to which regular, credible, systematic and comparable information and analysis is widely available charting evolving trends in TOC and its impact:</p> <ul style="list-style-type: none"> Number of major publications providing information and analysis on TOC generated by African institutions Existence of a budget for future knowledge development Frequency of publications on selected TOC topics, disaggregated by sector and region 	<ul style="list-style-type: none"> Information and analysis on organized crime in Africa, and how this relates to the rest of the world is limited and primarily generated by sources outside the continent. There is no systematic analysis of organized crime trends, groups and impacts produced by African actors. 	<p>Regular, credible, systematic and comparable information and analysis is widely available charting evolving trends in TOC and its impact (Y3):</p> <ul style="list-style-type: none"> One major publication providing information and analysis on TOC published annually (Y2-3) X number of African institutions have committed to the publication of an annual report on TOC (Y3) One publication on each of the selected TOC topics, covering each region published annually (Y2-3) 	<ul style="list-style-type: none"> International and continental reports and strategies. Continental and regional data on co-ordinated responses to organised crime, generated from UN and Interpol data etc. 	<ul style="list-style-type: none"> Improved, evidence – based knowledge, monitoring and analysis will result in more effective responses to TOC, reducing its impact on Africa Data will be made available Institutions with access to database, reports and publications will utilize the knowledge in their work

	Intervention logic	(Sample) Indicators	Baselines	(Sample) Targets	Sources and means of verification	Assumptions
Output 1:	Timely, strategic and forward looking data and analysis made available to African policy-makers, international donors and other actors on the evolution, facilitating environment and sub-regional and continental impact of the overall phenomenon of TOC.	<ul style="list-style-type: none"> Number of reports and publications regularly published and shared by Project summarizing continental/regional TOC trends Number of reports and publications regularly published and shared by Regional Organized Crime Observatories The Project has established and published a methodology for analysis <p><i>MIP Indicator 1.1: Extent to which, at a continental level, statistical information and analysis on cross-regional crime is available to support the design of policies and coordinated responses, such as the existence of an updated database on criminal organisations active in Africa.</i></p>	<ul style="list-style-type: none"> Data is published only on a sporadic basis, and typically based upon criminal justice data, rather than broader multi-dimensional or perceptions based data sets. There is no standardized methodology for doing analysis in Africa at the moment. 	<ul style="list-style-type: none"> Annual high-level launch of “Organized Crime in Africa Index” with associated wide dissemination strategy and concomitant regional promotion strategies (Y2 and Y3) Presentation of a strategic continental report on major crimes at the Regional Police Chiefs AGM (Y1-3) 5 thematic, continental studies published based on quantitative and qualitative data (1 in Y1; 2 in Y2 and Y3). Establishment of 3 Regional Organized Crime Observatories (Y1) plus 2 further (Y2) to provide critical analysis on organized crime trends and impacts. The Project has established and published a methodology for analysis 	<ul style="list-style-type: none"> Project reporting and statistics, including website and download statistics. 	<ul style="list-style-type: none"> The project can provide a secure and trusted platform for dialogue, with outreach capacity with a range of sectors.
Output 2:	Accessible, web-based tools (including database) made available to and used by policymakers, researchers and donors for measuring and ranking organized crime’s prevalence, extent and nature of impact and capacity/quality of responses on a continent-wide basis	<ul style="list-style-type: none"> Creation of a web-based portal providing analytical tools, including event data and the underpinning composite data for the Index is available and widely used. Number of datasets/points collected and input into database by source (criminal justice, government, civil society, private sector, etc) 	<ul style="list-style-type: none"> There is no systematic, evidence-based capacity to monitor TOC and particularly its impact on governance and development. Data is published only on a sporadic or fragmented basis, and typically based upon criminal justice data, 	<ul style="list-style-type: none"> A web-based portal providing analytical tools, including event data and the underpinning composite data for the Index is available and widely used. (Y2) X number of datasets/points collected and input into database (Y2-3) 	<ul style="list-style-type: none"> Project reporting and statistics, including website and download statistics. 	<ul style="list-style-type: none"> Data will be made available Institutions with access to database, reports and publications will utilize the knowledge in their work

	Intervention logic	(Sample) Indicators	Baselines	(Sample) Targets	Sources and means of verification	Assumptions
		<ul style="list-style-type: none"> Number of African institutions with access to database Number of website hits, submissions, and downloads <p><i>MIP Indicator 1.1: Extent to which, at a continental level, statistical information and analysis on cross-regional crime is available to support the design of policies and coordinated responses, such as the existence of an updated database on criminal organisations active in Africa.</i> <i>MIP Indicator 2.1: Existence [and use] of databases on criminal organisation activity in Africa.</i></p>	<p>rather than broader multi-dimensional or perceptions based data sets.</p> <ul style="list-style-type: none"> There is no systematic means for civil society actors to input into continental or regional planning or prioritisation on TOC. 	<ul style="list-style-type: none"> X number of African institutions with access to database (Y2-3) X number of website hits, submissions, and downloads (Y2-3) 		
Output 3:	Key actors trained on TOC issues, with training programmes aimed to sensitize and catalyse and to understand and respond to organized crime in Africa and to mitigate its negative impact on governance and development.	<ul style="list-style-type: none"> Number of presentations to key actors, by sector and region Number of trainings and forums which provide for multi-sectoral dialogue Number of participants at trainings, by sector, at training programmes Extent to which participants' exhibit an increase in sensitization and understanding of TOC in Africa and its impact on governance and development 	<ul style="list-style-type: none"> There is no continental network in place to share and analyse information on TOC There is a lack of awareness amongst key actors on TOC and its impacts on Africa 	<ul style="list-style-type: none"> Presentation of a strategic continental report on major crimes at the Regional Police Chiefs AGM (Y1-3) 5 informed, evidence based training programmes are hosted by each Regional Organized Crime Observatory to raise awareness of key policy makers and practitioners on TOC and its impact, drawing on African research and analysis, and global best practice (1 in Y1; 2 in Y2 and Y3). X number of participants, by sector, trained annually (Y1-3) 90% of participants exhibit and increased awareness of TOC and its impacts in Africa X number of media reports, press release, responses, etc. from key actors who 	<ul style="list-style-type: none"> Project reporting Participant surveys Media coverage, attendance and references to the Index in International and Continental tools Responses from high-level political leaders in Africa. 	<ul style="list-style-type: none"> The project partners have international credibility, trust and sufficient networks to convene multi-stakeholder gatherings on TOC issues. Trainings and networks will increase stakeholder buy-in and improve analytical skills

	Intervention logic	(Sample) Indicators	Baselines	(Sample) Targets	Sources and means of verification	Assumptions
				participate are released following each training		
Outcome 2: Improved Capacity	<p>Enhanced the technical and strategic capacity and cooperation networks of key policymakers, law enforcement and criminal justice sector actors and relevant civil society to counter TOC and mitigate its negative impacts on the citizens of Africa.</p> <p><i>MIP Result 2: Stronger capacities of national, regional and continental stakeholders to address cross-regional criminal threats and to comply with their obligations under relevant international conventions.</i></p>	<ul style="list-style-type: none"> Number of specialized units to respond to TOC established in consultation with the Project 	<ul style="list-style-type: none"> Capacity and coordination amongst continental actors is low, and fragmented. 	<ul style="list-style-type: none"> Each country and REC has established a specialized units to respond to TOC established in consultation with the Project (Y3) Financial support provided to specialized units to respond to TOC has increased by X% (Y3) 	<ul style="list-style-type: none"> Evidence of improved strategic responses through international monitoring (UN/INTERPOL etc.) Number of collaborative actions and interventions undertaken. 	<ul style="list-style-type: none"> Enhanced stakeholder capacity results in initiatives that more successfully / effectively dismantle criminal networks and mitigate impacts of TOC There is demand for greater information and capacity development on TOC on the continent, and internationally. Establishment and support of specialized units, networks and partnerships is a reflection of increased capacity
Output 1:	<p>African key policymakers and state institutions, e.g. criminal justice actors, national statistical units, are trained on the threats posed by TOC and the value of acting in cooperation across the continent to respond to TOC and its impacts.</p>	<ul style="list-style-type: none"> Informed, evidence-based training programmes made available to increase capacity of key policy makers and practitioners on TOC and its impact. <p><i>MIP Indicator 2.2: Number of trans-border activities organised as tool for conflict prevention in sensitive border areas (example: regular meetings between heads of communities).</i></p>	<ul style="list-style-type: none"> Specialised capacity to respond to organized crime, and particularly to understand and mitigate its impact is low, and multi-sectoral coordination is lacking at a continental level. 	<ul style="list-style-type: none"> 5 informed, evidence based training programmes are hosted, and made available for future use, by the Regional Organized Crime Observatories to raise the capacity of key policy makers and practitioners on TOC and its impact, drawing on African research and analysis, and global best practice. (1 in Y1; 2 in Y2 and Y3). 	<ul style="list-style-type: none"> Project reporting and statistics, number and diversity of participants in networks; activity amongst network members, attendance at events organized under the Action. 	<ul style="list-style-type: none"> If training programmes, workshops and training modules are made available they will be utilized by key policymakers and institutions

	Intervention logic	(Sample) Indicators	Baselines	(Sample) Targets	Sources and means of verification	Assumptions
Output 2:	<p>Police cooperation and criminal intelligence analysis and information-sharing at sub-regional, cross-regional, continental and international levels are reinforced.</p> <p><i>MIP Result 3: Reinforced continental/cross regional coordination between police forces</i></p>	<ul style="list-style-type: none"> Extent to which the Project develops strategies for police to cooperate at sub-regional, cross-regional, and continental levels (number of strategies developed, number of regions covered, number of TOC flows addressed, etc) Number of police organizations which develop strategies in consultation with the Project <p><i>MIP Indicator 2.2: Number of trans-border activities organised as tools for conflict prevention in sensitive border areas (example: regular meetings between heads of communities).</i></p>	<ul style="list-style-type: none"> Specialised capacity to undertake criminal intelligence investigations, to respond to organized crime is low, and multi-sectoral coordination is lacking at a continental level. 	<ul style="list-style-type: none"> The Project develops strategies for police to cooperate at sub-regional, cross-regional, and continental levels (number of strategies developed, number of regions covered, number of TOC flows addressed, etc) (Y2-3) 3 police organizations in each region (9 in total) develop strategies in consultation with the Project (Y2-3) 	<ul style="list-style-type: none"> Project reporting and statistics, number and diversity of participants in networks; activity amongst network members, attendance at events organized under the Action. 	<ul style="list-style-type: none"> Increase in the number and capability of dismantling criminal networks. Police cooperation will result in greater capacity Increase in the number and capability of dismantling criminal networks.
Output 3:	<p>Relevant civil society stakeholders including, inter alia, the media, local communities, academics, and the private sector, trained to recognise, analyse and respond to TOC in Africa and to mitigate its impact.</p>	<ul style="list-style-type: none"> Number of events hosted by the Project aimed at increasing the capacity of civil society stakeholders Beneficiaries exhibit an increased capacity to respond TOC and mitigate its impacts Number of, and degree to which, civil society organisations are consulted in policy dialogues on TOC at a continental and regional level. Number of civil society organisations engaged in Project networks for coordination and knowledge sharing. <p><i>MIP Indicator 2.2: Number of trans-border activities organised as tools for conflict prevention in sensitive border areas (example: regular meetings between heads of communities).</i></p>	<ul style="list-style-type: none"> Responses from civil society are fragmented and uncoordinated. Civil society could benefit from awareness raising, sensitization capacity building, and the opportunity to build peer networks and exchange knowledge. 	<ul style="list-style-type: none"> 5 events hosted by the Project aimed at increasing the capacity of civil society stakeholders (1 in Y1, 2 in Y2, 2 in Y3) Beneficiaries exhibit an increased capacity to respond TOC and mitigate its impacts X number of civil society organisations are consulted in policy dialogues on TOC at a continental and regional level. X number of civil society organisations engaged in Project networks for coordination and knowledge sharing. 	<ul style="list-style-type: none"> Project reporting Media coverage, attendance and references to the Index in International and Continental tools Post-event questionnaires and feedback. Number of collaborative actions and interventions undertaken. 	

	Intervention logic	(Sample) Indicators	Baselines	(Sample) Targets	Sources and means of verification	Assumptions
Outcome 3: Enhanced Responses	<p>Responses to TOC and mitigating its impacts are enhanced</p> <p><i>MIP Result 1: Comprehensive monitoring and assessment of organised crime at cross-regional and continental level to help design strategic policy and legal responses to those threats.</i></p> <p><i>MIP Result 2: Stronger capacities of national, regional and continental stakeholders to address cross-regional criminal threats and to comply with their obligations under relevant international conventions.</i></p>	<ul style="list-style-type: none"> Number and coverage of TOC risk assessments and strategies that look both at countering TOC and mitigating its impact on citizen security (Y3) Level of resources committed to responding to TOC and mitigating its impact (i.e. budget) Limited to organizations collaborating with project and additional organizations as needed to form baseline of assessment). 	<ul style="list-style-type: none"> Only the AU and ECOWAS have existing TOC strategies or plans, and these are limited to specific crime types. 	<ul style="list-style-type: none"> All RECs have a TOC risk assessment and strategy that looks both at countering TOC and mitigating its impact on citizen security (Y3) An overall increase in resources committed to responding to TOC and mitigating its impacts, disaggregated by country (Y3). 	<ul style="list-style-type: none"> Evidence of improved strategic responses through international monitoring (UN/INTERPOL etc.) International and continental reports and strategies. Reference to Action products in AU and REC policy documents, reports and strategies. 	<ul style="list-style-type: none"> An increased number TOC risk assessment, strategies and financial resources indicate and measure enhanced responses
Output 1:	<p>Initiatives responding to TOC and mitigating its impacts on governance, development and the rule of law for the citizens of Africa are developed and implemented (Initiatives may include, amongst other activities, OCTAs, preventative action, anti-corruption action, law enforcement efforts, and protection action for victims)</p>	<ul style="list-style-type: none"> Number of evidence-based policy/initiatives and risk assessments conducted in collaboration with the Project or utilizing Project methodologies 	<ul style="list-style-type: none"> Only the AU and ECOWAS have existing TOC strategies or plans, and these are limited to specific crime types. 	<ul style="list-style-type: none"> Each region has undertaken an initiative in collaboration with the Project or utilizing Project methodologies or knowledge (Y3) X number of countries in each region has undertaken an initiative in collaboration with the Project or utilizing Project methodologies or knowledge (Y3) 	<ul style="list-style-type: none"> Project reporting and statistics, number and diversity of participants in networks; activity amongst network members, attendance at events organized under the Action. 	<ul style="list-style-type: none"> Initiatives undertaken in collaboration with the Project or utilizing Project methodologies and knowledge will tend to be more effective than those that are not
Output 2:	<p>Police cooperation initiatives at sub-regional, cross-regional, continental and international levels are implemented (Initiatives may include, amongst other activities, OCTAs, preventative action, anti-corruption action, and increased border control)</p>	<ul style="list-style-type: none"> Number of coordinated operations against trans-national crimes undertaken in collaboration with the Project or resulting from Project knowledge/interventions <p><i>MIP Indicator 3.1: Number of coordinated operations against trans-national crimes (in relation to e.g. SALW, trafficking in drugs and human beings, logging, wildlife including poaching and fishing).</i></p>	<ul style="list-style-type: none"> There is a need for stronger cross border cooperation and better strategies to combat emerging crimes developed. 	<ul style="list-style-type: none"> Each region undertakes at least 1 coordinated operation against trans-national crimes in collaboration with the Project or resulting from Project knowledge/interventions (Y3) 	<ul style="list-style-type: none"> Project reporting and statistics Evidence of improved strategic responses through international monitoring (UN/INTERPOL etc.) International and continental reports and strategies. Reference to Action 	<ul style="list-style-type: none"> Cross border operations will generate more arrests, seizures, based upon supporting analytical documents. There exists a need and demand for this capability from the law enforcement

	Intervention logic	(Sample) Indicators	Baselines	(Sample) Targets	Sources and means of verification	Assumptions
	<i>MIP Result 3: Reinforced continental/cross regional coordination between police forces</i>				products in AU and REC policy documents, reports and strategies.	agencies in Africa.