

Annex IV to the Agreement establishing the European Union Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa and its internal rules

Action fiche of the EU Trust Fund to be used for the decisions of the Operational Committee

T05-EUTF-NOA-REG-03

1. IDENTIFICATION

Title/Number	Technical Cooperation Facility (TCF): Formulation of programmes, Implementation of the Monitoring and Evaluation Framework, and Communication activities		
Total cost	Total estimated cost: 5.200.000 EUR Total amount drawn from the Trust Fund: 5.200.000 EUR		
Aid method / Method of implementation	Component 1: Indirect management with an International Organisation Component 2: Procurement of services Component 3: Procurement of services		
DAC-code	43010	Sector	

2. GROUNDS AND BACKGROUND

2.1. Summary of the Action and its objectives

This Action consists of a technical cooperation facility designed in three components. The first component aims at supporting the European Commission services in the implementation of a monitoring and evaluation framework specifically devised for the programmes implemented under the EU Trust Fund North of Africa Window (EUTF NOA). The second component aims at supporting the European Commission Services in formulating Actions to be funded under the EUTF NOA as well as scaling up Results-Oriented Monitoring (ROM), including third party monitoring in areas with limited humanitarian access. This particularly in light of the recently approved Actions for Libya in the Southern border areas characterised with limited humanitarian access. The third component focuses on strengthening communication on migration-related activities at national, regional and cross-regional level.

The overall objective is to increase the effectiveness of the EUTF NOA on migration and international protection by strengthening the formulation of Actions, monitoring and evaluation of such Actions as well as improving communication and visibility on the results achieved through the EUTF at national, regional and cross-window level. It is to be noted that an overarching TCF for the EUTF for Africa is in place. Though due to the specific migration related needs, it has been agreed that the EUTF NOA would have an additional TCF in order to cover specific window needs for feasibility, monitoring, evaluation and communication.

The Action covers horizontally the five priority areas of intervention of the North of Africa window of the EU Trust Fund, notably a) Migration Governance b) Promote mutually-beneficial legal migration and mobility c) Ensuring protection for those in need, d) Tackle irregular migration, and support sustainable return and reintegration policies and e) Improve information and the protection of vulnerable migrants along the migratory route.

The Action has a regional coverage, comprising the five eligible countries under the EUTF NOA.

The intervention logic is to provide specialised expertise to monitor and evaluate the impact of the funded Actions both on the national policies as well as on the final beneficiaries. Finally, building on capitalisation of knowledge, lessons learned and results achieved it will strengthen the communication, raise the visibility of the EU and other donors of the EUTF as well as disseminate to a wider public the results achieved against the EU strategic objectives on migration. By increasing the effectiveness of programmes funded under the EUTF NOA, the Action will indirectly contribute to improve the migrant conditions in the North of Africa Countries.

2.2. Background

2.2.1. Sector context: policies and challenges

The EU Emergency Trust Fund for stability and addressing the root causes of irregular migration and displaced persons in Africa (EUTF) was officially launched at the Migration Summit in La Valletta on the 12th of November 2015. The overall objective of the Emergency Trust Fund for Africa is to address crises in the regions of the Sahel and Lake Chad, the Horn of Africa and in parts of North Africa. The Trust Fund will support all aspects of stability and contribute to better migration management, as well as address the root causes of destabilisation, forced displacement and irregular migration, in particular by promoting resilience, economic and equal opportunities, security and development, and addressing human rights' abuses.

The EUTF is one of the main instruments to implement the Valletta Action Plan (VAP), which was adopted during La Valletta Summit and contains a comprehensive range of migration-related Actions, and it complements other financial instruments available for cooperation with African partners by the EU and its Member States.

In parallel with the adoption of the EUTF, at La Valletta Summit, African and European leaders endorsed a strategic orientation document for the three windows of the EUTF (Sahel and Lake Chad, Horn of Africa and North of Africa). The strategy of the North of Africa window focuses mainly on objective 3 of the EUTF, namely 'improved migration management in countries of origin, transit and destination', and it is articulated around 5 strategic sub-areas, as follows: i) migration governance; ii) advancing mutually-beneficial legal migration and mobility; iii) ensuring protection for those in need; iv) tackling the drivers of irregular migration, including voluntary return and reintegration; and v) improving information and protection of vulnerable migrants along the migratory routes. Those strategic orientations reflect priorities established by guiding policy frameworks, such as the European Agenda on Migration and the reviewed European Neighbourhood Policy.

At the stocktaking meeting on the state of play of the implementation of the Valletta Action Plan (VAP), held in Brussels on the 21st and the 22nd June 2016, the representatives of the members of the steering committees of the Khartoum and Rabat Processes decided to adopt a common methodology for the mapping, monitoring and reporting of the Actions of the VAP. To this end, since the EUTF is a significant financial instrument implementing the VAP, the Commission has already taken Actions to follow up on the recommendations of African partners and EU Member States, regarding in particular the development of a solid monitoring and evaluation framework to measure results and impact. A first simplified example of results' matrix for the EUTF was already drafted upon the establishment of the EUTF and constitutes a living document to be further elaborated and refined as the EUTF progresses in the elaboration of its performance monitoring and evaluation system¹.

The reviewed European Neighbourhood Policy, in close partnership with neighbour Countries, aims at setting up a more coherent and impact-oriented cooperation on issues of common concern, including migration.

Moreover, the Court of Auditors carried out an audit on *the EU external migration spending in Southern Mediterranean and Eastern Neighbourhood countries until 2014*² which identified a number of shortcomings in the implementation of assistance on migration.

In particular, the Court observed that it is difficult to measure the results achieved by EU spending because of objectives covering a very broad thematic and geographical area and the lack of quantitative and results oriented indicators.

On this basis, the Court formulated a set of recommendations stressing the *need to develop clear and measurable objectives to be accomplished by a coherent set of EU instruments supported by effective monitoring and evaluation, and by an appropriate information system.*

Furthermore, the report stress that the **focus on clear and measurable objectives and concrete deliverables** should be at the core of new co-operation frameworks in the

¹ http://ec.europa.eu/europeaid/eu-emergency-trust-fund-africa-results-framework_en

² http://www.eca.europa.eu/Lists/ECADocuments/SR16_09/SR_MIGRATION_EN.pdf

Neighbourhood and that an effective formulation of Actions tailored to the needs of the targeted institutions and final beneficiaries along with the **set-up of a clear matrix of results are of paramount importance to produce long lasting impact.**

Finally, it is key to ensure a link between the objectives expressed in the policy framework on migration and the cooperation assistance, so as to be able to assess whether programs and other assistance tools contribute to the achievement of the strategic objectives.

Taking into account the afore mentioned recommendations and in line with the Art. 13 of the Constitutive Agreement of the EUTF on Monitoring and Evaluation, the North of Africa window of the EU Trust Fund intends to ensure a stronger adherence between the political commitment and the technical cooperation through the set-up of a monitoring and evaluation framework for the programmes adopted under the EU TF NOA as well as raise the visibility and disseminate results achieved by those programmes.

As a first step for a strengthened Monitoring and Evaluation of the EUTF funded Actions, an intervention logic for the North of Africa Window³ has been developed and approved by the Operational Committee held on 16th December 2016.

The intervention logic combines through an operation-oriented approach, activities, outputs, outcomes and impacts explicitly mentioned for the NOA in all relevant policy documents such as the EUTF Strategic Orientation Document, 2015⁴, the “European Neighbourhood Policy (ENP) review⁵ as well as the Valletta Action Plan⁶. By doing so, it was possible to find gaps, overlaps and inconsistencies within and between each priority Action. The final intervention logic has been reshaped and objectives have been reformulated to be effectively measurable. Following the approval of the Intervention Logic, Matrixes of Results for each of the 5 strategic objectives of the NOA have been formulated, identifying a set of indicators, both for intermediate and immediate outcome as well as for output, to help measure the achievement of the strategic objectives, baselines, targets, data sources –when available – and frequency of reporting. To achieve the NOA Strategic Objectives, a number of intermediate outcomes are necessary and have been outlined within the intervention logic for each priority Action. In the longer term, these will be triggered by initiatives implemented in the targeted country. This however requires specific institutional capacities, which in many cases are not available yet, as well as political willingness.

Results oriented monitoring will be used as a standardized approach for reporting on the implementation of all the indicators against the set objectives as reflected in the log frames at project level, harmonized and aligned with the overarching results framework. Results oriented monitoring will be planned for each Action adopted by the Operational Committee besides regular monitoring being conducted the EU Delegation and implementing partner. In areas with limited humanitarian access, the Action allows for the (sub) contracting of third parties to conduct external monitoring. The Action will be also used for formulation of Actions and evaluations as need arise. The proposed Action on technical cooperation recasts activities on monitoring, evaluation, communication and visibility of Actions adopted in the

³ https://ec.europa.eu/europeaid/regions/africa/eu-emergency-trust-fund/north-africa_en

⁴ https://ec.europa.eu/europeaid/eu-emergency-trust-fund-strategic-orientation-document_en

⁵ https://ec.europa.eu/neighbourhood-enlargement/tenders/consultation_en_en

⁶ www.consilium.europa.eu/en/meetings/international-summit/.../Action_plan_en_pdf/

December and June 2016 Operational Committees.

Finally, a clear need has been identified in strengthening visibility and communication of the EUTF at national, regional and cross-window level. While Implementing Partners will be tasked with communication and visibility activities for the single programmes implemented, the Component will focus on how the EUTF NOA is contributing to tackle the priorities at national, regional and cross-window level.

2.3. Complementary Actions

In line with the need to ensure a prompt reporting on progress achieved through the programme adopted under the EUTF as stressed by both EU MS and Partner Countries, the three windows of the EUTF have identified a common platform managed by a Dutch NGO AKVO that has made available one of its tools for reporting and monitoring the programmes implemented under the EUTF in the three targeted regions.

Akvo⁷ is a non-profit foundation that creates open source, internet and mobile software and sensors. Indeed, the **Akvo Really Simple Reporting (RSR)** aims at coordinating activities, monitoring and sharing their results in compliance with International Aid Transparency Initiative (IATI)⁸.

Akvo made available to the three windows of the EU TF a web-based system that allows EU TF to collect, update and store detailed programme and project information and helps to monitor, report and communicate on the funded activities. The RSR platform facilitates working with result- and indicator frameworks to keep track of programmes and projects performance and thereby assist the EUTF and implementing partners in decision-making. This means that for every programme or project of the EUTF there is room to define outcome, results, and indicators, baselines, thus allowing defining programme and project hierarchies and aggregating results per region (eg. North of Africa), or per sector (eg. Protection).

The Result Oriented Monitoring (ROM) will continue being used as a tool for monitoring the project in a specific moment and provide recommendations to improve performances.

The DG NEAR guidelines on linking planning/programming monitoring and evaluation issued in 2016 represents the reference document used to put in place a M&E framework of the EUTF NOA.

Finally, it is worth to mention that following the stock tacking meeting of La Valletta Action Plan held on 21st and 22nd June 2017, EU Ms and Partner Countries stressed the importance of devising a monitoring tool for all the Actions that have been launched following La Valletta Summit held in November 2015. A mock-up version of the tool was presented at the Valletta SOM in February 2017 and is being developed by ICMPD.

The Monitoring and Evaluation Framework of the EUTF NOA has been conceptualised to be consistent with the broader exercise launched under the framework of La Valletta Summit.

⁷ <http://www.akvo.org>

⁸ <http://iatistandard.org/>

The proposed communication and visibility Actions will be complementary to the communication strategy 2017-2018 adopted for the EU Trust Fund for Africa as a whole. It will cover communication on migration-related bilateral, regional and cross-regional programmes, increasing awareness both in the affected regions and in the EU. .

2.4. Donor co-ordination

By strengthening the monitoring function of the EU TF funded Actions and through the use of a monitoring and reporting tool open to the public, the Action will contribute to increase awareness on the results achieved against strategic objectives and foster a donor coordination at all stages (be it in its contribution to key stages of the project management cycle of Actions to be presented to the Operational committee). It will also raise the EU and MS profile in funding Actions to address the root causes of irregular migration and forced displacement in Africa, with specific regards to the North of Africa Window.

3. DETAILED DESCRIPTION

3.1. Objectives

The **overall objective** is to increase the effectiveness of the EUTF NOA on migration and international protection by strengthening the formulation of Actions, monitoring and evaluation of such Actions as well as improving communication and visibility on the results achieved through the EUTF at national, regional and cross-window level.

The **specific objectives** are:

- SO1: to implement a coherent, measurable and impact-oriented cooperation framework for the EUTF NOA.
- SO2: to provide technical assistance on formulation of Actions, requiring ad hoc technical expertise, and strengthen the use of standard tools, in particular the Result Oriented Monitoring (ROM) for the Actions funded under the NOA.
- SO3: to reinforce communication and raise the visibility of ongoing programmes and their contribution to tackle the migration challenges at country, regional and cross-regional level.

3.2. Expected results and main activities

3.2.1: Actions implemented under the EUTF NOA are effectively monitored in line with the ad-hoc Monitoring and Evaluation Framework of the NOA and results are timely reported against the strategic objectives of the EUTF NOA.

List of indicative activities:

- ✓ Review of Description of Actions and related logical frameworks to ensure their compatibility with the M&E framework;
- ✓ Technical support for the selection of indicators and baselines for the programmes to be implemented under the EU TF North of Africa Window;

- ✓ Support in systematic data collection for the aggregation of results at country and regional level for each priority area of intervention of the EU TF North of Africa window;
- ✓ Technical support for the analysis of reports generated through the RSR platform used by the three windows of the EU TF for Africa.
- ✓ Provide guidelines for reporting at project level, tools and templates for data collection (especially when data does not exist) for the benefit of the Implementing Partners
- ✓ Provide training and support to EU Services and the Implementing Partners upon request;
- ✓ Establish a register of relevant data collections as reference point for strategic and context indicators. Such a register would cover relevant existing data sources (statistics) for strategic and context indicators, specifying availability, accessibility and quality (reliability, timeliness) as well as geographic-administrative coverage.
- ✓ Annual analysis of monitoring data at all levels in line with the reporting formats defined.
- ✓ Analysis of qualitative data provided at outcome level. It is assumed that sometimes it will not be possible to obtain data for indicators at outcome level. In these cases, it will be possible to enter short narrative information into the database, which has to be analyzed separately.
- ✓ Regular reporting for both EU delegations as well as DG NEAR Headquarters.
- ✓ Facilitation of External evaluations through advise on and review of ToR for external evaluations. The quality of evaluations depends to a large extent on the ToR, i.e. evaluation questions, framing of the evaluation, etc.

The other two windows of the EU TF are proceeding with a similar exercise to set up an M&E Framework, coordination is ensured through bi-weekly meetings. AKVO RSR platform will be fed with data and indicators at project level identified thanks to the Monitoring and Evaluation Framework specifically developed for the North of Africa.

3.2.2: Trust fund interventions under the North of Africa Window are identified, formulated, monitored and evaluated as appropriate.

List of indicative activities:

- ✓ Feasibility studies are conducted at country, regional or cross-regional level when ad hoc high technical expertise is required;
- ✓ Periodical field monitoring missions, in line with the Results Oriented Monitoring methodology, are organised for EUTF NOA, including the coverage of areas with limited humanitarian access.;
- ✓ A number of specific impact assessments (evaluation) are conducted at programme, sector and/or country level.

3.2.3: Communication strategy on ongoing programmes is in place and results disseminated.

List of indicative activities:

- ✓ Develop a migration-related communication strategy in complementarity with the Communication strategy for the EUTF for Africa;
- ✓ Implement communication and visibility actions at country, regional and cross-regional level (in coordination with possible communication activities undertaken by implementing partners);
- ✓ Provide training and support to EU Services, at HQ and EUDs upon request;
- ✓ Share good practices and lessons learnt at national and regional level;

3.3. Risks and assumptions

Contextual risks

The governance context and the political settlement in some of the eligible countries can be considered a key driver of displacement, migration and violent conflict. It is important to underline that substantial progress needs to be made towards a more inclusive politics to address the underlying drivers of migration and conflict.

There are a number of programmatic risks resulting from conflict and governance contexts. Those will be mitigated by taking a conflict sensitive approach to monitoring and evaluating Actions funded through the EUTF. This involves minimising the unintended consequences of the development intervention on conflict i.e. ‘avoiding harm’ and maximising development’s contribution to peace and stability.

Operational risks

Risks related to regional instability must be taken into account for the safety and security of staff, and the consequences these may have on the monitoring missions deployed under this Action. These risks will be mitigated through an effective and continuous monitoring of the situation and through the use of implementing partners that are already operational in the region.

Operational risks are mainly related to the quality of the technical cooperation provided under this Action. These will be mitigated by the quality assurance to which each the Action will be subject.

Other mitigating measures have been considered, including a strong supervision by the European Commission services and coordination with relevant institutional stakeholders that will ensure that the Actions are effectively monitored and evaluated and results achieved widely reported and communicated.

The **assumptions** for the success of the Action and its implementation include:

- The Action is feasible and regional context allows the implementation of the Monitoring and Evaluation Framework as well as the Communication and Visibility strategies.

- Expertise mobilized meets the quality standards of the M&E and Result Oriented Monitoring.
- The Action is implemented through an inclusive approach with all relevant stakeholders (national institutions, EUDs, etc.).
- Relevant stakeholders – including implementing partners - make information available for a proper implementation of the Action.
- Complementarity is ensured through a smooth coordination with other donors and other ongoing EU initiatives.

3.4. Cross-cutting issues

The Action is cross-cutting and will contribute to the achievements of the strategic objectives of the EUTF NOA. The technical cooperation made available under this Action will include the rights-based approach and the gender perspective. In particular, in line with the Gender Action Plan 2016 – 2020 (GAP), the gender perspective will be included in the Action.

3.5. Stakeholders

Stakeholders will include members of the Operational Committee for the North of Africa Window of the EU Trust Fund, EU Services at HQ and Country level working on formulation and supervision of Actions adopted under the EUTF NOA, national and local institutions and decision makers, civil society organisations, other donors and implementing partners of the EUTF.

4. IMPLEMENTATION ISSUES

4.1. Financing agreement, if relevant

It is not foreseen to conclude a Financing Agreement with the partner country.

4.2. Indicative operational implementation period

The implementation period will be 36 months.

4.3. Implementation components and modules

The Action entails different implementation modalities.

The Component 1 will be implemented through indirect management with ICMPD which is an international organisation with an outstanding experience on migration. The choice of ICMPD and of indirect management is justified on the following elements: ICMPD is also in charge of developing a monitoring tool for the Actions implemented under the framework of La Valletta Action Plan and therefore the use of the same methodology will ensure consistency and avoid duplications; the need to have a M&E framework up and running as of the second semester of 2017.

The Component 2 will be implemented through Procurement of services.

The Component 3 will be implemented through Procurement of services.

4.4. Indicative budget

Component	Amount in EUR
Component 1	2 200 000
Component 2	2 000 000
Component 3	1 000 000
Total	5 200 000

The progress of the Action will be monitored through regular reporting to the operational committee.

4.5. Monitoring and Evaluation

If necessary, ad hoc audits or expenditure verification assignments could be contracted by the European Commission for one or several contracts or agreements.