

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

**Action Fiche for the implementation of the Horn of Africa Window  
T05-EUTF-HOA-REG-20**

**1. IDENTIFICATION**

Title/Number	Strengthening the ability of IGAD <sup>1</sup> to promote resilience in the 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	Indirect management with an EU Member State agency or a consortium of EU Member States' agencies  Direct management – procurement of services; grant – direct award of an operating grant to IGAD		
DAC-code	15110	Sector	Public sector policy and administrative management

**2. RATIONALE AND CONTEXT**

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

This project contributes to **EU Trust Fund objectives** (2) on strengthening resilience of communities, and in particular the most vulnerable; and (4) on improving governance and conflict prevention, and reducing forced displacement and irregular migration. It is also aligned with the **Valletta Action Plan priority domain** (1) on the development benefits of migration and addressing root causes of irregular migration and forced displacement.

The funds for this project have been transferred to the EU Trust Fund at IGAD's request from the allocation reserved for IGAD under the 11<sup>th</sup> EDF 2014-2020 Regional Indicative Programme for Eastern Africa, Southern Africa and the Indian Ocean. This project therefore also contributes to the objectives and priority areas of intervention of the 11<sup>th</sup> EDF Regional Indicative Programme.

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<sup>1</sup> Intergovernmental Authority on Development

**The geographical scope of the project** covers the countries of the IGAD region (Djibouti, Ethiopia, Kenya, Somalia, Sudan, Uganda and South Sudan) except for Eritrea whose membership has been suspended since 2007.

**The intervention logic of the project** is based on the assumption that a stronger IGAD with greater administrative, financial and technical capacity will be better able to make informed decisions on future policy and investments, and therefore to transform the resilience of communities and individuals of IGAD member states<sup>2</sup>, including refugees and IDPs (internally displaced people)<sup>3</sup>, particularly those in areas that have not received assistance in the past.

**The overall objective of the project** is to make the IGAD region more resilient, through more effective implementation of IGAD's resilience strategy (IDDRSI<sup>4</sup>). The specific objectives of the project are: (I) to strengthen IGAD's capacity for coordinating and facilitating the implementation of IDDRSI to build resilience, as a means of addressing the root causes of vulnerability, forced displacement and irregular migration; and (II) to promote reform in IGAD by upgrading IGAD's administrative and financial systems in line with international standards, taking into account the conclusions of recent and on-going assessments of IGAD's capacity.

## **2.2. Context**

### **2.2.1. Regional context**

IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) is IGAD's 15-year regional strategy (2012-2027) to reduce vulnerability and strengthen drought resilience in arid and semi-arid lands, which comprise 60-70% of the region's landmass and host most of the refugee and IDP camps in the region. IDDRSI's seven priority areas of intervention<sup>5</sup> cut across the four sector pillars<sup>6</sup> of IGAD's overall strategy, and so the IDDRSI strategy brings together in one single policy document the basic guiding objectives, principles, instruments and tools needed to improve resilience in the countries of the Horn of Africa. This makes IDDRSI one of the key instruments in delivering the objectives of the Trust Fund, which has a strong focus on resilience in its widest sense.

IDDRSI is harmonised at national level through the production of country programming papers (CPPs) that identify the particular national circumstances and resilience needs of each IGAD member state. A regional programming paper (RPP) addresses the regional dimension and the priorities for cross-border cooperation. This puts IDDRSI at the heart of resilience policy-making in the region, and therefore makes it the appropriate vehicle for addressing key

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<sup>2</sup> Djibouti, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda

<sup>3</sup> There are more than 2.7 million refugees and over 6 million internally displaced people in the IGAD region.

<sup>4</sup> IGAD Drought Disaster Resilience and Sustainability Initiative,

<sup>5</sup> The seven priority intervention areas are: The 7 priority intervention areas are: i) environment and natural resource management; ii) market access, trade and financial services; iii) livelihoods support and basic social services; iv) disaster risk management, preparedness and effective response; v) research, knowledge management and technology transfer; vi) conflict prevention, resolution and peace building; and vii) coordination, institutional strengthening and partnerships.

<sup>6</sup> The four pillars are: i) agriculture, natural resources and environment; ii) economic co-operation and integration and social development; iii) peace and security and humanitarian affairs; iv) corporate development services.

root causes of displacement and irregular migration within and outside the region, especially as most of the migration routes cross the remote areas of the arid and semi-arid lands, and a substantial percentage of the displacement in the Horn of Africa is caused by climate change. Most of the regional challenges related to droughts and other natural and man-made hazards are also directly or indirectly related to migration and need to be addressed regionally<sup>7</sup>.

IDDRSI is steered and coordinated at regional level by its regional platform. All relevant stakeholders are members, namely the IGAD member states, the IGAD Committee of Directors, committed development partners, the regional IGAD NGO/CSO Forum and the IGAD Business Forum as well as representatives from the African Union Commission and the neighbouring East Africa Community. IDDRSI's stakeholders and its policy organs (Steering Committee and General Assembly) are assisted by the IDDRSI Platform Coordination Unit (PCU) which provides administrative and management services.

Equivalent multi-stakeholder dialogues are being established at national level in IGAD member states to coordinate the implementation of the country programming papers. National coordinators have been appointed, and the challenge that remains is the full domestication of the CPPs and RPP.

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

IGAD's Institutional Strengthening Action Plan (ISAP) is the overall strategy guiding all capacity building efforts within IGAD, and includes financial support and technical assistance for the coordination of IDDRSI implementation. The high level of donor commitment to both ISAP and IDDRSI demonstrates that IGAD has achieved a considerable amount of success in terms of mobilising resources, elaborating regional projects and setting up institutional structures and coordination mechanisms, but it has been less effective in ensuring effective coordination of the implementation of a region-wide strategy for increasing resilience in the IGAD region.

Short-term funding and consultancies alone have not made significant improvements, either to the result-based management system or to administrative and financial processes in IGAD. A more radical approach is required to help generate real change and put a new emphasis on implementation and coordination. At the moment, the stand-alone IDDRSI Platform Coordination Unit (PCU) structure hinders efforts to meet these challenges. Therefore, this action will support a merger of the PCU with another existing unit, the Project Preparation and Management Unit (PPMU)<sup>8</sup>, into a new Planning and Coordination Section (PCS), which will be responsible for overall planning, coordination and budget preparation linked to the

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<sup>7</sup> In addition to IDDRSI, the IGAD Regional Consultative Process on Mixed Migration facilitates dialogue and regional co-operation in migration management, by bringing together IGAD member states, relevant transit and destination countries beyond the IGAD region, international organisations and other stakeholders to exchange information on migration issues of common interest, share best practice and pursue solutions to common challenges. National consultative mechanisms are currently being established by all IGAD member states, and a Migration Action Plan 2015-2020 has been developed.

<sup>8</sup> The PPMU was created in 2011 as a result of Finland's support to institutional strengthening of IGAD. Its overall objective was to strengthen IGAD's organisational capacity to provide support to its member states in harmonising, planning and implementing regional development policies, strategies, programmes and projects. The PPMU has been active in developing manuals and guidelines for project cycle management, M&E and recruitment and management of project staff and consultants.

IGAD Strategic Plan 2016-2020 (as well as for IDDRSI and other sector and sub-sector regional strategies).

Past experience shows that there is a clear need for the PCU and IGAD specialised agencies with a mandate for resilience to find a more coherent way of working together. Currently, ICPALD and ICPAC<sup>9</sup>, the two main specialised agencies dealing with implementation of IDDRSI-related activities, work in isolation from IDDRSI's PCU. A central point is needed to act as a single mobilising and organising unit for all resilience-related work, taking overall responsibility for coordination, so that the specialised agencies can focus their efforts on implementation of various projects and activities. The new PCS, in which the existing PCU will be embedded, will take on that new role. This action defines the restructuring that is needed to achieve this, as well as identifying other activities that need to be undertaken.

### **2.3. Lessons learnt**

The design of this action was informed by a number of assessments<sup>10</sup> conducted in 2014 and 2015 that identified gaps in IGAD's operating systems and performance, and showed the need for genuine institutional strengthening that can bring about tangible performance enhancement in the organisation. Two are still to report (a USAID-financed independent assessment and the EU seven-pillar assessment<sup>11</sup>): their conclusions are not expected to differ greatly from the others, and will be taken into account as activities under this project are defined.

A mid-term review of IDDRSI is being conducted in order to assess the progress being made in the implementation of the first phase (2013-2017) of the IDDRSI strategy. The resulting report will be a learning document for the IDDRSI initiative, which seeks to stimulate an understanding of what works and what does not; and to find ways to address challenges encountered in the implementation of the first phase, as well as to inform improvements in the planning and implementation of subsequent phases of the IDDRSI Strategy. The final report of the mid-term review will be presented at the Steering Committee and General Assembly meetings at the end of April 2016.

The main issues identified by the assessments are that: i) due to irregular policy organ meetings coupled with persistent delays in the payment of contributions from its own member states, IGAD acts with insufficient policy direction and financial support, and as a consequence, reliance on donor funding has increased rapidly; ii) working and reporting arrangements continue to be unclear; and iii) following the establishment of the Committee

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<sup>9</sup> ICPALD (IGAD Centre for Pastoral Areas and Livestock Development), ICPAC (IGAD Climate Prediction and Applications Centre)

<sup>10</sup> IGAD Systems Audit and IPSAS Compliance Review carried out by PriceWaterhouseCoopers (2014); Capacity Survey for IGAD conducted by NEPAD (2014); an internal assessment taking account of the based on earlier reviews (2015); a Performance Evaluation of the Effectiveness and Sustainability of USAID-supported activities at IGAD carried out by Ernst and Young (2015); ISAP I and II Review (2015); GiZ Programme Review (2015); and USAID Programme Review (2015).

<sup>11</sup> The 7 pillars are: effective and efficient internal control system; accurate and reliable accounting system; use of an independent external audit, performing to internationally accepted auditing standards; application of appropriate rules and procedures for EU grants; application of appropriate rules and procedures for procurement; application of appropriate rules and procedures for using EU financial instruments; ability to ensure that sub-delegates and financial intermediaries implement EU-funded actions in line with international standards.

of Directors in November 2014, internal cohesion, coordination and steering has improved significantly, but still needs much more consolidation.

In order to address the problems, there is a need for:

- restructuring of the organisation to take the specialised agencies (ICPAC and ICPALD) into account, redefine job descriptions, and provide a more efficient and effective service delivery;
- improved procurement, accounting and financial systems, through staff training and the procurement of the required equipment and software;
- better team working, cooperation and dialogue within IGAD and its agencies, and a consolidation and harmonisation of all mechanisms, systems and processes;
- greater support, in the form of technical assistance, for the IGAD Committee of Directors, Audit Committee, IDDRSI General Assembly and Steering Committee, IGAD M&E Working Group in order to improve the coordination of planning and performance steering functions;
- replacement of the existing inter-institutional agreement with a new treaty, to ensure that the policy organs meet regularly and provide policy and financial support for IGAD's work.

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

The action will complement the work already defined under the Institutional Strengthening Action Plan (ISAP III), and a collaborative working approach with other donors will be required – in particular, with those partners contributing to the ISAP Joint Financing Arrangement (JFA)<sup>12</sup>, but also with other bilateral and multilateral partners such as Germany, USAID, the World Bank, African Development Bank and UNDP<sup>13</sup>.

It will also take into account the EU Regional Integration Support Programme (RISP) III<sup>14</sup>, which contributes to ISAP, as well as the support provided through the EU-funded PanAfrican MESA<sup>15</sup> project.

There may well be other complementary actions under the EU Trust Fund in future on cross-border cooperation and/or IDDRSI related investments, or through the Research and Evidence Facility.

The table below summarises the funding in support of IDDRSI managed by IGAD Secretariat and which mostly covers coordination, capacity building and monitoring and evaluation activities. Most funds are channelled through the governments of the countries in the region.

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<sup>12</sup> Denmark, Sweden, Finland, Norway

<sup>13</sup> IDDRSI receives support from a number of donors (AfDB, USAID, Germany, EU and Denmark), including for all PCU staff salaries, but PCU staff are recruited on short-term contracts and future funding is neither assured nor predictable.

<sup>14</sup> The goal of RISP III is to contribute to integration in the Eastern and Southern Africa and Indian Ocean region. More specifically, the purpose of the programme is to develop the capacity of regional organisations and their member states in formulating, implementing and monitoring policies for the regional integration agenda.

<sup>15</sup> Monitoring for Environmental Security in Africa

<b>Partner</b>	<b>Contribution</b>
<b>African Development Bank: Drought Resilience and Sustainable Livelihoods Programme (DRSLP)</b>	\$300 million, of which, \$7.6 million grant for the IGAD Secretariat
<b>World Bank: Regional Pastoral Livelihood Resilience Project (RPLRP)</b>	\$197 million, of which \$5 million grant for the IGAD Secretariat
<b>Germany (BMZ/KfW/GIZ): Strengthening Drought Resilience in the Horn of Africa</b>	\$74 million (through the regional window for technical and financial cooperation) to support the Dikhil, Karamoja and Somali clusters and of which \$6.3 million is foreseen for the second phase of technical assistance to IGAD
<b>Denmark: IGAD Applied Research in Drylands and Civil Society Grants Facilities (ARD/CSO GF) IGAD Administrative Support Programme (ISAP) III – various partners (Denmark, Finland, Sweden, Norway, USAID, EU via RISP III, UNDP)</b>	\$5.9 million  Total requested support for 2016 is \$10 million, of which IGAD covers 1%.

Activities under objective I of the project will complement the activities financed through GIZ's on-going programmes of technical assistance to IDDRSI, which include support for the introduction of harmonised management instruments and systems such as regional knowledge management and communication (also supported by other partners, notably USAID), a geo-data base for spatial planning, regional programming and M&E, investment plans and resource mobilisation as well as for IGAD's capacity development services to its member states.

In relation to the development of IGAD's key administrative and financial systems (objective II), the proposed action will be fully in line with the efforts of other donors (USAID, pooled funding partners and others).

The innovative approach of this action lies in its focus on restructuring, combined with specific reforms that will enhance IGAD's performance as well as its accountability. It will also be ground-breaking for IGAD to commit to absorb the project-funded staff of the new Planning and Coordination Section into its core budget (i.e. by using its own resources) within a four-year timeframe to guarantee continuity and institutional sustainability.

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

The project's objectives can only be achieved in close coordination with other development partners supporting IGAD's Institutional Strengthening Action Plan (ISAP), as described above.

Donor coordination will be managed through the established ISAP Coordination Group, which meets regularly in Addis Ababa and provides space for joint analysis, joint programming and complementary donor support mechanisms (e.g. the Joint Financing Agreement, bilateral funds, advisory services, technical assistance). Denmark has announced

its intention to step down as lead partner for the ISAP Group; Sweden has proposed to take over, working jointly with the EU, to cover the existing ISAP Group.

Based on the findings of the recent assessments, ISAP III (2016–2020) has a strategic orientation and a results framework with annual milestones to track progress in the institutional transformation process as well as in IGAD's performance and operations regarding IDDRSI and other multi-sectoral regional programmes.

Another donor group is the Global Alliance for Action for Drought Resilience and Growth which was established in 2012 with a mandate to advance the resilience agenda in the region. It is a network of donors and international development partners, led by USAID and including IGAD, and it supports some resilience related research activities.

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

**The overall objective** of the project is to make the IGAD region more resilient, through more effective implementation of IGAD's resilience strategy.

**The specific objectives** are:

- I. To strengthen IGAD's capacity for coordinating and facilitating the implementation of IDDRSI to build resilience, as a means of addressing the root causes of vulnerability, forced displacement and irregular migration.
- II. To promote reform in IGAD by upgrading IGAD's administrative and financial systems in line with international standards, taking into account the conclusions of recent and on-going assessments of IGAD's capacity.

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

IGAD will improve its capacity to coordinate the implementation of IDDRSI through a process of evaluating existing programmes and policies and identifying where there are gaps and opportunities, with a view to redefining regional policies. IGAD will be enabled to do so through a reorganisation and strengthening of the IDDRSI Platform Coordination Unit (PCU). Key qualified staff will be recruited to enable the Unit to execute its mandate more comprehensively as part of a new Planning and Coordination Section, under the control of the Committee of Directors, which will coordinate, follow-up and facilitate the implementation of the overall IDDRSI strategy. This will be in line with IDDRSI's strategy to pursue a holistic approach towards addressing resilience, using the specialisms already existing within IGAD more effectively.

The project will help IGAD in raising its administrative and financial systems to international standards, thereby improving its efficiency. This will be done by the restructuring described above and by the adoption of a new organisational structure including the appointment of a

Chief Operating Officer<sup>16</sup>, as well as through training and procurement of essential equipment and software. It will also include some support for the process of securing adoption of a new treaty for IGAD, which will give IGAD a stronger legal foundation and a more robust mandate for conducting policy dialogue and providing services in the region.

The **expected results** are:

- I. IGAD's ability to promote resilience in the region is strengthened and improved. In particular:
  - IGAD's coordination of the implementation of IDDRSI is improved, thereby enabling it to implement its functions efficiently.
  
- II. IGAD's administrative and financial systems are raised to international standards, thereby improving its efficiency, value for money and accountability to its member states and development partners.
  - New organisational structure agreed for IGAD Secretariat and its specialised agencies;
  - New accounting (IPSAS compliant), procurement, audit and HR systems are in place and used by IGAD staff (Secretariat and all specialised agencies) in line with international best practice and standards;
  - New treaty in place.

The action will support and be complementary to IGAD's own Institutional Strengthening Action Plan (ISAP), which was originally designed to provide a comprehensive strategy and action plan that would address IGAD's capacity building needs. Several other donors already support ISAP through a pooled funding arrangement<sup>17</sup>, and this action will be delivered in close coordination with them, as part of a consolidated donor response to IGAD.

EU financing of staff salaries under the project, as well as the costs of the IDDRSI Steering Committee and General Assembly meetings, will be limited to a maximum period of four years, after which IGAD will take over responsibility, by absorbing these costs in its own budget, financed by contributions from its own member states.

The **main activities** are:

**I. IGAD's ability to promote resilience in the region is strengthened and improved.**

- i. IGAD's coordination of the implementation of IDDRSI is improved, thereby enabling it to redefine regional priorities and address emerging policy gaps as a basis for future regional and trans-boundary projects.*

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<sup>16</sup> Recommendation from the assessments listed in the footnote to section 2.3, to appoint a permanently-based senior officer who can assist the Executive Secretary in operational matters

<sup>17</sup> Joint Financing Arrangement, supported by Denmark, Sweden, Finland and Norway



IGAD's coordination of IDDRSI will be improved, as action is taken to implement the findings of the mid-term review due to report at the end of April 2016. A new Planning and Coordination Section (PCS) will be created by merging the PCU and the PPMU. The PCS will be the main organising body for internal coordination within IGAD and its specialised offices, to ensure the provision of a more collaborative service to IGAD member states, as well as the coordination of stakeholders involved in complex multi-sectoral regional processes and strategies like IDDRSI.

Policy and programme approaches to address the root causes of conflicts, vulnerability and forced displacement in the region will particularly benefit from the new section's catalytic coordination and facilitation functions.

Under the guidance of the Committee of Directors, and to specified targets in line with IDDRSI's priority intervention areas, the PCS will have oversight that will allow it to coordinate, follow-up and facilitate more effectively the implementation of the overall IDDRSI strategy, by facilitating inter-disciplinary and intra-institutional working arrangements. Evidence-based information from the field will be used for informed decision making in policy and programme development and for the respective policy dialogue between IGAD and its policy organs (bottom-up approach).

This will involve a redefinition of competencies, roles and reporting lines within the IGAD Secretariat and the specialised agencies, and will ensure a contribution from IGAD specialised agencies to the development of regional capacity. Under the guidance of the Committee of Directors, the PCS will have oversight to better coordinate, follow-up and facilitate the implementation of the overall IDDRSI strategy. The PCS will be responsible for following up the recommendations from the IDDRSI steering committee and decisions of the General Assembly, with IGAD headquarters divisions responsible for performing specific tasks together with their specialised agencies. The PCS will be responsible for ensuring that inter-disciplinary and intra-institutional teams are established where needed, and for overseeing their work.

The PCS will take the lead in reviewing existing national and regional policies and programmes at regional, national and trans-boundary levels, through a participative process, and identifying opportunities aimed at increasing resilience (with attention to livelihood diversification, wealth and employment creation), and at promoting stability and conflict prevention and resolution. This will involve supporting the preparation of country investment plans, including detailed annual work plans and budgets harmonised with the overall IGAD and national budgets. It will be essential to secure political support, especially for a new focus on cross-border clusters. This should result in new policies and new investments (projects) that respond to current challenges in the region and can address the emerging priority gaps.

The methodology to be used could include cross-border thematic dialogues and/or events between communities, local authorities and other policy makers at national level; capacity building of regional and national policy fora; and analysing policy outcomes. The role of the IDDRSI national coordinators will also be essential. The results will be presented to the IGAD Steering Committee and General Assembly, and the PCS will take follow up action<sup>18</sup>.

The project will finance:

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<sup>18</sup> GIZ is supporting projects with local authorities in the Karamoja and Dikhil clusters; to complement this work, the EU will consider financing activities in other cross-border areas.

- the 3 key management positions in ICPALD, currently being financed by the EU through the RISP<sup>19</sup> until the end of 2016;
- the positions of the i) Coordinator for Regional Programming (P4); ii) Coordinator for Capacity Development (topping up from P3 to P4) of the PCS;
- Support for the staff of the PCS and the specialised agencies, enabling IGAD to establish a regional hub for capacity development services to its member states as well as an evidence-based and structured policy dialogue with IGAD policy organs. Targeted officials from IGAD member states will be trained in skills relevant to the exercise of reviewing programmes, redefining policies and identifying opportunities for the full implementation of IDDRSI (country programming papers and the regional programming paper). These skills will include needs identification, investment plans and project formulation, workplan and budget preparation, target-setting, project analysis, monitoring and evaluation, and participatory and inclusive consultation techniques at national and sub-national levels;
- the costs of the IDDRSI platform meetings (Steering Committee and General Assembly), capacity development events for officials from IGAD member states, and other relevant consultations with stakeholders.

**II. IGAD's administrative and financial systems are raised to international standards, thereby improving its accountability to its member states and to its development partners.**

***ii. Support for the Committee of Directors in reforming the Administration and Finance and HR Management Divisions of IGAD to raise their systems and performance to international standards***

This process will reinforce key functions such as strategic and operational planning, budget preparation and follow-up, monitoring and evaluation to measure impact and performance, and communication as well as capacity development services to IGAD member states, and donor coordination. It will include the changes relating to the PCU and the work of the specialised agencies. It will also include the appointment of a Chief Operating Officer<sup>20</sup> to head the new PCS (created by merging the existing PPMU and PCU). The process will be defined in a comprehensive plan by the Committee of Directors and supported by the selected implementing partner, which includes, inter alia, the following elements:

- Based on existing assessments, an overhaul of the HR systems and preparation of a training map and recruitment guidelines to ensure that staff have the right qualifications to allow them to implement and operate financial and administrative systems efficiently and professionally, with a particular focus on accounting, budget planning and preparation, procurement and HR systems in compliance with international standards;

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<sup>19</sup> Regional Integration Support Programme – see section 2.4

<sup>20</sup> Recommendation from the assessments listed in the footnote to section 2.3, to appoint a permanently-based senior officer to assist the Executive Secretary in operational matters. This post could be created by upgrading the existing post of Project Manager for Planning and Programming, which is currently vacant.

- Adoption of an updated IGAD human resources management manual that includes processes for improved staff recruitment, staff evaluation, performance and promotion systems, training needs as well as outsourcing and the use of external consultancies;
- A blueprint for an organisational structure, that does not rely on unrealistic or unconfirmed financial expectations and helps IGAD in fulfilling its mandate.

The project will finance:

- the upgrading/top-up of the existing Programme Manager for Planning and Coordination Section post, funded by IGAD's own resources into the new Chief Operating Officer post;
- technical assistance to help IGAD in raising their systems and performance to international standards.

*iii. Support for the process of securing the adoption of a new treaty that will include regular dialogue with IGAD's policy organs (Committee of Ambassadors, Council of Ministers, the IGAD General Assembly) and mechanisms for ensuring timely payment of contributions by member states.*

The project will finance the cost of two meetings of senior officials, members of Parliaments and/or Ministers/Heads of State.

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

**The main risks are:**

- i. IDDRSI is not able to achieve the targets set (medium);
- ii. Success in meeting international standards is contingent upon the recruitment of qualified personnel (medium);
- iii. IGAD member states do not provide the political support required to ensure the new treaty is adopted (low) or the financial support to allow IGAD to operate effectively (high);
- iv. Selection of staff is politically influenced at the expense of adequate technical qualifications (medium).

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

- i. Unqualified backing for reforms from IGAD senior management;
- ii. Political support at the highest level for IGAD from its member states.

**Mitigating measures** have been considered, including:

- i. IGAD sensitisation of its member states at different levels about the necessity and importance of adopting the treaty to give sufficient mandate to handle current tasks in the region. Adoption of the treaty should also increase pressure on IGAD member states to meet their financial obligations.

- ii. Full support from the Committee of Directors and the Executive Secretary to steer the reform process and bring about changes.
- iii. Participation as observers of EUD representatives in the recruitment process for any new staff to be funded by this project.
- iv. Vacant positions advertised on the IGAD website and on those of other RECs, as well as using other international recruitment networks, in order to reach a wider audience and demonstrate greater transparency.

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

Under this project, concrete steps will be taken to involve women in the capacity building and institutional strengthening activities. This is in line with the EU policies to take into account issues of gender mainstreaming in development cooperation. Therefore, under this action, all recruitment of additional staff for the various offices of the IGAD Secretariat will take into account the need to target the achievement of at least 30% women employees. The procurement of consultants and services will also be done taking into account issues of gender equity and disability mainstreaming. The project will also take into consideration environmental considerations undertaken by the planning and coordination section as a means to meet its resilience objectives.

### **3.5. Stakeholders**

The stakeholders involved under this action are:

- i. The IGAD Secretariat, and its various specialised agencies;
- ii. IGAD member states;
- iii. EU institutions, especially the EU delegation in Djibouti, which will provide oversight on the progress and challenges of implementing the action;
- iv. Other development partners, who support IGAD institutional building efforts and regional programmes such as IDDRSI, migration-related initiatives etc
- v. Communities vulnerable to disasters; NGOs.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Financing agreement, if relevant**

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 17 of Annex IV to the ACP-EU Partnership Agreement.

## **4.2. Indicative operational implementation period**

The implementation period will be 56 months, whilst the overall execution period (including a closure phase of no more than 18 months) will not exceed 122 months from the date of approval of this Action Document by the Operational Committee of the EU Trust Fund.

## **4.3. Implementation components and modules**

Three major components are envisaged:

- i. Indirect management with an EU Member State agency or a consortium of EU Member States' agencies for the support for the IDDRSI strategy, including support for the new Planning and Coordination Section and the specialised agencies, in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012 applicable by virtue of Article 17 of Regulation (EU) No 323/2015. The agency or the consortium may mobilise expertise from other Member States' agencies, relevant international and local organisations and private sector operators. The entrusted entities would carry out the following budget-implementation tasks: acting as contracting authority concluding, monitoring and managing contracts, carrying out payments, and recovering moneys due.

The specific criteria for the selection of the agencies will be their long standing collaboration with IGAD, experience in the implementation of similar objectives and relevant administrative and operational capacities. GIZ is a suitable agency to be involved in the implementation of this project given their long experience and current involvement in providing technical assistance to IGAD, in particular in relation to IDDRSI, as well as to deliver the technical assistance needed for the implementation of IDDRSI;

- ii. Direct management – direct award of an operating grant to IGAD
- iii. Direct management – procurement of a service contract to deliver the technical assistance that will improve key administrative and financial areas

The agreements are expected to be concluded in the third quarter of 2016.

#### 4.4. Indicative budget

Component	Amount in EUR
<b>i) Delegation Agreement</b>	<b>2 100 000</b>
<i>Support of the core functions of the PCS and specialised offices in service provision to IGAD member states for the implementation of IDDRSI</i>	<i>2 100 000</i>
<b>ii) Direct grant to IGAD</b>	<b>1 400 000</b>
<i>Salary and costs of:</i> <ul style="list-style-type: none"> <li>• <i>3 ICPALD staff from end 2016 onwards: Heads of Social Economics &amp; Policy, Livestock &amp; Fisheries, Pastoral &amp; Climate Change</i></li> <li>• <i>2 PCS staff: Coordinators for Regional Programming and Capacity Development</i></li> </ul>	<i>1 000 000</i>
<i>For a maximum of four years, until the costs are absorbed into the IGAD budget:</i> <ul style="list-style-type: none"> <li>• <i>Top up costs for Chief Operating Officer (currently Programme Manager of the PCS)</i></li> </ul>	<i>100 000</i>
<i>Cost of two meetings to support the process of securing the adoption of a new treaty</i>	<i>300 000</i>
<b>iii) Service contract</b>	<b>1 200 000</b>
<i>Technical assistance to help IGAD in raising their systems and performance to international standards</i>	<i>1200 000</i>
<b>Monitoring, audit and evaluation</b>	<b>200 000</b>
<b>Communications and visibility</b>	<b>100 000</b>
<b>Total</b>	<b>5 000 000</b>

#### 4.5. Evaluation, monitoring and audit

It is important to establish monitoring and evaluation arrangements that can measure progress towards the intended results in a consistent and regular manner. Efforts will be made to set up a single monitoring & evaluation and lessons learned framework for all EUTF-funded projects in the Horn of Africa. Each of the projects in the Horn of Africa will pool resources by setting aside 1.5-2% of their EU Trust Fund allocations to establish a single monitoring and evaluation framework with a dedicated team of experts. The single M&E framework will help ensure consistency in progress reporting by using the project baselines and undertaking

regular monitoring, evaluation and reviews of on-going projects in the region. It will also serve as a tool for compiling documentation and sharing experience in a structured manner.

Ad hoc audits or expenditure verification assignments could be contracted by the European Commission. 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. 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.

The implementation of this project will also be monitored through the ISAP Coordination Group in Addis Ababa. The ISAP Coordination Group will monitor the implementation of ISAP through annual work plans, budget and result framework. The annual work plan, budget and result framework will be updated on a bi-annual basis by the IGAD Secretariat in order to fully reflect changing requirements. The IGAD Secretariat will remain the overall coordinator.

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

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU. This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner countries and entrusted entities. Appropriate contractual obligations shall be entered into the Agreements concluded by the Commission with the entrusted entities and the partner countries.

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

**A logical framework** showing targets and indicators is attached.

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



**APPENDIX 1: INDICATIVE LOGICAL FRAMEWORK**

Strengthening the ability of IGAD to promote resilience in the Horn of Africa		
SPECIFIC OBJECTIVES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION
I. IGAD's ability to promote resilience in the region is strengthened and improved, thereby enabling it to implement its functions efficiently.	<ul style="list-style-type: none"> <li>• IDDRSI strategy effectively implemented;</li> <li>• Use of evidence-based information in decision-making;</li> <li>• PCS staffing levels.</li> </ul>	<ul style="list-style-type: none"> <li>• IDDRSI mid-term review, and reports to the IDDRSI General Assembly</li> <li>• ISAP Coordination Group meeting minutes and – ISAPIII annual and bi-annual reports</li> <li>• IDDRSI Steering Committee meeting reports.</li> </ul>
II. IGAD's administrative and financial systems are raised to international standards, thereby improving its efficiency, value for money and accountability to its member states and development partners.	<ul style="list-style-type: none"> <li>• ISAP III annual workplan – indicators and result framework;</li> <li>• New organisational structure in place;</li> <li>• New IPSAS-compliant accounting, procurement, audit and HR systems are in place and used by IGAD staff (Secretariat and all specialised agencies) in line with international best practice and standards;</li> <li>• Treaty adopted by IGAD summit.</li> </ul>	<ul style="list-style-type: none"> <li>• Global audits</li> <li>• Independent audits and reviews</li> <li>• Seven-pillar assessment reports and action plans</li> <li>• ISAPIII annual and biannual narrative and financial reports</li> <li>• Ministerial meeting communiqués</li> </ul>