

**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
T05-EUTF-HOA-REG-62**

1. IDENTIFICATION

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|---|--|--------|------------------------------|
| Title | Disrupting criminal trafficking and smuggling networks through increased anti-money laundering and financial investigation capacity in the Greater Horn of Africa | | |
| Total cost | Total estimated cost: EUR 5 000 000 Total amount drawn from the Trust Fund: EUR 5 000 000 | | |
| Aid method / Method of implementation | <i>Direct Award – grant to CIVIPOL</i> <i>Service contracts for audit and evaluation (framework contracts)</i> | | |
| DAC-code | 150 | Sector | Government and civil society |
| Derogations, prior approvals, exceptions authorised | Prior Approval 20.f. | | |

2. RATIONALE AND CONTEXT

2.1. Summary of the action and its objectives

This action consists of a regional intervention covering ten countries in the Greater Horn of Africa (Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan, Tanzania, Uganda and Yemen), to be implemented by CIVIPOL during a period of 36 months. In order to ensure even greater coordination and cooperation at the regional level, other members of the “Eastern and Southern Africa Anti-Money Laundering Group”¹ (ESAAMLG) may also benefit from some of the activities implemented by this action on an ad hoc basis as “observers”. This action aligns with **priority domain 4 of the Valletta Action Plan and will indirectly contribute to Strategic Objective 4 of the EU Trust Fund and Sustainable Development Goals 10 and 16.**

¹ ESAAMLG is a Financial Action Task Force Style Regional Body – headquartered in Dar es Salaam, Tanzania – that has similar form and functions of those of FATF, in addition to providing input to FATF on standards and typologies. It is an inter-governmental body whose mandate is to promote the effective implementation of legal, regulatory and operational measures for combating money laundering, terrorist financing and other threats to the integrity of the international financial system. Launched in Tanzania in 1999, current membership in the ESAAMLG comprises 18 countries: Angola, Botswana, Comoros, Ethiopia, Kenya, Lesotho, Malawi, Mauritius, Mozambique, Namibia, Rwanda, Seychelles, South Africa, Swaziland, Tanzania, Uganda, Zambia and Zimbabwe.

The overall objective of the action is to disrupt cross-border criminal organisations profiting from irregular migration, human trafficking and other types of organised crime by focusing on their financial resources.

The intervention logic of the action is that if the targeted institutions have increased analytical and operational capacity in financial investigation and anti-money laundering techniques, and agree to collaborate, they will be better equipped to disrupt criminal activity including trafficking and smuggling of people. Building on the achievements and lessons learned from the ongoing IcSP² project “Anti-Money Laundering/Countering the Financing of Terrorism in the Greater Horn of Africa”, the activities proposed will help relevant country agencies to disrupt the traffickers and smugglers of human beings operating in the wider region. Eventually, these agencies should be able to make efficient use of financial investigations and anti-money laundering techniques, including on tracing and seizing assets and criminal proceeds, as well as on crime investigation and prosecution.

The **main beneficiaries** of this proposal are law enforcement, border management and judiciary authorities, as well as financial institutions and financial intelligence units of the participating countries and whenever possible, also other members of ESAAMLG as observers. Indirectly, regional institutions such as IGAD, EAC, ESAAMLG, MENAFATF³, and the African Union Regional Fusion Centre in Kampala, as well as the Population of the targeted countries will benefit from more effective national and regional capacities to dismantle smuggling and trafficking networks.

2.2. Context

2.2.1 Regional context, if applicable

The Greater Horn of Africa (GHOA) is characterized by a number of vulnerabilities that provide an ideal environment for different forms of transnational organized crime to thrive, in particular human trafficking and migrant smuggling. Enabled by weak investigation and law enforcement capacities, rampant corruption, political instability and porous borders, human trafficking and migrant smuggling networks have become particularly active in the last years. Strategically placed at a crossroads between different busy irregular migration routes, nearly all countries in the Greater Horn have now become either an origin, transit or a destination country – and quite often, all of them combined.

Operating in a low ‘business risk’ environment, human trafficking and migrant smuggling may be now one of the most profitable proceeds-generating crimes in the region. An Ethiopian migrant moving to Yemen via Somalia may pay up to US\$ 1,540 for the journey to smugglers. Maritime crossings from Somalia to Yemen reportedly cost between US\$ 100 and US\$ 250⁴. Given the number of people taking this route per year, the benefits generated by these criminal activities are considerable.

The limited safeguards and enforcement against money laundering and criminal financing intensify the high profitability of these criminal activities. Most countries in the Greater Horn do not have the capacity to control and trace the significant flow of money – illicit and legal – generated by these crimes. Moreover, and in contrast to other forms of organized criminality

² Instrument contributing to Stability and Peace

³ Middle East and North Africa Financial Action Task Force

⁴ REF, EUTF HOA Research and Evidence Facility "Migration between the Horn of Africa and Yemen" [researchhttps://www.soas.ac.uk/ref-hornresearch/research-papers/file122639.pdf](https://www.soas.ac.uk/ref-hornresearch/research-papers/file122639.pdf)

such as drug trafficking, investigating and prosecuting human trafficking and migrant smuggling is a time and resource consuming activity that most law enforcement agencies in the region are not prepared (or able) to afford.

While information is still limited, preliminary research/evidence indicates that criminal networks are not only highly adaptable to changing circumstances (e.g. heightened border controls in certain routes, increased police repression in certain countries), but also remarkably able to reposition either geographically or thematically to other types of crime (or ‘commodity’)⁵. Indeed, organized crime activities tend to overlap and there is a complex relationship between drug, weapons, human trafficking and smuggling, sometimes connected to terrorist groups, throughout the region.

More recently, the Greater Horn has witnessed increased cooperation between law enforcement and intelligent agencies in tackling terrorist, weapons and drug trafficking networks. However, current approaches are based on border security and ad hoc disruption. There remains limited cooperation and priority given to systematic investigation leading to the prosecution of individuals and disruption of networks involved in irregular migration and displaced persons.

2.2.2 Sector context: policies and challenges

The volatile political and security situation in Yemen, Somalia, Eritrea, Sudan, South Sudan, indicates that human trafficking and migrant smuggling activities have the potential to expand significantly, bringing increased profits to criminal organizations and further destabilizing the region. However, partly due to limited resources and knowledge, competing priorities and poor cooperation, national governments and agencies in the region do not prioritise tackling organised crime groups associated with these activities.

While not a new phenomenon, migrant smuggling and human trafficking within and originating from the Greater Horn has substantially increased in the last years. According to the UNODC⁶, three out of the five major (and several smaller) irregular migration routes in Sub-Saharan Africa originate in the HoA. In 2015, there was a considerable increase in the number of migrants and refugees taking the northward route from the HOA to North Africa via land. While in 2016 the flow of HOA citizens arriving in Europe via the Central Mediterranean route diminished, an opposite trend was observed in Egypt, where the number of asylum seekers from the HOA soared. Movements across the eastward route, connecting the HOA to Yemen, through the Red Sea or the Arabian Sea, reached a record high in 2016, with some 117,000 arrivals. The same levels were maintained in 2017. This route is rather unique as migrant smuggling and human trafficking flows also take place in the opposite direction, i.e. from Yemen into the HOA.⁷

The human costs of migrant smuggling across the region is particularly high: the UNODC estimates a minimum of 1.700 deaths in 2016. But other risks are also present and have become increasingly frequent, in particular extortion, kidnapping, violence or arbitrary arrest. In recent years, it is possible to observe the development of two new approaches used by smuggling/trafficking groups to extort money out of migrants. A first one is the so-called ‘hostage-for-profit model’, when migrants are held captive during parts of the journey and

⁵ See footnote #18

⁶ UNODC, *Global Report on Smuggling of Migrants 2018*, Africa.

⁷ UNODC, Op. cit.

only released when their relatives, contacted by criminal groups, accept to pay a ransom – which could reach US\$ 4,000.⁸ The other modus operandi is the facilitation of licit or illicit travel to Europe via Turkey. Yet, criminal groups do not use these models in isolation. They are nimble, highly adaptable and keenly aware of new opportunities ripe for exploitation including penetrating governments and humanitarian organizations.

To meet the requirements of their new business models, human trafficking and migrant smuggling groups operate through a complex ‘network of networks’, in which more structured/organized groups collaborate with a myriad of smaller ones for a series of smaller (smuggling) operations. These networks spread their reach across the region, including South Sudan, Sudan, Somalia, Ethiopia, Kenya, Uganda, North Africa, Turkey and the Gulf, with final connections in Europe⁹.

Although it is difficult to assess the illicit profits generated by these trafficking and exploitative crimes related/connected to human trafficking and migrant smuggling, the International Labour Organisation estimated that US\$ 150.2 billion per year could have been obtained from the use of forced labour, which is inclusive of sexual exploitation at a global scale.

As the Financial Action Task Force (FATF) points out in a recent report, “there are incremental challenges when it comes to understanding the money laundering risk related to human trafficking”.¹⁰ Since smugglers and traffickers' activities are motivated by the financial profits generated by smuggling migrants/trafficking persons, it is essential to track, seize, freeze and confiscate their criminal assets by initiating financial investigations to “follow the money” as early as possible. However, even if linkages exist between migrant smuggling and human trafficking, the proceeds of crime manifest in a significantly different manner between the two crimes, notably because of their different nature and modus operandi of criminals.¹¹

In recent years, the FATF and FATF-Style Regional Bodies (FSRBs) have issued “typologies”¹² helping relevant actors to identify suspicious activities and transactions. These typologies have also contributed to identify the important role that cash couriers and cash-intensive businesses typically play in human trafficking networks. They have also helped banks and other financial and non-financial intermediaries to spot indicators of such activity. There are now signs that FATF may intensify efforts to encourage the sector to prevent and disrupt human trafficking.

In the Greater HoA, there are no national or regional figures on the potential gain the human trafficking and migrant smuggling ‘business’ generates. Handling those funds can constitute money laundering or, in certain cases where designated terrorist organisations are involved, terrorist financing. Financial institutions that handle funds generated by human trafficking and migrant smuggling, or that finance businesses that engage in these crimes, thus risk violating a range of laws, particularly anti-money laundering (AML) and in some cases also countering the financing of terrorism (CFT).

⁸ Kidnap for ransom is often reported in Libya.

⁹ <https://news.un.org/en/story/2020/07/1069181>

¹⁰ FATF-APG, *Financial Flows from Human Trafficking*, FATF, Paris, France, 2018.

¹¹ FATF-APG, 2018, op. cit.

¹² FATF-APG, 2018, op. cit; FATF report, *Money Laundering Risks arising from trafficking in Human Being and smuggling of migrants*, July 2011.

The most important recent regulatory development regulating these issues is the UN Security Council Resolution on human trafficking in conflict (UNSCR 2331 (2016)). It draws attention to the role of the financial sector, encouraging action by states, Financial Action Task Force (FATF), FATF-style Regional Bodies (FSRBs), the UN and the industry. It calls on member states to investigate, disrupt and dismantle networks involved in human trafficking in the context of armed conflict, in accordance with national legislation, using anti-money-laundering, anti-corruption and anti-bribery laws. The resolution also calls FATF and FSRBs to consider including an analysis of financial flows associated with human trafficking that finances terrorism as part of its ongoing work.

Member states who have not yet developed the expertise of their Financial Intelligence Units (FIUs) to analyse human trafficking and associated crimes are also recalled to take action. The UN resolution encourages states to work together to develop that capacity, and, in this regard, it further encourages member states and relevant UN entities and other international and regional organisations to provide other states, upon their request, with the financial, material and technical assistance that they may require to build this capacity. Finally, the resolution also calls on member states to consider reinforcing legal and regulatory measures to facilitate cooperation and the sharing of information, both domestically and internationally, between law enforcement and regulatory actors and the private sector as well as within the private sector.

Indeed, the nature of the phenomenon makes it particularly difficult for law enforcement agencies to adopt a systematic, standardized and exclusively national approach to dismantling those human trafficking and migrant smuggling groups and their business models. There is an increasing awareness among regional stakeholders and practitioners of the importance of adopting a regional and holistic approach to transnational organized crime. This means, first, that that policy responses must look beyond commodities and focus the broader picture, tackling the different networks of groups and their business/financial operations. Second, it also reinforces the need to enhance national capabilities so (trans-)regional cooperation is favoured and enhanced.

One of the most important challenges the Greater HoA is that money-laundering risks from proceeds of migrant smuggling and human trafficking are not adequately detailed in the national risk assessments and, in some cases, not effectively understood. There is in fact limited understanding and false assumptions around the dynamics of migrant smuggling and human trafficking, which remain hidden crimes in the region. Yet, preventing and detecting money laundering can be an effective means of disrupting criminal activities. Intelligence and investigative techniques applied to financial activities can be critical to identifying networks, individuals and criminal activities.¹³

Moreover, across the region, the predicate offences of human smuggling and trafficking is incredibly diverse in how it is defined and enforced. In some countries, such as Kenya, human smuggling is not always considered a crime. The lack of awareness, legal framework and risk assessment on irregular migration, smuggling of migrants and human trafficking undermines criminal investigations and transnational cooperation.

In the Greater Horn of Africa context, it is moreover particularly difficult for national authorities to investigate and prosecute individuals participating to human trafficking and migrant smuggling networks. This is not only due to the low public awareness of trafficking

¹³ During a regional meeting of the Heads of FIUs held in October 2018 in Mombasa in the framework of the AML/CFT GHoA Project this aspect has been also stressed.

as an offence, but also to the difficulty of identifying what can be small sums of laundered cash involved in these activities. The appropriate risk mitigation measures are yet to be put in place to curb these types of crime.

Countries in the region are moreover not sufficiently included in international institutions, such as the Egmont Group of Financial Intelligence Units (FIUs), which seriously hinder their efforts to tackle money laundering and financial crimes associated to human trafficking and migrant smuggling.¹⁴

In addition to building the capacity of national law enforcement bodies, an effective response to transnational organised crime networks requires improved coordination between national agencies in the region and with global systems for information sharing and cooperation between law enforcement, such as Interpol and Europol. This has been more recently also recognized by regional stakeholders. National authorities of the region have expressed on different occasions¹⁵ the need to apply financial intelligence and investigation techniques to fight trafficking and smuggling of people, notably by enhancing the skills/capacities of Financial Intelligence Units (FIU), as well as inter-agency policy coordination and cooperation. This also appears as one of the main findings of the research commissioned by the EUTF Research and Evidence Facility (REF) to assess the existing trafficking and smuggling networks, and how financial investigations and anti-money laundering tools and instruments could be used to disrupt these networks in the region.¹⁶

Encouraging regional FIUs to work with law enforcement on other cases of trafficking and smuggling might set the stage for future investigation on migrant smuggling and human trafficking or for sharing data on specific illicit network. Overall, coordination among FIUs in the Greater HOA region is evolving, especially regarding the investigation of terrorist financing.

The Eastern and Southern Africa Anti-Money Laundering Group (ESAAMLG) has been at the forefront by adopting the following ‘capacity building’ initiatives to encourage FIUs to enhance coordination, cooperation, information sharing, signing MoUs and ultimately joining the Egmont Group.¹⁷ By bringing its members together, ESAAMLG “enables regional factors to be taken into account in the implementation of anti-money laundering measures”¹⁸ and provides technical assistance for members working on understanding their Money Laundering risks while they are developing their National Risk Assessment. In order to support the work of this key trans-regional institution, and to enhance cooperation within the Greater Horn, as

¹⁴ The Egmont Group is a global organization made up of more than 150 national FIUs, providing a forum to improve cooperation in the fight against money laundering and encouraging the implementation of national laws to combat financial crimes. In the region, only Tanzania and Sudan are part of the Group.

¹⁵ Three recent events can be pointed out. The first one is the Global Counterterrorism Forum, East Africa Working Group, which took place in April 2018; the second is the regional workshop organised in the framework of the AML/CFT programme in the Greater HOA in September 2018; and the third is the UNODC Regional Expert Group Meeting on “Strengthening Capacities in Disrupting Illicit Financial Flows Stemming from Smuggling of Migrants and Trafficking in Persons, In, From and Through Eastern and Northern Africa”, held in October 2018 in the framework of the EUTF Better Migration Management Programme.

¹⁶ EUTF HoA Research and Evidence Facility (REF), draft report on "Rapid Assessment of Organised Criminal Networks Responsible for Human Smuggling and Trafficking", October 2018, (research ongoing, expected to be finalised in December 2018).

¹⁷ See footnote 1.

¹⁸ Barasa, Noela, & Fernandez, Lovell. (2015). *Kenya's implementation of the Smuggling Protocol in response to the irregular movement of migrants from Ethiopia and Somalia*. Law, Democracy and Development, 19, 29-64. <https://dx.doi.org/10.4314/LDD.V19I1.2>

well as with other regions, member countries of ESAAMLG may also benefit from some of the activities implemented by this action on an ad hoc basis as “observers”.

Yet, not all countries in the HoA are members of the ESAAMLG. Sudan, Libya, Djibouti, and Somalia are members of the Middle East and North Africa Financial Action Task Force (MENAFATF), another FATF-style body headquartered in Manama, Bahrain. Saudi Arabia, United Arab Emirates and Yemen are also members of the MENAFATF organizations. There are however no regular meetings between FIUs of the ESAAMLG and MENAFATF, even if they often informally meet on the sideline of international events. There is hence a need to increase cooperation between these different regional bodies notably by developing common typology trends and case studies and offering a cooperative-inductive environment.

2.3. Lessons learnt

The present action aims to build upon the achievements and the lessons learned from the EU-funded project Anti-Money Laundering/Countering the Financing of Terrorism in the Greater Horn of Africa (*AML/CFT Project in the GHOA, 2014-2019*¹⁹). This action has been pivotal to raise awareness among partner countries on the benefits of adopting a regional approach to AML/CFT, as well as on the importance of enhancing information sharing and cooperation on financial crimes and serious transnational organised crime. The ten countries in the Greater HOA that have been part of this project (namely: Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan, Tanzania, Uganda and Yemen) should also be the main beneficiaries of the proposed action.

The project has contributed to boost relations between AML/CFT international stakeholders and the beneficiary countries. Thanks to the support received, Somalia was able to set up its national FIU, which has after two years gained the status to Financial Action Task Force’s Middle East and Northern Africa regional body. Likewise, the project has also supported Sudan’s effort to enhance its AML/CFT capacities. The country became a member of the Egmont group in 2017, after being blacklisted by the FATF in 2015. Uganda and Kenya have also benefited from the project support and made sufficient progress to be excluded from the special FATF list.

So far, countries involved in the AML/CFT project have positively responded to the activities of the project - for instance, by sending qualified staff to trainings or actively cooperating during research activities. Ideally, this good working relationship should continue (and be expanded) through the proposed action. Existing activities, such as the quarterly regional meeting of the heads of FIU, could be moreover used to promote the activities proposed by this project.

Among the important lessons learned from the AML/CFT project that should be integrated into the present action are the need to develop scenario-based trainings supplemented by case studies to enhance joint operational skills, while ensuring multi-agency representation among trainees, including officials from revenue/taxation bodies. The AML/CFT project also teaches us about the importance to include the informal financial sector, such as Hawallas and Forex Bureaux, in training and capacity-building activities considering the nature of financial transactions related to human trafficking and migrant smuggling. The implementation of the project also revealed the importance of guaranteeing the engagement of public/private

¹⁹ This project will end early 2019.

partnership initiatives - not well developed in the region - into the activities of any action aiming to strengthen financial investigation capacities.

During the project's regional meetings, it appeared moreover that a region-specific action, focusing on illicit smuggling and trafficking networks, and managed by a "stand-alone" project such as the EU AML-CFT project in the Greater HOA is not only needed, but also desired. This action would ideally also help bringing together the ESAAMLG, MENAFATF, law enforcement agencies and experts across the region in order to increase their ability to track, seize, freeze and confiscate the criminal assets generated by human trafficking and migrant smuggling.

2. 4. Complementary actions

This proposal will complement other EU actions that are either supporting national and regional capacities to fight transnational organized crime, in particular human trafficking and migrant smuggling. It will build on the main EU program in the region aimed at combatting money laundering and the financing of terrorism. So far, these actions have run in parallel and this action would be the first focusing on the intersection between trafficking and smuggling and the AML/CFT capacities. Synergies and complementarities will be sought notably with the following initiatives:

The *AML/CFT Project*, funded by the Instrument contributing to Stability and Peace (IcSP, EUR 6 million), implemented by CIVIPOL in the Greater HOA will continue to be implemented until 2019. As specified above, the present proposal will draw on the lessons from this project and will benefit from its 'acquis'. The AML/CFT Project has, and is, successfully provided an effective platform both at regional and national level for information sharing, partnership and cooperation among intelligence agencies, law enforcement and judiciary combatting money laundering (AML), financing of terrorism (CFT) and applying international sanctions regime. Key stakeholders in the Greater HOA are already in contact and have been improving their understanding of AML/CFT risks and vulnerabilities through their national risk assessments (NRA). Such awareness and initial work will prove crucial to address the nexus between human trafficking and migrant smuggling and money laundering and other financial crimes. The present action will also benefit from the experts and network involved in the implementation of the AML/CFT project, thus ensuring a coherent approach within East Africa as a whole.

The *Better Migration Management* (BMM, 2014-2019), is financed by the EUTF HOA window (EUR 40 million, plus EUR 6 million from German Federal Ministry for Economic Cooperation and Development). Implemented within the framework of the Khartoum Process, the BMM addresses the challenges of irregular migration in the Horn of Africa through a regional approach. It provides capacity building to improve migration management, in particular to prevent and address irregular migration, including smuggling of migrants and trafficking in human beings. The intervention logic is based on four components: (1) support for policy and legislative development and harmonisation for better migration and border governance (2) capacity building in the form of training, technical assistance and the provision of appropriate equipment to those implementing migration related policies; (3) support to the identification, assistance and protection of migrants in need; and (4) awareness-raising with regards to alternative livelihood options, including safe migration. The GIZ is the lead implementing partner, running the programme in collaboration with IOM, the British Council, Expertise France, Italian Ministry of Interior and Civipol.

It is expected that the principal synergies with this programme will be the reinforcement of the legislative framework (which is essential to the intelligence-investigation- prosecution change) and the identification of the relevant persons in the immigration departments that could participate to training activities and inform the research.

The *Regional Operational Centre in support of the Khartoum Process and AU-Horn of Africa Initiative* (ROCK) is also financed by the EUTF HOA (EUR 5 million) and implemented by CIVIPOL. The ROCK aims to reduce the number of incidents of human trafficking and people smuggling through an enhanced regional capacity to better track and share information on irregular migration flows and associated criminal networks, and to develop common strategies and shared tools to fight human trafficking and people smuggling. The Centre will support the collection, exchange and analysis of information, as well as joint investigations in order to enhance the coherence of national and regional legal frameworks. The ROCK is hosted in Khartoum, in the already operational Police Training Centre.

This action is additional to the ROCK as it is focusing on the "niche" of financial investigation. It will be proposed that the ROCK representatives join this action's steering committee so that follow closely the development in capacities of the agencies involved in this action.

The *EAC joint response to regional and cross border security threats* is a regional project financed under the 11th EDF (EUR 10 million) and implemented by the East African Community and Interpol. The project aims to prevent and decrease regional and cross border security threats and contribute to increase regional security integration and cooperation between EAC Law Enforcement Bodies. This initiative will also enhance regional law enforcement bodies' abilities and capacities to identify, prevent and track human and goods trafficking as well as movements of potential terrorists or wanted individuals.

The *Countering the Finance of terrorism, Anti money laundering-MENA* project is financed by the IcSP (EUR 16.15 million) and will be implemented by Expertise France between 2019-2023. The project aims to cut off individual terrorists and terrorist organizations access to funding and introduce enhanced measures against serious organized crimes in two specific regions, Middle East/North Africa (MENA) and South East Asia (SEA). The project will provide support to national governments in order to increase compliance with FATF recommendations and relevant UNSCRs. The activities under this project will also have a focus on awareness raising actions targeting AML/CFT issues, enhancing analytical and operational capacities and encouraging cooperation among the financial and criminal justice actors at national, regional and international levels.

The *Addressing Mixed Migration Flows in Eastern Africa* project is financed by the EU DCI-GPGC (EUR 6 million). It aims to support the effort of the countries of the region to improve the management of migration flows through their territories. It has three objectives: (1) strengthen the migrant reception centres, (2) help national authorities fight the smuggling and trafficking of human beings, (3) provide specific and lasting support to unaccompanied migrant minors. Thus, the different results and information of this project ending in December 2018 will also be analysed to have a global and recent vision about the smuggling and trafficking of human beings in the region.

Seeking complementarity with these initiatives funded by the EU and Member States would increase the efficiency and effectiveness of the present action. Of particular interest is the Danish project *Strengthening Ethiopia's capacity to counter money laundering and illicit financial flows*, which also includes the proceeds of trafficking and smuggling. This initiative

has been working with the Financial Intelligence Unit, police, prosecutors, and the private sector to strengthen their capacity to identify, trace, and combat money laundering and terrorist financing. This includes red flags and submission of suspicious transaction reports, as well as how to conduct effective financial investigations – both to combat financial crime and to support wider criminal and terrorism cases.

The Danish programme would complement potential programming on trafficking and smuggling as specific crimes, addressing the financial aspects and building the capacity of relevant actors to detect proceeds of smuggling and trafficking if the need arises from the two partner institutions. This project has been running since 2005 and a second phase is foreseen covering the period of 2018-2022. The Royal Danish Embassy in Kenya manages the *Regional action on against human trafficking, and smuggling of weapons and drugs* implemented by the UNODC.

Country-specific assessments will need to be undertaken at the beginning of the action for each beneficiary including existing capacities, training institutions and needs, in order identify the priorities and sequencing of the interventions under the action.

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

The fight against trafficking and smuggling of human beings is one of the key priority areas confirmed by the EUTF Board in September 2018. It is a typical transnational issue, which necessitates interventions both at national and regional level. The EUTF allows moreover for the adoption of swift and adaptable responses such as those required by this policy matter. Indeed, the approach through financial investigations and anti-money laundering techniques demands agility and flexibility, in order to react quickly and adapt to the business models and unpredictable arrangements of criminal networks. The intersection between the fight against trafficking and smuggling networks and the use of financial investigations/AML techniques is relatively new and untested in the Greater HoA. It is not yet sufficiently captured in national policies or strategies and is therefore unlikely to be supported by National Authorising Officers for inclusion in national programmes.

2.5. Donor co-ordination

Programming in the area of anti-money laundering and transnational organized crime in the Greater Horn of Africa has been gaining momentum given the increasing visibility of these phenomena, notably when linked to violent extremism and terrorism. EU Member States, in particular Denmark, France, Germany, Sweden, the UK and the Netherlands, have been strongly engaged in those sectors. Cooperation with key regional initiatives is required to foster synergies and complementarities and avoid duplication.

Donor coordination should also be ensured through regular meetings among all pertinent initiatives operating not only in the Greater HOA, but also related regions, such as North Africa and the Middle East. This would allow a constant update on the different activities being implemented, update on future plans thus diminishing the risks of duplication or overlapping. These meetings could become a forum or platform in which donors and technical assistance providers can exchange ideas, good practices and the challenges they faced.

In addition, the EU will closely follow-up the project implementation at country level and steer the coordination and exchanges between EU funded interventions in order to foster

synergies. A Steering Committee will be set up for the governance of this Action and will discuss progress and strategic orientations at regional level.

3. DETAILED DESCRIPTION

3.1. Objectives

The **overall objective** of the programme is to disrupt cross-border criminal organisations profiting from irregular migration, human trafficking and other types of organised crime by targeting their financial resources.

The **specific objective** is to better equip relevant country agencies to disrupt the traffickers and smugglers of human beings operating in the Greater Horn of Africa through efficient use of financial investigations and anti-money laundering approaches, including on tracing and seizing assets and criminal proceeds, as well as on crime investigation and prosecution.

3.2. Expected results and main activities

The results necessary to achieve the specific objective respond to three categories of needs: (i) the capacity building needs currently expressed by national law enforcement agencies, financial institutions, financial intelligence units (FIUs) and judiciary authorities when it comes to financial investigations, prosecutions and AML techniques in general; (ii) the need to increasingly involve authorities in charge of addressing irregular migration and preventing and countering trafficking and smuggling with other agencies along the investigation-prosecution chain; (iii) the need for national authorities to exchange information and practice with neighbouring countries to address the transnational nature of the crime and to adhere to international standards in the financial investigation/AML sphere.

Result 1: Increased national capacity in AML and in countering illicit financial flows

Building on the proven practices and relationships of the ongoing complementary actions, and targeting actors across the penal chain (intelligence, investigators, enforcement, prosecution, judiciary, asset recovery) and in relevant parts of the private sector and civil society, capacity-building activities could include the following:

- Training of law enforcement agencies (including immigration authorities and liaison officers of the ROCK) to: (i) improve investigations to map fund payments and/or network links with other syndicate members or partners; (ii) identify funds, assets and property associated with a person of interest with the intention to make application to freeze or seize such assets, or (iii) develop skills to initiate an investigation on receipt of information from a financial institution;
- Training of financial institutions to: (i) identify suspicious transactional activity as part of their AML processes and report such suspicion; (ii) cooperate with requests for client and payment information from law enforcement agencies under legal process; (iii) under AML requirements to check and verify clients and client activity and report suspicion;
- Training of Financial Intelligence Units to: (i) collate information received from financial institutions on suspicious activity and/ or regulatory filings; (ii) analyse information to identify persons of interest / suspicious activity / patterns and networks; (iii) inform / distribute such information to appropriate agencies;
- Training of judiciary authorities to: (i) enhance the effectiveness of the judicial process and integrity of evidence in AML focused on smuggling and trafficking; (ii)

better handle money-laundering/financing of terrorism related to human trafficking cases.

The training activities will ensure inter-agency collaboration, notably through promoting strengthened AML/migration management inter-ministerial committees at national level and facilitating the creation of national AML/migration management quarterly roundtables bringing together AML/migration management stakeholders in each country. They will include various modalities, including mentorship and "train the trainer" approaches for sustainability. Following an assessment of the needs of each institution in the field of financial investigation related to migrant smuggling and human trafficking, the purchase of adapted equipment (for instance, the software goAML) might be considered in order to enhance their capacity to implement national and regional policies.

Result 2: Increased awareness and understanding of the specificities in the modus operandi of traffickers, smugglers and perpetrators of crime against migrants regarding the financing of operations and destination of illicit financial flows

Research commissioned for this action²⁰ has highlighted the weaknesses in terms of (i) lack of intelligence sources for these particular types of organised crime; (ii) low priority amongst states and agencies for this type of organised crime, partly based on lack of understanding of the extent of damage caused, intersection with and contribution to other forms of organised crime and terrorism in particular; (iii) lack of understanding of the particular vulnerabilities amongst financial institutions; (iv) lack of trust and collaboration between agencies and countries where this is a particularly high threat; (v) low investigative capacity and skills in tracing the financial aspects of this organised crime; (vi) lack of strategic approach at the management and leadership level in agencies to incorporating this organised crime in their work

In order to curb these weaknesses, the following typical activities could include:

- developing the evidence base of how AML and migrant smuggling and human trafficking issues intersect amongst key investigation and law enforcement agencies, including FIUs. Further research should be undertaken in order to build the evidence base on national threats and risk environments, develop analysis of typologies and case studies to identify the financing arrangements of human smuggling and trafficking networks;
- Building on the results of the cash-based economy study undertaken in the framework of the AML/CFT GHOA project, develop the understanding of how Hawallas are used by criminal groups operating in the field of human trafficking and smuggling of migrants;
- identify and build an understanding of available intelligence sources and support their conversion into evidence in AML investigations related to human smuggling and trafficking;
- Increase awareness amongst the private sector and financial services of its exposure to and ability to disrupt the financing of human trafficking, including criminal trafficking;
- Raise awareness among financial institutions and designated non-financial business or professions on how human trafficking and migrant summing networks may support terrorist organisations;
- Support the development of a strategic approach built on field research and evidence-based analysis, designed to support financial investigations by mapping: (i) organised criminal networks and their financial transactions; (ii) financial institutions that operate across borders, including money services businesses and designated non-financial business or professions

²⁰ REF, "Rapid Assessment of Organised Criminal Networks Responsible for Human Smuggling and Trafficking", op. cit.

(DNFBPs); (iii) businesses such as transport companies and travel agencies that might support or be vulnerable to trans-national human smuggling and trafficking activities.

Result 3: Improved coordination between national agencies in the region, and better inclusion into the international networks and best practices

Typical activities could include: (i) regional workshops on identified operational and information exchange areas, bringing together FIUs, law enforcement and judicial officials, as well as non-state actors, notably CSOs and the private sector, where relevant; (ii) international study visits and exchange programmes with European, Asian and the Middle East countries/institutions; (iii) provide technical support to strengthen networks (NGOs, media, asset-recovery inter-agency network for South and Eastern Africa, etc.); (iv) establish cooperation networks between the Eastern and Southern Africa Anti-Money Laundering Group (ESAAMLG), the Middle East and North Africa Financial Action Task Force (MENAFATF), Interpol, the African Union, the Intergovernmental Authority on Development (IGAD); (v) based on the success of the current Heads of FIUs meeting, organise of similar meetings for the Heads of Immigration Services.

3.3. Risks and assumptions

| Risk | Likelihood | Mitigating measures |
|--|---------------|---|
| <p><i>State fragility and regional instability:</i> The Greater Horn of Africa region remains highly unstable and presents important challenges for those investigating organised crime. These challenges include long and porous borders, largely un-policed coastlines, weak governance, failed or fragile states, and the activities of extremist and/or criminal groups. In many countries of the region, conflict and/or outbursts of violence are also common and likely to materialise during the implementation of the action. This context represents an important risk to the implementation of planned activities. It is not expected that the worsening of the security situation will lead the project to a complete stand-still or interruption.</p> | <p>High</p> | <p>Ensure close links with EU Delegations in countries of operation to receive latest information on security situations; Develop a specific safety and security plan for the project in order to guarantee the experts’ security. If contextual factors, such as violent conflict and/or terrorist attacks take place, activities may be the suspended or relocated until the situation improves. Even if activities are suspended, the fact that the project is regional guarantees that the implementation can continue with a focus in the other countries.</p> |
| <p><i>Political commitment:</i> The active engagement of GHOA countries is necessary to the implementation of the project. It is assumed that this commitment, already present, will remain during the implementation of this new project. National central state and regional/local authorities – facing a number of competing priorities - must continue to participate in the joint implementation process by releasing key personnel from other duties, allocating resources, directing agencies and investing in the agenda. Similarly, properly building and staffing law enforcement and judicial institutions is crucial to provide an effective and comprehensive</p> | <p>Medium</p> | <p>Ensure close connection between the implementation of the action and the political dialogues between the EU and the beneficiary countries, in the context of the Khartoum Process and at national level (e.g. High Level Dialogues on migration with Ethiopia and Sudan); Ensure continuity with the existing “AML/CFT Project in the GHOA”, project which has established solid links with</p> |

| | | |
|---|--------|--|
| framework for fighting money laundering and human trafficking and smuggling both the domestic, regional and international levels. | | national and regional authorities; Ensure selection of the right profile of experts to deal with the sensitive issue of organised crime; |
| <i>Willingness to coordinate and share information:</i> partner countries and major financial institutions must be willing to exchange information about their ongoing activities in the region and to participate in possible working group meetings on matters relating to AML and human smuggling/trafficking cooperation. | Medium | Anchor the project in the existing regional networks such as ESAAMLG, MENAFATF and build on the informal networks established through the existing “AML/CFT Project in the GHOA”. |
| <i>Compliance with the international normative framework:</i> In order to use the existing channels of international cooperation, partner countries need to demonstrate willingness to adopt international requirements, like building a comprehensive and efficient domestic capacity, understanding and implementing the international conventions regarding money laundering, human trafficking and smuggling. The regulatory framework being one of the basis of AML judicial activities and law enforcement actions, the beneficiary would see their regulatory system amended or developed with a specific focus on UN Security Council Resolution on human trafficking, in December 2016. UNSCR 2331 (2016). | Low | The Better Migration Management programme will support the reinforcement of the legislative framework (which is essential to the intelligence-investigation-prosecution change) and the identification of the relevant persons in the immigration departments that could participate to training activities and inform the research. |
| <i>Human and material capacities:</i> in the GHOA, national law enforcement bodies are often not or poorly staffed. Personnel tend also to have weak knowledge base on AML techniques and financial investigation, hindering capacity building activities. Moreover, the administration and maintenance of existing material tend also to rely on external support. | Medium | Run an in-country needs assessment at the start of the project to determine the existing personnel and equipment, as well as possible gaps; Provide transitional expertise and specific support to countries where needs/gaps are too significant; Develop flexible training/capacity-building techniques/methodologies in order to adapt to the capacity of the officials who need to be trained. |

3.4. Cross-cutting issues

The activities of this actions will be implemented according to the following principles: gender neutrality in its employment and outsourcing actions, and gender balance in all of its committees, workshops and training interventions; participatory approach on direct involvement of civil society and the private sector; promotion of good governance issues; visibility ensured notably by publicity campaigns and publications valorizing programme results.

Additional principles governing these actions implementation include those related to the adequate protections of human rights and respect for due process throughout all project activities. Appropriate vetting of all subcontractors is necessary to assure that human rights standards are maintained. All assistance and training aspects must include precautionary measures to assure international human rights standards and norms are met. Given the objectivities of the activities themselves, elements concerning the respect of human rights and due process, but also more broadly will obviously be integral parts of the training and awareness-raising activities.

In providing technical assistance and capacity building programming, the issue of corruption should be carefully considered, in particular with regards to the control and audit of programmatic funds. Programme implementers must observe regulatory measures to mitigate funds transfers to politically exposed persons or other individuals or entities that may abuse programmatic arrangements. Corruption is of specific concern in the region. To mitigate the challenges posed by endemic corruption, anti-corruption actions will be comprehensively integrated into all parts of the training and awareness raising activities.

3.5. Stakeholders

The main stakeholders of this action, in addition to the national agencies targeted for capacity building and regional cooperation (described in section 3.2) will be the IGAD and EAC in their efforts of regional cooperation to combat organised crime. The action should involve their relevant departments in specific regional activities (using also the networks of the complementary projects described above), and inform these institutions on the action's progress upon request. The action will also establish cooperation mechanisms with Interpol, Europol and UNODC, as well as the ESAAMLG, the MENAFATF, and the African Union Regional Fusion Centre in Kampala in order to join their efforts to increase regional information sharing cooperation around organised crime.

4. IMPLEMENTATION ISSUES

4.1. Financing agreement, if relevant

No Financing Agreement is foreseen to be concluded for this action.

4.2. Indicative operational implementation period

The implementation period will be 45 months from the date of contract signature.

4.3. Implementation components and modules

The contracting modality will be based on flexible procedures in crisis situations as defined by the Financial Regulation. The action will be implemented in direct management, through the direct award of a grant between the EU and CIVIPOL. CIVIPOL might work in partnership with other agencies.

The prior approval 20.f (“Actions with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative power”) is requested. Indeed, given the primacy of state competences on law enforcement issues and their sensitivity, it is judged as most appropriate to entrust project implementation to an EU Member State. The direct award to CIVIPOL is justified by virtue of its highly technical competence and specialisation in the areas of this action. It is

particularly well placed to implement this action swiftly and efficiently given its ongoing implementation of the regional "AML/CFT" programme in the region. Through this programme, CIVIPOL has developed a solid relationship with the stakeholders and target groups of this action in all countries of operation. CIVIPOL will build on this network and benefit from the lessons learnt and in-depth understanding of the needs of the target group, ensuring therefore the relevance and effectiveness of the action (results 1 and 3). Moreover, due to its role in the implementation of the ongoing ROCK project and its participation to the consortium implementing the Better Migration Management programme (both under the EUTF), CIVIPOL is particularly well placed to ensure full coordination between these different activities and the present one.²¹

Retroactive financing can be granted, to allow a timely mobilisation of the experts and ensure swift collaboration with all complementary actions ongoing. This is taking into account Art.19 Annex IV Cotonou and Art. 130.1 of the Financial Regulation and Art. 194 Rules of Application (RAP).

4.4. Indicative budget

| Component | Amount in EUR |
|--|------------------|
| Grant contract with CIVIPOL | 4 900 000 |
| Monitoring, audit and evaluation | 100 000 |
| Communications and visibility (included in grant contract) | 0 |
| Total | 5 000 000 |

The progress of the action will be monitored as follows: CIVIPOL will be requested to provide report on results every six months in addition to the usual contractual requirements and to the reporting on key EUTF common indicators (see below). Bi-annual Steering Committees will be organised on the basis of these reports allowing the EU and CIVIPOL to monitor the progress of the action and take appropriate measures of remediation if necessary.

4.5. Monitoring and reporting

All components of this action will have to be integrated with the EUTF Monitoring and Learning System (MLS) 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

²¹ During a recent event organized by the project AML/CFT in GHoA to which ROCK experts participated, it was agreed that a joint activity for the two projects would be set up to tackle AML linked to migrant smuggling and the traffic of human beings. This activity will take place in March 2019 will also include the BMM project team in the organization and more broadly the pole dedicated to financial crime of the GIZ.

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. 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.

4.7. 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. Appropriate contractual obligations shall be included in the procurement contracts. The Communication and Visibility Manual for European Union External Action²² shall be used to establish the Communication and Visibility Plan and the appropriate contractual obligations.

The Akvo RSR²³ 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.

²² <https://ec.europa.eu/europeaid/node/17974>

²³ Akvo Really Simple Reporting

| Annex I: Alignment with EUTF objectives, Valletta Action Plan and Sustainable Development Goals | | |
|--|---|--|
| EU Trust Fund Strategy | Valletta Action Plan | United Nations Sustainable Development Goals |
| Four main areas of intervention | Five priority domains, and 16 initiatives | 17 goals |
| <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"> . enhance employment opportunities and revenue-generating activities . link relief, rehabilitation and development in peripheral and most vulnerable areas . operationalise the African Institute on Remittances . facilitate responsible private investment and boost trade <p>2) Legal migration and mobility</p> <ul style="list-style-type: none"> . double the number of Erasmus scholarships . pool offers for legal migration . organise workshops on visa facilitation <p>3) Protection and asylum</p> <ul style="list-style-type: none"> . Regional Development and Protection Programmes . improve the quality of the asylum process . improve resilience, safety and self-reliance of refugees in camps and host communities <p>Prevention of and fight against irregular migration, migrant smuggling and trafficking of human beings</p> <ul style="list-style-type: none"> . national and regional anti-smuggling and anti-trafficking legislation, policies and action plans . strengthen institutional capacity to fight smuggling and trafficking . pilot project in Niger . information campaigns <p>5) Return, readmission and reintegration</p> <ul style="list-style-type: none"> . strengthen capacity of countries of origin to respond to readmission applications . support reintegration of returnees into their communities | <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)

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.

| | Results chain: Main expected results (maximum 10) | Indicators (at least one indicator per expected result) | Sources and means of verification | Assumptions |
|---|---|---|--|---|
| Impact (Overall objective) | The overall objective of the programme is to make the trafficking and smuggling of human beings in the Greater Horn of Africa more difficult for its perpetrators | Number of incidents of human trafficking and people smuggling | Reports of the ROCK project | <i>Not applicable</i> |
| Outcome(s) (Specific Objective(s)) | Relevant country agencies are better equipped to disrupt the traffickers and smugglers of human beings operating in the Greater Horn of Africa through efficient use of financial investigations and anti-money laundering approaches including on tracing and seizing assets and criminal proceeds, as well as on crime investigation and prosecution. | List of countries' jurisdictions with weak measures to combat money laundering and terrorist financing (AML/CFT) Inclusion of countries in the ESAAMLG | FATF website; ESAAMLG website; | Political commitment: The active participation of the Greater Horn of Africa partner countries is necessary to the implementation of the project. It is assumed that this commitment already present will remain during the implementation of this new project. National central state and regional/local authorities – facing a number of competing priorities - must continue to participate in the joint implementation process, by releasing key personnel from other duties, allocating resources, directing agencies and investing in the agenda. |

| | | | | |
|--|---|---|---|--|
| <p>Other Results (Outputs and/or Short-term Outcomes)</p> | <p>Result 1: Increased national capacity in AML and in countering illicit financial flows</p> <p>Result 2: Increased awareness and understanding of the specificities in the modus operandi of traffickers, smugglers and perpetrators of crime against migrants with regards to financing of operations and destination of illicit financial flows</p> <p>Result 3: Improved coordination between national agencies in the region, and better inclusion into the international networks and best practices</p> | <p>Percentage of successful competence tests post- training activities</p> <p>Number of tools (including strategies, policies, operational, IT) used by partner countries on AML (MLS indicator 5.2.)</p> <p>Number of staff and institutions trained (MLS indicators 4.2. and 4.2. bis)</p> <p>Percentage of successful competence tests post- training activities</p> <p>Number of research, analysis, etc. (MLS indicator 5.2.) produced specifically for this action</p> <p>Number of events explicitly dedicated to raising awareness and sensitivity regarding all aspects of migration (MLS indicator 3.11)</p> <p>Number of multi-stakeholder meetings organised at regional level (MLS indicator 5.1.)</p> <p>Number of meetings organised between regions</p> <p>% of satisfaction with content of the meetings</p> | <p>Project reports M&E reports</p> <p>Project reports M&E reports</p> <p>Meeting reports, agendas and list of participants, including feedback questionnaires</p> | <p>Willingness to coordination and information sharing: partner states and major financial institutions must be willing to offer information about their on-going activities in the region and to participate in possible working group meetings on matters relating to AML/CMT cooperation.</p> |
|--|---|---|---|--|

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.) | | 4. Improved governance | | Optimal disaggregation (in addition to geographical location) | |
| 2.3 | Number of people receiving nutrition assistance | Gender Target groups (refugee, IDP, Host community, returnee, migrant in transit) Age group | | 4.1 | Number of border stations supported to strengthen border control | | |
| 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.) | | 4.2 | 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 | |
| 2.5 | Number of local governments and/or communities that adopt and implement local disaster risk reduction strategies | | | 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 | |
| 2.6 | Hectares of land benefitting from improved agricultural management | Types of support (irrigation, rehabilitation, improved management, 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.) | |
| 2.7 | 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.) | | 4.4 | 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.) | |
| 2.8 | Number of staff from local authorities and basic service providers benefitting from capacity building for strengthening services delivery | Type of service (health, education, etc.) | | 4.5 | Number of cross-border cooperation initiatives created / launched or supported | | |
| 2.9 | Number of people having improved access to basic services | Target groups (refugee, IDP, Host community, returnee, migrant in transit) | | 4.6 | Number of strategies, policies and plans developed and / or directly supported | Types of output | |
| CROSS-CUTTING | | Optimal disaggregation | | 4.7 | Number of refugees benefiting from an Out-of-Camp policy | | |
| 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) | | 4.8 | Number of national/regional/local networks and dialogues on migration related issues newly established or functionally enhanced | | |
| 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.) | | * Definition and methodology will be introduced to the implementing partners of the action | | | |
| 5.3 | Number of field studies, surveys and other research conducted | Focus of research | | | | | |