

**ANNEX V**
Action Document for Conflict Prevention, Peacebuilding and Crisis Preparedness support measures

1. Title/basic act/ CRIS number	CRIS number: 2018/41357 Conflict Prevention, Peacebuilding and Crisis Preparedness support measures			
2. Zone benefiting from the action/location	Global The action shall have a global mandate and its coverage will focus on the current on EU strategic foreign policy priorities.			
3. Programming document	Multiannual indicative Programme 2018-2020 of the Instrument contributing to Stability and Peace			
4. Sector of concentration/thematic area	Instrument contributing to Stability and Peace (IcSP) Regulation Art 4; Art 6 (d)			
5. Amounts concerned	Total estimated cost: EUR 1 000 000 Total amount of EU budget contribution EUR 1 000 000			
6. Aid modality(ies) and implementation modality(ies)	Project Modality Direct management – procurement of services			
7 a) DAC code(s)	15220 - Civilian peace building, conflict prevention and resolution			
b) Main Delivery Channel	52000 - Other (includes 'for profit', consultants and consultancy firms			
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"/>	X
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>

	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	Not applicable			
10. SDGs	Sustainable Development Goal (SDG) 16 "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels" and Goal 5 "Achieve gender equality and empower all women and girls".			

SUMMARY

The Conflict Prevention, Peacebuilding and Crisis Preparedness support measures will contribute to the identification, formulation, evaluation, and implementation, *inter alia* providing technical assistance and training, and organising meetings and seminars, for actions under Article 4 "Assistance for conflict prevention, peace-building and crisis preparedness" of the Instrument contributing to Stability and Peace (IcSP).

1 CONTEXT

1.1 Thematic area

The "Instrument contributing to Stability and Peace (IcSP)" provides direct support for the Union's external policies by increasing the efficiency and coherence of the Union's actions in the areas of crisis response, conflict prevention, peace-building and crisis preparedness, and in addressing global and trans-regional threats.

Article 4 of the IcSP aims in particular to ensure capacity and preparedness of the EU and its partners to prevent conflict, build peace and address pre-and post-crisis situations in close coordination with the United Nations and other international, regional and sub-regional organisations, and state and civil society actors.

Measures include knowhow transfer, the exchange of information and best practices (including the use and development of methodologies and/or knowledge products), risk/threat assessment, research and analysis, early warning systems, training and service delivery, as well as financial and technical assistance for the implementation of peace-building

For the above, the EU as a whole and its partners, including third countries, must be able to draw upon expertise to support the identification, programming and implementation of peacebuilding activities.

1.1.1 Public Policy Assessment and EU Policy Framework

Not applicable.

1.1.2 Stakeholder analysis

The main stakeholders are third countries, civil society actors and regional and international partner organisations that will benefit from this expertise with the aim of rendering their delivery to final beneficiaries more effective.

The EU Member States can also contribute to the action mobilising appropriate expertise.

1.1.3 Priority areas for support/problem analysis

As defined by the relevant Regulation the main areas of intervention under the Article 4 of the IcSP are the following:

- (a) promoting early warning and conflict-sensitive risk analysis in the policy-making and the implementation of policy;
- (b) facilitating and building capacity in confidence-building, mediation, dialogue and reconciliation, with particular regard to emerging inter-community tensions;
- (c) strengthening capacities for participation and deployment in civilian stabilisation missions;
- (d) improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation;
- (e) curbing the use of natural resources to finance conflicts, and supporting compliance by stakeholders with initiatives such as the Kimberley Process Certification Scheme, especially as regards the implementation of efficient domestic controls over the production of, and trade in, natural resources.

2 RISKS AND ASSUMPTIONS

The interventions under this action will be performed according to the procedures for the EU external actions, in particular through framework contracts and attention will be paid to transparency and to the fair treatment of the potential implementers of the action. The results of the implementation of the actions will be regularly monitored.

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The support measures have demonstrated their added value in the preparation and implementation of the programming of the EU External Financial Instruments.

As this is the first support measures action under Article 4 there are no specific lessons learnt that need to be applied. Nevertheless a good example of similar positive lessons learnt, is the assessment made of the comparable support measure under the other programmable component of Article 5 of the IcSP. The Expert Support Facility (ESF) for this Article, (generally around 3% - 6% of the annual amount for Article 5), has been implemented since 2007 (first under the Instrument for Stability, the predecessor of the IcSP, then under the IcSP). This measure is seen as crucial in providing the necessary elements for the definition of

the actions and for its subsequent implementation. An independent assessment¹ of the ESF Framework Contract concluded that the ESF is a flexible and quick instrument that requires only light administration and their projects met the criteria related to relevance, effectiveness, efficiency, impact and sustainability and recommended to continue its use for the preparation of the projects within the framework of the IcSP.

In the Mid-term Evaluation (MTE) of the IcSP it was stated that "*...was also noted by stakeholders in the MTE Open Public Consultation (OPC) process, with the absence of such a facility having negative effects on efficiency. Small actions (e.g. conflict analyses, feasibility studies, etc.) undertaken to enhance efficiency, should not require the same processes to be followed as large decisions...²*".

3.2 Complementarity, synergy and donor coordination

The present action complements other instruments of financial and technical cooperation, including geographic and thematic programmes, as well as other tools for implementation of EU policies concerning security, including the support interventions in favour of the African peace and Security Architecture (APSA) financed under the African Peace Facility (APF), and in particular the crisis-related interventions of the Instrument contributing to Stability and Peace, both in its short-term and long-term components (Articles 3, 4 and 5).

3.3 Cross-cutting issues

Projects cut across many different sectors and issues, ranging from human rights, gender equality and good governance. All activities of the projects will be carried out in conformity with the principles of good governance, internationally recognised human rights standards as well as taking into account gender equality and will take into account the rights enshrined in the Charter of Fundamental Rights. Environment will be taken into consideration as a cross-cutting issue in the implementation of actions.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The overall objective of the Conflict Prevention, Peacebuilding and Crisis Preparedness support measures is to contribute to the aims of the IcSP by ensuring the best use of the resources in terms of the priorities to be addressed and the impact of responses.

The specific objective is to establish the Conflict Prevention, Peacebuilding and Crisis Preparedness support measures as a flexible structure aiming at the provision of more reliable and effective technical assistance to beneficiaries in the areas covered by the IcSP. To this end, the Conflict Prevention, Peacebuilding and Crisis Preparedness support measures is responsible for the support to the preparation and implementation of multi-purpose projects and programmes at the programming and implementation levels, as a centre of expertise. It will focus on Article 4 of the IcSP Regulation.

¹ Contract IFS-2012-294970, final report of the 28/02/2013

² <http://ec.europa.eu/dgs/fpi/documents/key-documents/icsp-mte-final-report.pdf> (page 25).

4.2 Main activities

The Conflict Prevention, Peacebuilding and Crisis Preparedness support measures will contribute to the identification, formulation, implementation and evaluation of actions under Article 4 of the Instrument contributing to Stability and Peace.

The expected results to be achieved and the corresponding activities to be undertaken by the support measures may include the following:

- a) The capacity to support and to assist beneficiary countries in the framework of initiatives such as short term training, legal advice, strategy support, etc.
- b) The development of quality policy, strategies and overall programming through advisory groups and through access to quality studies undertaken by appropriate EU and third country experts and the establishment of sustainable relationships with the beneficiary countries:
 - Organising and facilitating workshops/seminars/conference/study visit programmes;
 - Undertaking studies covering risk analysis, gender analysis, assessments, identification/definition of needs, feasibility, analysis;
 - Identifying synergies with actions by other donors.
- c) Support to the identification and formulation of projects and programmes taking into account the real needs and priorities of beneficiary countries:
 - Conducting needs-assessment missions;
 - Consulting and informing beneficiary countries in order to ensure their ownership;
 - Drafting project proposals, terms of references, etc..
- d) Deployment of experts on a short-, mid- or long-term basis for the carrying out of fact-finding and needs-assessment missions, ensuring a gender balanced approach; the provision of ad-hoc technical assistance, advices, trainings, capacity building inputs, etc.; or the concrete implementation in full or in part of programmes and projects:
 - Taking delivery of and processing requests from beneficiary countries and Commission services for expert deployments;
 - Recruitment of experts via public and/or para-public bodies already pre-selected under framework contract procedure;
 - Preparing the experts through documentations, meetings and briefings in Brussels and/or the field;
 - To the extent possible, consider the possibility of training the experts on EU policies and procedures, including on EU gender policies and the Gender Action Plan (2016-2020)³;
 - Support in making logistical arrangements for the deployment of selected experts.
- e) Programmes and projects implemented in/with beneficiary countries are monitored and

³ Joint staff working document of the European Commission and the High Representative of the Union for Foreign Affairs and Security Policy of the 21/09/2015 on the gender Equality and Women's Empowerment

evaluated:

- Monitoring the ongoing programmes and projects financed under the IcSP and providing recommendations on necessary corrective measures;
- Carrying out evaluations of programmes and projects including the assessment of outputs, outcomes and impacts.

4.3 Intervention logic

N/A

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the 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 4.1 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of 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 modalities

5.3.1.1 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Identification, formulation, implementation, evaluation etc.	Services	10	Q3/2018

5.4 Scope of geographical eligibility for procurement

The geographical eligibility in terms of place of establishment for participating in procurement 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.

5.5 Indicative budget

Module	EU contribution (amount in EUR)	Third party contribution
5.3.1. Procurement (direct management)	1,000,000	
Total	1,000,000	0

5.6 Organisational set-up and responsibilities

The implementation of this project will be coordinated and led by the European Commission.

5.7 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) or the list of result indicators (for budget support). 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).

5.8 Evaluation

Having regard to the nature of the action, a mid-term or final evaluation will not be carried out for this action or its components. The Commission may, during implementation, decide to undertake an evaluation for duly justified reasons either on its own decision or on the initiative of the partner.

Any evaluation reports shall be shared with the partner country and other 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.

5.9 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.

5.10 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 in section 5.5 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.