

**THE EUROPEAN UNION EMERGENCY TRUST FUND FOR STABILITY AND  
ADDRESSING THE ROOT CAUSES OF IRREGULAR MIGRATION AND  
DISPLACED PERSONS IN AFRICA**

**Action Document for the implementation of the Horn of Africa Window  
(incl. 2 riders)**

**T05 – EUTF – HOA – REG - 10**

**1. IDENTIFICATION**

Title/Number	<b>Research and Evidence Facility</b>		
Total cost	Total estimated cost: EUR 6 600 000 Total amount drawn from the Trust Fund: EUR 6 600 000		
Aid method / Method of implementation	Direct management: service tender procedure For phase II, direct award via extension of services already provided by the consortium led by the SOAS University of London For phase III: New service contract with the consortium led by the SOAS University of London through a negotiated procedure.		
DAC-code	150	Sector	Government and civil society
Derogations, prior approvals, exceptions authorised	EVR 25a2) Services: negotiated procedure instead of call for tenders		

## 2. RATIONALE AND CONTEXT

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

The Action is **based on the cross-cutting output of improving policy and practice within the EU Trust Fund**, and will contribute to its four objectives of creating greater economic and employment opportunities, strengthening resilience of most vulnerable communities, improving migration management, and improving governance and conflict prevention. This action contributes to **Sustainable Development Goal 10**.

The **geographical coverage of the action** is regional, comprising the nine eligible countries under the Horn of Africa window of the Trust Fund.

**The intervention logic** aims to collate, synthesise and produce evidence and policy relevant knowledge to inform development policy and practice in the Horn of Africa so that they have a positive impact on addressing instability, migration management and forced displacement. It will do so by generating new research and evidence, engaging with research bodies primarily based in the Horn of Africa, as well as by collating research and evidence from relevant research bodies, including those funded by other EU instruments<sup>2</sup>. The main assumption is that the Horn of Africa window of the Trust Fund, and other local and international interventions in the region, can have much greater impact by ensuring information, experience and lessons learned are used to influence programmatic, policy and decision-making.

The action will also build capacity to undertake and use research and, to that end, will engage with key user stakeholders. This will also ensure the sustainability of the action, i.e. the commitment to engage and build the capacity of research entities in the region.

### 2.2. Context

#### 2.2.1. Regional context

The Horn of Africa is a region faced with chronic instability and affected by the rising challenges of migration, forced displacement and violent conflict. It is characterised by a high population growth of 3% (with the total population doubling every 23 years) and an increasingly young population (over 60% of the estimated 242 million people in the region are youth). If properly harnessed, this represents a significant demographic dividend for the region. If neglected, it can be a catalyst for negative outcomes. However, the absolute number of poor people is increasing, while the number of people living on less than \$1 a day is only marginally declining.

Approximately 60-70% of the region consists of lightly populated borderlands, remote and peripheral arid and semi-arid areas. While they receive little investment, the peripheries and borderlands are often important sites of cross-border economies and bear the brunt of refugee movements, including protracted situations. The lack of equitable distribution of wealth and political participation has resulted in a growing alienation between the centre and periphery. This tension is at the root of the multiple political, economic, social and environmental vulnerabilities afflicting the region, which undermine national cohesion, creating social cleavages and adding to the sense of disenfranchisement and marginalisation.

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<sup>2</sup> Such as the Hedayah Centre of Excellence for countering violence extremism

Of key concern amongst those vulnerabilities are the governments' shortcomings at providing basic security needs for law and order, property rights, education, employment, health or food programmes, as well as the vicious circles of violent inter- and intra-state conflict, the flow of internally displaced people (IDPs) and refugees, trans-boundary threats in the form of trafficking of human beings and goods, smuggling of migrants or the infiltration of violent extremist ideologies, the high youth unemployment, low productivity and poorly developed market structures, undeveloped infrastructure, and environmental degradation.

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

#### Instability and Conflict

The Horn of Africa is often ranked as one of the most violent regions in the world. Conflict is currently mostly intra-state in nature such as in Somalia, Sudan and South Sudan, as well as inter-communal across the region. Whilst Somalia is slowly emerging from prolonged conflict, civil war has broken out in South Sudan threatening the stability of the region and leading to mass displacement. The causes at the root of these intra-state conflicts stem from multiple vulnerabilities referred to in the preceding section. The Horn of Africa also retains a significant risk of inter-state conflict. The internal dynamics of the region are themselves affected by the broader supra- regional dynamics such as the Gulf States' increasingly active engagement in the politics of the Horn. At the same time, dynamics in the Horn, notably in Sudan, have significant impact upon neighbouring countries, be they in the Sahel region (Chad, Central African Republic) or in North Africa (Egypt, Libya). Terrorist groups, notably Al-Shabaab, have expanded their influence and pose a danger to the region. Growing alienation of communities across the Horn creates a sense of exclusion and marginalisation, which can be exploited by militant groups.

#### Mixed Migration

There are several mixed migration routes originating from the Horn of Africa: (1) via Sudan, into Libya and across the Mediterranean; (2) to Egypt and into Israel—severely restricted as of mid-2012; (3) down the Eastern Corridor toward South Africa; and (4) via Yemen to Saudi Arabia and beyond. In addition, because of the security situation in Yemen, a growing number of persons (both Yemeni and people originally from the Horn) are displaced from there to the Horn of Africa.

There are different groups of migrants with various needs and vulnerabilities, including: (a) irregular migrants (people who move without legal authorisation; they may be dislodged by an inability to thrive - economic migrants – displaced by conflict or repressive political environments, driven by a desire to unite with other family members or some other factor or combination of factors; (b) victims of trafficking who have been coerced or deceived into servitude, forced labour, or sexual exploitation; (c) unaccompanied minors and other vulnerable persons; and (d) refugees and asylum seekers in search of protection from conflict or persecution in their country of origin. The distinction between the groups is often unclear and overlapping. For example, not only many refugees and asylum seekers but also a large number of irregular migrants find themselves trafficked during their journeys.

At the global level, over 4 million refugees and IDPs are estimated to have returned to their areas of origin between 2006 and 2013. For both IDPs and refugees, the return to their area or country of origin does not necessarily mean that they find durable solutions to the situation of displacement. They may continue to face protection risks that threaten their lives and livelihoods, and may move from one displacement setting to another. It is therefore critical to

understand what are the barriers to and the conditions and processes that underpin durable solutions, and the development activities that can facilitate such solutions. Tackling violent conflict and extremism which are themselves drivers of forced displacement, and organised crime such as trafficking and smuggling requires a regional approach. A number of regional frameworks for dialogue and cooperation exist such as the AU Horn of Africa Initiative on Trafficking in Human Beings and Smuggling of Migrants, or the Khartoum Process, established in November 2014 to serve as a basis for dialogue and cooperation between the countries in the region and the EU.

## Displacement

The Horn of Africa hosts over 8.7 million displaced persons, including over 6.5 million internally displaced persons and about 2.2 million refugees, representing the largest IDP and refugee population in Africa. Kenya and Ethiopia are the first and second largest receiving countries of refugees in Africa. Ethiopia hosts more than 700,000 refugees mainly from Somalia, South Sudan, Eritrea and Sudan. Kenya hosts around 585,000 refugees mainly from Somalia, South Sudan and Ethiopia. Uganda hosts nearly 750,000 refugees, including from South Sudan and Somalia.

Forced displacement, irregular migration and violent conflict are transnational challenges that affect all the countries of the Horn (and beyond), albeit to various degrees. The geostrategic situation of the region makes it both a source of origin (Eritrea, Somalia, Ethiopia, Sudan), destination (Ethiopia, Kenya, Sudan, Uganda) and transit (Sudan and Djibouti) of migrants. Tackling violent conflict and extremism, themselves drivers of forced displacement, also requires a regional approach, given the interconnection between the different contributing factors, again in full recognition of significant local dimensions.

There are four major displacement situations in the Horn of Africa, protracted over the last 20 years: (1) forced displacement from Eritrea (around 354,000 refugees and asylum seekers, of which over 200,000 are in Ethiopia and Sudan) and Somalia (1.1 million refugees) (2) internal displacement in Somalia (1.1 million IDPs); (3) on-going displacement in and from South Sudan, as a result of conflict with Sudan, and internal conflict (1.5 million IDPs and 0.5 million refugees in neighbouring countries); and (4) Sudan, due to conflict in Darfur, East Sudan and the Transitional Areas (3.1 million IDPs and 0.7 million refugees and asylum seekers).

The underlying drivers and dynamics of conflict, irregular migration and displacement in the region are divergent and need to be better understood in order to be addressed by the Trust Fund.

### **2.3. Lessons learnt**

The EU has long since funded research through its various instruments – but both thematic and country level evaluations have concluded that there is further need for operationally focused research to be collated and, where gaps exist, commissioned to inform targeted and effective programming. Key lessons both from the EU and work done by Member States highlight the importance of a strong communication component of any research and programme to ensure that evidence is reaching relevant stakeholders and is being used to improve the effectiveness of interventions.

Supporting the uptake of research knowledge involves strengthening demand for knowledge and improving access to information, building capacity to do and use research, and engaging with key stakeholders. To this end a substantial proportion of the action's budget will be allocated to communication and advocacy (including production of policy briefs, targeted advocacy activities and events, dissemination within the region and to EUTF contributing countries in Brussels and national capitals), capacity building to various stakeholders and monitoring and evaluation.

Stability, security, migration and displacement are all politically complex processes. We need to be armed with the best knowledge we can muster about local political economy dynamics, and understand how they act as drivers of irregular migration, forced displacement or violent extremism. At the same time, accessing to information and proceeding to its analysis is not enough. In addition to be well-informed, international partners need to be able to make good strategic and effective choices about issues to work on (challenges that have local salience and where traction is likely to be made) and with whom to work (actors whose credibility, knowledge and networks can effect progressive change).

Although a significant number of IDPs and refugees have recently returned to their area of origin, this does not necessarily mean that they find durable solutions to the situation of displacement. It is therefore critical to understand what are the barriers to and the conditions and processes that underpin durable solutions, and the development activities that can facilitate such solutions.

There is a continuum between migration and displacement in the Horn of Africa. IDPs and refugees may be forced to move, but where they go and who they move with, may be influenced by economic and other considerations. Economic migrants, the majority of whom are youths, may initially decide to leave to improve their economic opportunities, only to become trapped in conditions of trafficking or human slavery along the way. Effectively addressing these issues requires a holistic approach designed to (a) support capacity enhancement of governance structures at national, subnational, and local levels for improved security and development; (b) mitigate economic, social, and environmental impacts to support social cohesion; (c) strengthen the resilience and economic capacities for self-reliance; and (d) address the conditions for return to communities of origin and urban areas, given the increasing urbanization of displacement and return<sup>3</sup>.

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

In addition to the EU Trust Fund, the EU, EU Member and Associated States and other contributing donors support the governments and organisations of the region in their state and nation building efforts through a number of national, regional and thematic programmes, which are implemented outside the EU Trust Fund.

In the case of the EU, national and regional development cooperation programmes for the period 2014 to 2020 amount to approximately €3.4 billion, and focus chiefly on supporting the agriculture sector (including food security, livestock and natural resource management), the infrastructure sector (including road infrastructure and energy), governance (devolution, justice reforms, public financial management and other accountability institutions), as well as peace and security. EU national and regional programmes, as well as those of EU Member and Associated States and other donors to the EU Trust Fund, directly contribute to promoting

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<sup>3</sup> World Bank Study: Forced Displacement and Mixed Migration in the Horn of Africa, June 2015.

stability and addressing the root causes that lead people to migrate because of economic and other reasons. The research and evidence which will be produced through this contract should also be available to inform these interventions where relevant.

The Research and Evidence Facility (REF) complements specific research carried out in the context of the EUTF programmes adopted. Indeed, the EUTF has now invested more than EUR 1.1 billion in interventions in line with the strategic orientations proposed at the end of 2015 and regularly reviewed at the occasion of the bi-annual EU Trust Fund board meetings. At the latest board meeting in September 2018, the following priority areas of intervention in the Horn of Africa for the EU Trust Fund were agreed<sup>4</sup>:

- 1) Return and reintegration (through the regional facility on dignified return and sustainable reintegration)
- 2) Improving the management of refugees in the region, in adherence to the Comprehensive Refugee Response Framework (CRRF)
- 3) Migration management including preventing and reducing the trafficking and smuggling of human beings
- 4) Essential stabilisation efforts in the region (with a focus on Somalia, Sudan and South Sudan)
- 5) Accompaniment of migration dialogues and the regional rapprochement (taking full advantage of the recent positive dynamic between Ethiopia, Eritrea, Djibouti, Somalia and Sudan).

The REF is adapting to the strategy of the EU Trust Fund and, for its 2<sup>nd</sup> phase, will organise its work-plan around these priority areas. In the context of migration management and accompaniment of migration dialogues, the REF will also gather evidence on productive migration and legal pathways, as areas of interest expressed by several members of the EUTF board.

The Research and Evidence Facility operates in full complementarity with the Monitoring and Learning System (MLS) of the EU Trust Fund for the HoA. The latter has the double aim to: a) monitor and report on the overall progress of the EUTF Horn of Africa window against EUTF strategic objectives, Horn of Africa policy priorities (reflected in the Operational Framework) and EUTF principles of interventions; and b) develop and implement a learning strategy based on detailed investigations into how and why individual projects or groups of projects are performing or not, in order to improve the delivery and the design of future projects, and influence policy making. While the MLS has a mandate to monitor and provide analysis on the performance of interventions, the Research and Evidence Facility will avoid this function. It will however have a role in using the EU Trust Fund interventions' results as a basis of evidence in its research on the links between development, irregular migration and violence and conflict.

The results of this contract will also aim to better inform national and regional development policies of partner countries and regional organisations, with a view to improve decision- and

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<sup>4</sup> The sixth priority criteria of “Completing progress on the securitisation of documents and civil registry” for which the Better Migration Management programme is responding, is less relevant for the HoA

policy-making, as well as to guide policy dialogue between them and with the EU, EU Member and Associated States and other donors to the EU Trust Fund.

#### **2.4.1. Justification for use of EUTF Africa funds for this action**

Given that the objective of this action is to collect, analyse and disseminate existing and new research and evidence to feed into the evidence-based approach of the EUTF Africa in particular and inform policy and operations within, the use of EUTF funds is justified for this action. The action was approved at the very beginning of the EUTF at the first Operational Committee in December 2015, and its continuation is needed in order to inform future programming, as well as derive learning from existing implementation of EUTF interventions.

#### **2.5. Donor co-ordination**

EU Member States, as well as other partner countries to the Trust Fund have expressed their interest in strengthening the evidence agenda to inform targeted operationally focused intervention, and inform policy and political dialogue and well as policy and decision making.

The action will be guided by discussions and prioritisation of operational interventions within the Operation Committee of the Horn of Africa window of the Trust Fund, where the outcomes of the action will be presented.

The action will also coordinate with the different policy and political dialogues and platforms, such as the EU-Horn of Africa Migration Route or Khartoum Process (a regional dialogue among countries of origin, transit and destination along the East Africa migratory route, launched at a ministerial conference in Rome in November 2014, with an initial focus on preventing and tackling human trafficking and smuggling of migrants), the IGAD Regional Consultative Process (a platform which aims to facilitate dialogue and regional co-operation in migration management, through which information is exchanged, best practices shared and solutions to common challenges are pursued), of the different donor coordination mechanisms in place for countering violence extremism, such the Global Counterterrorism Forum Working Group on the Horn of Africa, which the EU co-chairs, the EU-funded Hedayah Centre.

The action will also coordinate with the Regional Development and Protection Programme Steering Committee, led by The Netherlands, which will also be able to benefit from this action. The Netherlands have put in place an RDPP Learning and Evaluation Team (LET). This learning-oriented evaluation is meant to generate rigorous evidence on the effects of the first generation of RDPP projects and provide insight on what works (or not) and why. These insights are to inform future programmatic steering efforts and meant to enable cross-learning among countries and projects.

Through the consultative workshop, dissemination activities, and publications, the REF ensures complementarity and synergies with research programmes of relevance to the themes of the EU Trust Fund, which are funded by other donors.

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

**The overall purpose** of the action is to fill knowledge gaps about the causes and drivers of instability, including violent conflict, irregular migration, forced displacement at regional,

national and local levels, capture lessons learned, generate evidence of impact, and feed this knowledge into operational, programming policy and political practice. Evidence will be used to inform a wide variety of stakeholders such as relevant government bodies, regional organisations, other donors, implementing partners and civil society.

**The specific objectives** will be to collate, synthesize and disseminate the outcomes of existing and new research and evidence related to instability, irregular migration and forced displacement in the Horn of Africa; to communicate the outcomes of existing and new research and evidence to, and share knowledge amongst, all concerned stakeholders; and to strengthen the ability of key stakeholders to better use an evidence-based approach.

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

The **expected results** are:

*Result 1:* Relevant existing evidence on instability and mixed migration in the Horn of Africa collated, catalogued and effectively disseminated to decision makers in the EU and partners.

The action will collate, synthesize and disseminate high calibre and operationally focused existing research and evidence related to instability and mixed migration in the Horn of Africa, both including research commissioned by the European Union and relevant literature from external bodies. This may involve rapid data collection from existing sources or literature reviews. In addition to that, the action will also commission and quality-assure new operationally focused research in order to fill evidence gaps based on immediate needs as well as research of a long term nature.

This may involve refining and producing research proposals identified by the EU and other members of the Operational Committee of the Horn of Africa Window of the Trust Fund, as well as the RDPP/CRRF Steering Committee which should include objectives and outputs, budgets, human resource requirements, including those from the region with which the action will cooperate to conduct the research.

Relevant research is expected to be undertaken by a network of researchers based in the region, who will produce a coherent body of high quality operationally focused new knowledge that makes a significant contribution to the understanding of instability and mixed migration in the Horn of Africa. In this context the REF will be expected to ensure the sustainability of the action by engaging, building capacity and raising the profile of southern research partners.

An Independent Expert Advisory Group<sup>5</sup> was convened in the first phase of the REF to advise the REF team management and the EUTF Fund Manager on research options the implementation of the action on operationally focused research and evidence gaps related to instability and mixed migration in the region. This body will continue to function in the second phase of the programme.

**Additional services** foreseen for the second phase of the REF under result 1 include:

- Conducting additional research adapted to ongoing challenges and trends in the region and to the priority criteria of the EU Trust Fund. Themes will be determined in consultation with the EU Trust Fund management and the members of the EU Trust Fund operational committee, yet could indicatively focus on some of the topics outlined below:

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<sup>5</sup> Please note that this Expert Advisory Group is separate from and additional to the non-key experts.



## 1. Return and reintegration

- Analysis of integration processes, with a particular focus on displacement and return related to the South Sudanese conflict, with a specific focus on youth and former military;
- Impacts of reintegration initiatives on the wider community, taking a ‘whole of society’ approach to understanding integration, vulnerability and resilience;

## 2. Improving management of refugees in the region

- examination of ‘whole of society approach’ within CRRF;
- Impact of local engagement on the direction of programming in the field and impact on the ground, with a focus on the effectiveness of localization and ownership efforts on programming;
- Out of camp policies – how far do they enhance refugee choices or create a productive labour force?
- Processes of secondary migration within and from the region;

## 3. Migration management including preventing and reducing smuggling and trafficking

- Disaggregating smuggling and trafficking, looking at different business models, interests, and values from the perspective of communities or of potential clients;
- Economic rationales driving the smuggling and trafficking industry.

## 4. Essential stabilisation efforts in the region (with a focus on Somalia, Sudan and South Sudan)

- Examining the impact of stabilization on return of refugees or other displaced people;
- Considering how political instability in host countries shapes people’s trajectories for regional asylum;
- Gender-based violence in context of displacement;

## 5. Accompaniment of migration dialogues and the regional rapprochement

- Regional interactions – freedom of movement protocols, possibilities of creating legal pathways for migration and citizenship, engagement with CRRF or not
- Experience of Eritreans migrants and refugees in host countries of the region;

- Responding more systematically to ad-hoc proposals of research by EU Trust Fund stakeholders which would not necessarily be covered in the broader themes described above: on a regular basis, a call for research topics will be made, and depending on resources available, a prioritization process will then take place to engage in short to medium-term research projects;

In terms of approach, the REF will strike a balance between:

- A. Analyzing ongoing changes in the wider context and how they are affected by conditions and the extent of forced and irregular migration:

Included within this type of research will be analysis of political changes (such as the recent change of leadership in Ethiopia, emerging restoration of relations between Ethiopia and Eritrea, progress in the peace process in South Sudan, conflict dynamics in Somalia, etc.); global policy changes (related to the adoption of the Comprehensive Refugee Response Framework [CRRF] and the coming into force of the Global Compacts on Refugees and Migration) and the changing landscape with respect to donor funding of humanitarian and migration response.

- B. Understanding the broader impact of EUTF funded programme:

The REF will examine the broad impacts of programmes and the causal links that contribute to changes in living conditions (development) and patterns of mobility. It will provide evidence both to test the underlying theories of change behind EUTF investments (does A lead to B) and to explain the mechanisms behind it (how does A lead to B). It will generate an evidence base for the design of future smarter interventions, whether by the EU Trust Fund or by the EU or bilateral actors. Such work can test associations implicit in theories of change, with questions such as:

- Under what conditions do increased local opportunities for employment influence people's decision-making regarding irregular migration?
- How does improved community resilience affect the likelihood of young people engaging in violent extremism?
- How does capacity building for border officials contribute to improved conditions for those being moved by smugglers and traffickers?

Looking beyond the causal links anticipated by the theories of change, this research will also examine the unintended and unanticipated consequences of particular interventions, whether positive or negative in relation to the overall EU Trust Fund goals.

The scale and intensity of the EU Trust Fund programme of work provides an invaluable opportunity in which to learn more about the impact of interventions and generate important lessons for the design of future development programmes.

*Result 2:* Strategic communication of research systematically conducted, and knowledge shared amongst different stakeholders.

The action will develop and implement a coherent communications strategy, which will involve undertaking a communications assessment, stakeholder analyses and the provision of feedback on the results of research. It will produce a range of communications outputs accessible to policy makers, donors and implementing partners, including the production of communications products, the identification of communication channels (including the media, web based resources, workshops, meetings and written material, working with target audiences and maintaining presence on the internet). Also, an on-line system, will enable EU staff and staff from contributing donors to the Trust Fund working on project identification/design/monitoring, will be created to easily access research so that they can take an evidence based approach; dissemination for policy / political dialogue.

Data and evidence collected will be used to identify and communicate emerging big picture issues as well as specific geographical areas and populations at risk of falling into conflict, or of experiencing irregular and forced migratory flows; this may involve inter alia the organisation of analysis and dissemination workshops and conferences for stakeholders. The action shall also ensure the capitalisation and sharing of knowledge related to the implementation of the project. It concerns observations of technical and pedagogical value, which are interesting for other professionals. For sharing such information, the Contractor shall use the capacity4dev.eu web platform.

During its first phase, the REF established its website (hosted by SOAS University of London), regularly updated its blog site (also hosted by SOAS) and social media (Twitter, Facebook) and communicated profusely using a media and communications mailing list. The “research papers” sub-page of the website has close to 3500 visits per month. The REF issues full research reports, policy briefs, research briefs (including updates of recent research and events held by the team). It also sponsors a Working Paper series in which relevant research conducted outside the framework of REF-funding can be showcased and shared with the REF audience.

In the second phase, these activities will continue, but will be enhanced through the appointment of a regional Advocacy Specialist. This person will be responsible for creation of briefing documents based on REF research that are specifically targeted at different audiences. The Advocacy Specialist will present these briefings and recommendations to the attention of relevant actors, working closely with the REF Key Experts. Based in the Horn of Africa region, s/he will meet regularly with staff of IGAD, the African Union, UNHCR, IOM, NGOs engaged in Trust Fund or migration/displacement-related programming, government officials in the region, EU delegation members and bilateral donors to promote uptake of REF findings and recommendations.

REF will also intensify its dissemination to EU Trust Fund contributing countries by holding briefings on REF research and recommendations in European capitals, targeting foreign affairs, humanitarian and development actors.

### *Result 3: Ability of key stakeholders to better use an evidence-based approach strengthened*

The action will form strategic partnerships and strengthen the ability of key institutions in the region working on conflict and migration management, to more effectively prevent and manage conflict and improve migration management through the use of an evidenced based approach. For that purposed, capacity building will be provided to relevant national and regional institutions and other selected stakeholders on the use and application of data and evidence for the purposed of operational, programmatic and policy decision making. This output will directly support the strengthening of specialized selected institutions and will contribute to the overall sustainability of the action.

In order to maximize the constructive use of evidence gathered by the REF, the latter will make a particular effort to engage stakeholders using adapted methodologies and feedback mechanisms: relevant stakeholders will be consulted upstream to contribute to the shaping of the research agenda; the research deliverables will be formatted (making more use of flash reports, executive briefs, etc.) and scheduled in a strategic way, so as to maximize the potential use of evidence by relevant stakeholders; finally, it will set-up a more systematic feedback system in order to demonstrate the use of evidence by these stakeholders.

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

#### **Risks and mitigation measures**

##### Contextual risk

The governance contexts and real or perceived discriminatory policies in some of the countries of the Horn of Africa can be considered a key driver of displacement, 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 displacement and conflict.

##### Programmatic risk of the EU Trust Fund

There are a number of programmatic risks resulting from conflict and governance contexts. Those will be mitigated by taking a conflict-sensitive approach to designing, implementing and evaluating interventions funded through the Trust Fund. 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. Strong research and analysis is central to understanding the context and ensuring that interventions have a positive impact – this aspiration is reflected in the EU's commitment to research and analysis funded through the Trust Fund.

Reputational and operational risks related to the quality of new evidence produced also exist, and will be mitigated by the quality assurance to which each piece of research will be subject.

Inherent risks related to regional instability must also be taken into account regarding the safety and security of staff, and the consequences these may have in hindering the progress of research requested.

Other mitigating measures have been considered, including a strong communications component of the action which will ensure that research is both demand driven and reaches intended stakeholders and decision makers.

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

- The research is feasible, focused on the correct issues, and is researchable;
- Research is operationally focused and there is sufficient demand for and use of research findings;
- Partner institutions are open to using an evidence based approach to improve decision making;

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

This action is intended to be cross cutting and will result in operationally focused research and evidence which will improve the quality and impact of interventions for all of the strategic lines of action.

Following good research practice and ethics, research and research participants will be treated with cultural and gender sensitivity and confidentiality. All stakeholders, including research participants, are to be involved in the validation of research results. Research practices will rights-based and conflict sensitive, ensure that no participant suffers harm as a result of their

participation in research. Participation will be voluntary and based on consent and allow the possibility to opt out at any point. Issues relating to conflict are by their nature sensitive, and will be approached as such.

**3.5. Stakeholders**

Stakeholders will include members of the Operational Committee for the Horn of Africa Window of the EU Trust Fund, the Regional Development and Protection Programme Steering Committee, as well as regionally based research bodies and decision makers at regional, national and local level, other donors and implementing partners as well as civil society organisations. Ultimately the final beneficiaries of the action are the people of the region, who will benefit from more informed and targeted operational actions.

**4. IMPLEMENTATION ISSUES**

**4.1. Financing agreement, if relevant**

No financing agreement will be concluded for the implementation of this action.

**4.2. Indicative operational implementation period**

The implementation period will begin from the date of signature by the last party of the first contract implementing this Action, and will last until the 31/12/2024. This operational implementation period will be followed by a liquidation period of 18 months which will end on the 30/06/2026.

**4.3. Implementation components and modules**

The action will be implemented in centralised management, through a negotiated procedure for the award of a service contract. To that end a number of organisations will be invited to submit a tender. Those organisations will have long standing experience in the conduction of research in the areas covered by this action, and the collation and dissemination of evidence. They shall also have proven experience and a network of field researchers anchored in the Horn of Africa, as well as proven administrative and financial capacity to manage this action.

For the Phase II of the project, a contract amendment will be signed with the same contractor which was awarded the original contract.

Phase III: The action will be implemented in centralised management, through a negotiated procedure with the same contractor which was awarded the original contract.

**4.4. Indicative budget**

<b>Component</b>	<b>Amount in EUR thousands</b>
Research and Evidence Facility (Results 1 to 3)	6 500 000
Monitoring, audit and evaluation	100 000
<b>Total</b>	<b>6 600 000</b>

The progress of the action will be monitored as follows:

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

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

Audits and expenditure verification assignments will be carried out in conformity with the risk analysis in the frame of the yearly Audit Plan exercise conducted by the European Commission. The amount allocated for external evaluation and audit purposes should be shown in the budget at section 4.4. Evaluation and audit assignments will be implemented through service contracts, making use of one of the Commission's dedicated framework contracts or alternatively through the competitive negotiated procedure or the single tender procedure.

All components of this action will have to be integrated with the EUTF Monitoring and Learning System(MLS)<sup>6</sup> for the reporting of selected output and outcome indicators, and project implementing partners must take part in case study exercises and the learning strategy developed by the MLS. Project implementing partners will be expected to provide regular (at least quarterly) data to the MLS in a format which will be introduced during the contract negotiation stage.

Project implementing partners will have to report against a selected number of the MLS output indicators (see full list in annex IV). The monitoring of these indicators will therefore have to be included in the M&E systems of each component (in addition to the indicators already existing in the project logical framework, see annex III).

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

The European Commission will place an extremely high value on the ability of a prospective Service Provider to demonstrate the potential for ensuring that policy and practice takes account of relevant research, and that the results of research are used to practical effect. Amongst the most effective ways to support the uptake of research knowledge are strengthening demand for knowledge and improving access to information, building capacity to do and use research, and engaging with key user stakeholders. To this end it is suggested that a substantial proportion of the Facility's budget will be allocated to communication (including knowledge management and open access publication), capacity building and monitoring and evaluation.

The Akvo RSR<sup>7</sup> on-line reporting platform, which is available to the public, will be used to communicate and report on this action as well as on all project components. Akvo RSR links directly to the EUTF website. The project logical frameworks will be encoded in their respective Akvo pages and regular reporting of project activities and outputs will take place on this platform.

An indicative **logical framework** is attached, which will be refined during contract negotiations with the implementing partner.

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<sup>6</sup> T05-EUTF-HOA-REG-28

<sup>7</sup> Akvo Really Simple Reporting

<b>Annex I: Alignment with EUTF objectives, Valletta Action Plan and Sustainable Development Goals</b>		
<b>EU Trust Fund Strategy</b>	<b>Valletta Action Plan</b>	<b>United Nations Sustainable Development Goals</b>
<b>Four main areas of intervention</b>	<b>Five priority domains, and 16 initiatives</b>	<b>17 goals</b>
<p>1) Greater economic and employment opportunities</p> <p>2) Strengthening resilience of communities and in particular the most vulnerable, as well as refugees and displaced people</p> <p>3) Improved migration management in countries of origin and transit</p> <p>4) Improved governance and conflict prevention, and reduction of forced displacement and irregular migration</p>	<p>1) Development benefits of migration and addressing root causes of irregular migration and forced displacement</p> <ul style="list-style-type: none"> <li>. enhance employment opportunities and revenue-generating activities</li> <li>. link relief, rehabilitation and development in peripheral and most vulnerable areas</li> <li>. operationalise the African Institute on Remittances</li> <li>. facilitate responsible private investment and boost trade</li> </ul> <p>2) Legal migration and mobility</p> <ul style="list-style-type: none"> <li>. double the number of Erasmus scholarships</li> <li>. pool offers for legal migration</li> <li>. organise workshops on visa facilitation</li> </ul> <p>3) Protection and asylum</p> <ul style="list-style-type: none"> <li>. Regional Development and Protection Programmes</li> <li>. improve the quality of the asylum process</li> <li>. improve resilience, safety and self-reliance of refugees in camps and host communities</li> </ul> <p>4) Prevention of and fight against irregular migration, migrant smuggling and trafficking of human beings</p> <ul style="list-style-type: none"> <li>. national and regional anti-smuggling and anti-trafficking legislation, policies and action plans</li> <li>. strengthen institutional capacity to fight smuggling and trafficking</li> <li>. pilot project in Niger</li> <li>. information campaigns</li> </ul> <p>5) Return, readmission and reintegration</p> <ul style="list-style-type: none"> <li>. strengthen capacity of countries of origin to respond to readmission applications</li> <li>. support reintegration of returnees into their communities</li> </ul>	<p>1) End poverty in all its forms everywhere</p> <p>2) End hunger, achieve food security and improved nutrition and promote sustainable agriculture</p> <p>3) Ensure healthy lives and promote well-being for all at all ages</p> <p>4) Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all</p> <p>5) Achieve gender equality and empower all women and girls</p> <p>6) Ensure availability and sustainable management of water and sanitation for all</p> <p>7) Ensure access to affordable, reliable, sustainable and modern energy for all</p> <p>8) Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all</p> <p>9) Build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation</p> <p>10) Reduce inequality within and among countries</p> <p>11) Make cities and human settlements inclusive, safe, resilient and sustainable</p> <p>12) Ensure sustainable consumption and production patterns</p> <p>13) Take urgent action to combat climate change and its impacts</p> <p>14) Conserve and sustainably use the oceans, seas and marine resources for sustainable development</p> <p>15) Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss</p> <p>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</p> <p>17) Strengthen the means of implementation and revitalise the global partnership for sustainable development</p>

**Annex II - Indicative logframe matrix (max. 2 pages) - REVISED**

**The indicative logframe matrix will evolve during the lifetime of the action and can be revised as necessary: The activities, the expected outputs and related indicators included in the logframe matrix are indicative and may be updated during the implementation of the Action, no amendment being required to the financing decision.**

	<b>Results chain:</b>  <b>Main expected results (maximum 10)</b>	<b>Indicators</b>  <b>(at least one indicator per expected result)</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Impact (Overall objective)</b>	To fill knowledge gaps about the causes and drivers of instability, including violent conflict, irregular migration, forced displacement at regional, national and local levels, capture lessons learned, generate evidence of impact, and feed this knowledge into operational, programming policy and political practice.			<i>Not applicable</i>
<b>Outcome(s) (Specific Objective(s))</b>	To collate, synthesize and disseminate the outcomes of existing and new research and evidence related to instability, irregular migration and forced displacement in the Horn of Africa; to communicate the outcomes of existing and new research and evidence to, and share knowledge amongst, all concerned stakeholders; and to strengthen the ability of key stakeholders to better use an evidence-based approach	REF primary research produced on topics identified as insufficiently explored, disseminated to the appropriate stakeholders, and used by these stakeholders	REF website, REF reports	EUTF decision makers and partners are receptive to the use of high quality evidence



<p><b>Other Results (Outputs and/or Short-term Outcomes)</b></p>	<p><i>Result 1:</i> Relevant existing evidence on instability and mixed migration in the Horn of Africa collated, catalogued and effectively disseminated to decision makers in the EU and partners.</p> <p><i>Result 2:</i> strategic communication of research systematically conducted, and knowledge shared amongst different stakeholders.</p> <p><i>Result 3:</i> ability of key stakeholders to better use an evidence-based approach strengthened</p>	<p>Setting-up of an Expert Advisory Group to advise REF on quality and relevance of outputs</p> <p>Number of consultation meetings to establish the REF work programme (MLS indicator 5.1)</p> <p>Establishment of desk review of existing research and gap analysis (MLS indicator 5.2)</p> <p>Number of primary research conducted by the REF (MLS indicator 5.3), using different formats</p> <p>All research by the REF effectively available to the public in an user-friendly way</p> <p>Number and quality of stakeholder events organised by the REF to discuss ongoing and future research (MLS indicator 3.11)</p> <p>Analysis of REF website’s visitors statistics</p> <p>Number of dissemination meetings, events, workshops participated to by REF experts on REF products</p> <p>Number of partnerships established by the REF with academics, NGOs, research institutes, etc. to deliver on REF outputs</p> <p>Surveys of REF stakeholders on usage of the REF products</p> <p>Mentions in EUTF project documents of REF research being used as evidence</p> <p>Mentions of EUTF deliverables in other policy, research and programming documents</p>	<p>REF reports, REF website, surveys of stakeholders</p>	<p>Research is operationally focused and there is sufficient demand for and use of research findings</p>
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## Annex III: EUTF indicators as part of the Monitoring and Learning System

EUTF COMMON OUTPUT INDICATORS *					
1. Greater economic and employment opportunities		Optimal disaggregation (in addition to geographical location)	3. Improving Migration Management		Optimal disaggregation (in addition to geographical location)
1.1	Number of jobs created	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of Job (permanent, short term, cash for work, etc.) Location	3.1	Number of projects by diaspora members	Type of projects
1.2	Number of MSMEs created or supported	Type of support (access to finance, business development, training, equipment, market access, etc.)	3.2	Number of migrants in transit, victims of human trafficking, children in the mobility, IDPs and refugees protected or assisted.	Gender Target groups (refugee, IDP, returnee, migrant in transit) Age group Types of Protection (protection measures, medical and psychosocial, shelter, food, legal, etc.)
1.3	Number of people assisted to develop economic income-generating activities	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of support (funding, finance education, entrepreneurship prog., business dev service, etc.)	3.3	Number of migrants, or potential migrants, reached out by information campaign on migration and risks linked to irregular migration	Gender Target groups (refugee, IDP, returnee, migrant in transit) Age group
1.4	Number of people benefiting from professional trainings (TVET) and/or skills development	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of TVET (professional training, skills dev scheme, internship, other)	3.4	Number of voluntary returns or humanitarian repatriation supported	Gender Age group Types of assistance (transportation, pre-departures counselling assistance to obtain documents, return tickets, travel escorts, assistance upon arrival, etc.)
1.5	Number of job placements facilitated and/or supported	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of Job (permanent, short term, cash for work, incentive, etc.)	3.5	Number of returning migrants benefiting from reintegration assistance	Gender Age group Types of assistance (income generating, medical, education, housing support etc.)
1.6	Number of industrial parks and business infrastructure created, expanded or improved		3.6	Number of institutions and non-state actors strengthened through capacity building or operational support on protection and migration management	Types of support (capacity building, operational support, etc.)
1.7	Financial volume of new funding instruments for scholarships or self-employment		3.7	Number of individuals trained on migration management	Target groups (state, non-state)
1.7 bis	Financial volume granted to individual recipients		3.8	Number of refugees and forcibly displaced persons receiving legal assistance to support their integration	Gender Target groups (refugee, IDP) Age group
2. Strengthening resilience		Optimal disaggregation (in addition to geographical location)	3.9	Number of early warning systems on migration flows created	
2.1	Number of local development plans directly supported		3.10	Number of people benefitting from legal migration and mobility programmes	Gender Age group
2.1 bis	Number of social infrastructure built or rehabilitated	Use of infrastructure (health, education, water, sanitation, housing, domestic energy, legal, etc.)	3.11	Number of activities/events explicitly dedicated to raising awareness and sensitivity of general public regarding all aspects of migration	Types of activity (media campaigns, etc.)
2.2	Number of people receiving a basic social service	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of Service (health, education, water, sanitation, housing, energy, legal, nutrition, etc.)			
2.3	Number of people receiving nutrition assistance	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group	4. Improved governance		Optimal disaggregation (in addition to geographical location)
2.4	Number of people receiving food security related assistance	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of assistance (social protection schemes, training on agri practice, agri inputs, land dev, etc.)	4.1	Number of border stations supported to strengthen border control	
2.5	Number of local governments and/or communities that adopt and implement local disaster risk reduction strategies		4.2	Number of staff from governmental institutions, internal security forces and relevant non-state actors trained on security, border management, CVE, conflict prevention, protection of civilian populations and human rights	Gender capacity building Type of
2.6	Hectares of land benefitting from improved agricultural management	Types of support (irrigation, rehabilitation, improved management, etc.)	4.2 bis	Number of institutions and Non-State actors benefitting from capacity building and operational support on security, border management, CVE, conflict prevention, protection of civilian populations and human rights	Gender capacity building Type of
2.7	Number of people reached by information campaigns on resilience-building practices and basic rights	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of practices and rights (health, education, water, energy, rights, etc.)	4.3	Number of people participating in conflict prevention and peace building activities	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of Activities (community dialogue, civilian mediation, peacebuilding, awareness raising, etc.)
2.8	Number of staff from local authorities and basic service providers benefitting from capacity building for strengthening services delivery	Type of service (health, education, etc.)	4.4	Number of victims of trafficking assisted or referred to assistance services	Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group Types of Services (medical assistance, psychosocial assistance, counselling, accommodation, legal counselling, family tracking, travel docs, assistance to voluntary return, etc.)
2.9	Number of people having improved access to basic services	Target groups (refugee, IDP, Host community, returnee, migrant in transit)	4.5	Number of cross-border cooperation initiatives created / launched or supported	
CROSS-CUTTING		Optimal disaggregation	4.6	Number of strategies, policies and plans developed and / or directly supported	Types of output
5.1	Number of multi-stakeholders groups and learning mechanisms formed and regularly gathered	Type of actors (state-level, local authorities, civil society) Goal of the group/platform (coordination or learning)	4.7	Number of refugees benefiting from an Out-of-Camp policy	
5.2	Number of planning, monitoring, learning, data-collection and analysis tools set up, implemented and / or strengthened	Types of tools (studies, needs assessment, market assessments, reporting and statistics, etc.)	4.8	Number of national/regional/local networks and dialogues on migration related issues newly established or functionally enhanced	
5.3	Number of field studies, surveys and other research conducted	Focus of research	* Definition and methodology will be introduced to the implementing partners of the action		