



This action is funded by the European Union

ANNEX 3

of the Commission Implementing Decision on the Annual Action Programme 2015 in favour of the Republic of South Africa to be financed from the general budget of the European Union

Action Document for The EU-South Africa Dialogue Facility

1. Title/basic act/ CRIS number	The EU-South Africa Dialogue Facility CRIS number: DCI-AFS/037-634 financed under the Development Cooperation Instrument (DCI)			
2. Zone benefiting from the action/location	South Africa The action shall be carried out at the following location: South Africa, with the project team based in Pretoria			
3. Programming document	Multi-Annual Indicative Programme (MIP) between the Republic of South Africa and the European Union for the period 2014-2020			
4. Sector of concentration/ thematic area	Multi-sector			
5. Amounts concerned	Total estimated cost: EUR 5 000 000 Total amount of EU budget contribution EUR 5 000 000			
6. Aid modality(ies) and implementation modality(ies)	Project Modality Implementation modality: Direct management Type of financing: procurement of services			
7. DAC code(s)	Main DAC code – 400 – Multisector / cross-cutting Sub-code 1 – 43010 Multisector aid.			
8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not	Significant	Main

		targeted	objective	objective
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	This Action is not contributing directly to any of the GPGC thematic flagship programmes. However, some future policy dialogues may be developed in sectors covered by the flagship programmes (see section 3.1.)			

SUMMARY

The proposed Action, the EU-South Africa Dialogue Facility, building on a successful similar Dialogue Facility for the period 2009-2015 (the Trade, Development Cooperation Agreement (TDCA)-Facility aims at strengthening relations between the European Union and the South African Government. It is designed to encourage and respond to requests, mainly from South African Departments of the Government, for policy dialogue on various areas included in the TDCA and the South Africa-European Union Joint Action Plan adopted to implement the Strategic Partnership signed in 2007.

The Action will address the following issues:

- Need to increase the knowledge and understanding of the Strategic Partnership among various South African Government Departments.
- Uneven know-how on how to formulate Departments' dialogue needs, interest and expectations.
- Too narrow networks: limited interactions between South African Departments and agencies on the one hand, and relevant European Commission's Directorates General (DGs), European agencies and Member States authorities on the other hand.
- Limited access by South African Departments to international high-level experts who can contribute effectively to policy dialogue activities.

The mid-term evaluation of the TDCA-Facility, in its report dated April 2014, concluded that *"the TDCA Facility is a highly relevant and innovative programme (...) in an evolving partnership context"*. The MTE recommends *"A follow-up programme (...) to maintain impetus and to develop further the dialogue process as a means of reinforcing the Strategic Partnership and to support implementation of the TDCA and Joint Action Plan"*.

The project modality is favoured. A financing agreement will be signed with the South African Government. This project-based Action will be implemented through direct management with procurement of services.

1 CONTEXT

1.1 Sector/Country/Regional context/Thematic area

1.1.1 Public Policy Assessment and EU Policy Framework

The EU and South Africa have had a long-standing relationship, particularly since 1994. The EU (i.e. European Commission and EU Member States) has also been the development partner that has contributed the most overseas development aid (ODA) to South Africa. Under the former co-operation instrument - the European Programme for Reconstruction and Development - South Africa accessed EUR 130 million per annum in ODA from the EU between 2004 and 2007. Subsequently, under the DCI instrument, the EU allocated close to EUR 1 billion in ODA to South Africa under the 2007-2013 Country Strategy Paper and MIP, and currently EUR 241 million in the 2014-2020 MIP. Beyond ODA, the EU and South Africa have well established relations in trade (the EU is South Africa's biggest trading partner) and investment (by Europeans in South Africa and of South Africans in Europe). EU investors account for approximately 77% of South Africa's total FDI stock.

The SA-EU relationship is underpinned by the TDCA, signed in 1999 and brought into force in 2004. The agreement provides the legal basis for comprehensive relations and provides (inter alia) "an appropriate framework for dialogue between parties". It was also an important stepping-stone for the eventual establishment of the SA-EU Strategic Partnership and the adoption of its Joint Action Plan (JAP) in May 2007. The Economic Partnership Agreement with the Southern African Development Community (SADC EPA) was initialled in July 2014, and will be signed and ratified after the completion of a legal scrubbing process.

The TDCA sets out six objectives covering: (i) a framework for dialogue; (ii) consolidating South Africa's transition process, including its harmonious and sustainable economic and social development; (iii) promoting regional cooperation; (iv) promoting the expansion of trade in goods, services, and capital; (v) encouraging South Africa's gradual integration into the world economy; and (vi) promoting cooperation in the mutual interest of South Africa and the EU. These objectives are deeply affected by the central task of overcoming the legacy of apartheid.

In 2007, South Africa became the only African country to have formed a Strategic Partnership with the EU¹, not only as a forum to discuss purely bilateral matters, but equally importantly, matters pertaining to continental and global challenges. The Strategic Partnership is broader than the TDCA, covering more areas of co-operation and providing focus for areas of co-operation in alignment with current priorities.

The JAP was adopted on 14 May 2007 for the implementation of the Strategic Partnership. The Plan has two broad aims which will be supported by the Action, notably:

- Enhanced political dialogue and co-operation in regional, African and global matters;
- Co-operation between equal partners in a number of areas in the economic, social and cultural fields.

¹ The other Strategic Partnerships are: Brazil, Canada, China, Japan, India, Mexico, Russia, South Korea, and the USA.

The JAP prioritises co-operation in both existing and new areas of co-operation. Eleven new areas of co-operation are prioritised in the JAP, as listed below:

- Environment & Climate Change
- Information and Communication Technologies
- Employment & Social Affairs
- Sharing Experiences on EU Regional Co-Operation
- Information & Communication Technology
- Combating Crime
- Macro-Economic Dialogue
- Education & Training
- Cultural Co-Operation
- Sport & Recreation
- Other.

So far, through a total of 46 projects, 31 sectorial policy dialogues have been facilitated under the previous TDCA-Facility, focusing on 12 areas such as health, education, employment and social affairs, environment, energy, science and technology, space cooperation, information and communications technology (ICT), customs and taxation, cultural and creative industries, peace and security. It involved 21 South African Departments and institutions, 13 line DGs of the European Commission, the EEAS and 6 Agencies/Centres, institutional peers from 19 Member States and many independent experts.

1.1.2 Stakeholder analysis

The key stakeholders are various South African Government Departments and Provincial authorities, the EU, including European Commission Directorates General, European Agencies, the European External Action Service (EEAS) and EU Member States that are involved in the issues contained in the Strategic Partnership.

The key drivers will be the South African Department of International Relations and Cooperation (DIRCO), the South African National Treasury as office of the National Authorising Officer (NAO) and the EU Delegation to South Africa.

The EU-South Africa Dialogue Facility will be open and inclusive, enabling South African and European public and private organisations interested in dialogue issues such as civil society organisations, think tanks, research centres, business organisations to take part in dialogues, workshops and conferences, and initiatives as guided and endorsed by the Programme Steering Committee (PSC) and informed by priorities notably defined at EU-SA Summits and Joint Cooperation Council meetings (JCC).

During formulation, discussions took place with DIRCO and the National Treasury. Other stakeholders shared their views during an inter-governmental meeting organised by DIRCO on the main elements of this new programme that follows on the previous TDCA Facility.

1.1.3 Priority areas for support/problem analysis

- The project will contribute to develop and consolidate dialogues in areas of priority in line with the TDCA, the JAP and their possible successors and will contribute to operationalise priorities indicated in Summit communiqués. The mid-term evaluation noted that *"Most of the dialogues funded under the TDCA-Facility would not have taken place without the support provided, and a number of dialogues were expedited due to the availability of the Facility. Improved alignment with JAP priorities and the over-arching Strategic Partnership Dialogues would result in greater effectiveness of the programme"*. It is anticipated that, in addition to sectorial issues, some dialogues will include transversal elements such as gender equality and women empowerment, and environmental issues. The focus of some dialogues may be on global issues of direct concern to both South Africa and the EU such as climate change.
- The project will address the following constraints across South African line Departments in terms of:
 - o Need to increase the knowledge and understanding of the Strategic Partnership among various South African Government Departments.
 - o Differing levels of know-how on how to formulate Departments' dialogue needs, expectations and interest in the policy dialogues and thus uneven levels of competence on submission of proposals for funding under the Dialogue Facility.
 - o Too narrow networks: limited interactions between South African Departments and agencies on the one hand, and relevant European Commission's DGs, European agencies and Member States authorities on the other hand.
 - o Limited access by South African Departments to international high-level experts who can contribute effectively to policy dialogue activities.
- The project will assist in building capacity for dialogue as there is not a uniformed approach to dialogues across South African Departments. The mainstreaming of capacity-building at institutional level is very uneven.
- From experience gained from the predecessor project, one single Government Department cannot be responsible for ensuring proper oversight and monitoring of the implementation of dialogue projects by other Government Departments. The project will contain a robust governance system that will comprehend a strong management system based on joint management and decision making.

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Mismatch in expectations between SA and the EU on the role of the Facility.	L	Risk is mitigated: The Programme Steering Committee of the Dialogue Facility will provide guidance, direction and overall coordination to the programme as well as strategic oversight. The PSC, composed of South African Departments will be co-chaired by the Department for International Relations and Development (DIRCO) as the Department in charge of the Dialogue Facility, and by the EU Delegation. Based on the positive experience of the TDCA-Facility, joint management and decision-making will be applied to the use of all of the programme funds in order to maintain and reinforce the spirit of partnership.
Limited interest on the part of the line DGs and/or SA Government.	L	Risk is mitigated: (i) The fast take-up of dialogue projects under the previous TDCA Facility shows that this risk is low. Activities promoting awareness and understanding of the Strategic Partnership Joint Action Plan, the TDCA and their successors will be embedded in the Action. (ii) In addition, in calls for projects, greater focus will be placed on alignment and prioritisation with the National Development Plan and other key South Africa's strategies.
Limited capacity in several line Departments to define substantial dialogue proposals	L	Risk is mitigated: A programme management unit is foreseen that will provide technical assistance to stakeholders of the Dialogue Facility in particular to prepare solid proposals for dialogue.
Insufficient Government coordination and limited embedding of dialogue activities in line Departments' strategic work plans	L	Risk is mitigated: A specific Government Department will have oversight role of the project, and a Programme Steering Committee will steer and provide strategic oversight. All projects will require the approval of the requesting Department at Director General level.

Assumptions

The main assumption is that the evolution of the relevant Government's policies will remain dynamic and open for dialogue with foreign partners and the EU in particular. It is hence assumed that there will be no major deviation from the basic political principles or underlying values.

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The various projects under the TDCA-Facility I and II have proven to be very successful and have demonstrated potential for good cooperation between the EU, EU Member States and South Africa on a variety of issues. A total of 31 sectorial policy dialogues so far have included in particular (i) environmental questions e.g. green growth within the context of Conference of Parties (COP) 17 and Rio+20 Conference, (ii) employment and social affairs e.g. new skills for new jobs in infrastructure, effective delivery of social security grants, (iii) health e.g. national health insurance scheme, health regulatory training institute, (iv) customs e.g. rules of origin, valuation, and mobilization of domestic resources.

The TDCA-Facility was very recently subject of a mid-term evaluation (MTE) that was completed in April 2014. The MTE covered all the components of the TDCA-Facility implemented during the period February 2009 to September 2013. The MTE final report concluded that: "*Overall, the Dialogue Facility (or TDCA-F) is a highly relevant and an innovative programme focused on strengthening relations between the EU and South Africa, through facilitating joint decision-making and implementation of the priority aspects of the Trade Development Cooperation Agreement, the Strategic Partnership and the Joint Action Plan, in an evolving partnership context. Although the TDCA-Facility is a pilot programme and the process is a new approach in South Africa (for both the Government of South Africa and the EU Delegation to South Africa), significant progress and achievement is evident in a short time-frame, despite some challenges at the early stages of the programme*".

A piece of research commissioned under the TDCA Facility on "Identifying and showcasing good practice and learning in EU-Strategic Partner policy dialogue" has identified very interesting good practices in policy dialogues between the EU and Brazil, China, Mexico and South Korea respectively as they are of most direct relevance for the situation in South Africa. The report has informed the present Action especially regarding processes to build capacity for dialogue.

Complementarity with actions under the Partnership Instrument and thematic flagship programmes of the Global Public Goods and Challenges (DCI thematic programme) will be ensured.

3.2 Complementarity, synergy and donor coordination

In addition to the Summits and ministerial dialogue, a Joint Cooperation Council and inter-parliamentary exchanges between the EU and South Africa, both the Commission and the EU Member States are engaged in a range of on-going complementary actions in the various sectors of the TDCA and JAP.

At EU level, donor coordination takes place through the monthly EU Development Counsellors' meetings and, when matters require, at Heads of Mission level. Coordination at EU level under the TDCA-Facility is good although information flows could be more pro-active on the part of the EU Delegation with a view, in particular, to facilitating participation of Member States' expertise.

The mid-term evaluation of the TDCA-Facility mentioned that EU Member States financially support technical and financial support projects in areas related to the projects funded by the TDCA-Facility and concluded that *"these projects complement the support to dialogue under the TDCA-F in that they provide expertise, and support the development of local capacity and policy in these areas"*.²

3.3 Cross-cutting issues

South Africa and the EU share a common policy approach towards cross-cutting issues such as gender, children's rights, people with disabilities, indigenous peoples, environmental sustainability, climate change and combating HIV/AIDS. A formal EU-South Africa dialogue on human rights was initiated in 2013 and is expected to take place on a yearly basis. The 2014 edition of the Human Rights Dialogue occurred in Brussels in November.

All of the above-mentioned cross-cutting issues are covered in the National Development Plan (NDP)-2030 and other South African policy documents. On gender, the NDP states that *"promoting gender equality and greater opportunities for young people are integrated features that run throughout this plan"*. Gender issues are mentioned in terms of leadership positions, skills, social and cultural barriers to women, access to water and electricity, the burden of crime, health, and access to land. Children are discussed in terms of health (infant and child mortality, and the need to improve nutrition), the number of AIDS orphans, the effect of crime, the quality of education, and the provision of social protection. People with disabilities are addressed in terms of the link to poverty, the need for social protection, improved skills, housing and employment. Environmental sustainability and climate change are addressed directly as an area of intervention. The issue of HIV/AIDS is addressed directly as a health issue, but also in terms of the impact that the high mortality rate amongst young adults has placed an extra burden on the elderly for raising children; and the additional fiscal burden – estimated at around 0.7% of gross domestic product (GDP) arising from the roll out of anti-retrovirals.

As this proposed Action is financed by funds attached to the MIP, the crosscutting issues of the MIP i.e. environmental sustainability, gender equality, good governance and human rights, will be included in the project. These cross-cutting issues will be addressed in a transversal manner in the various dialogue initiatives to be supported by the project.

It is expected that more dialogues on cross-cutting issues will emerge under the EU-SA Dialogue Facility to follow-up on the TDCA-Facility mid-term evaluation recommendations. Indeed, the MTE noted that *"there is a significant value to be gained from undertaking cross-cutting and thematic dialogues, which add a wider dimension to the dialogue process and can serve to stimulate wider discussion and involvement among relevant SA Departments"*.

A cross-cutting EU-South Africa dialogue on gender is expected to be initiated, focusing on women's economic empowerment. It is expected that the EU may wish to reinforce the dialogue with South Africa on climate change, building on green economy dialogue activities that were implemented under the TDCA-Facility.

² Almost 30 projects are supported by Member States in the areas of climate change, renewable energy, sustainable development and low carbon development. Some 7 projects are supported in the higher education & skills development area, 2 in science & innovation, and 3 in communications technology & social adaptation.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/Results

The overall objective of the project is to strengthen relations between the European Union and the South African Government.

The purpose of the project is to facilitate the implementation of priority aspects, notably of the Strategic Partnership Action Plan, by providing seed money for existing and new areas of co-operation. The programme, by complementing ongoing actions of the EU and the EU Member States, will contribute to the overall objective.

The project is expected to have 4 results, as follows:

Result 1: Improved sectoral policy dialogue between the EU and South Africa, where possible supporting the creation of synergies among the various dialogues.

Result 2: Increased institutional capacity to help implement the areas of cooperation of the TDCA, the Strategic Partnership Action Plan and the EPA.

Result 3: Increased awareness and understanding of the TDCA, the Strategic Partnership Action Plan and the EPA.

Result 4: Effective programme implementation and appropriate visibility of actions is ensured.

The favoured option is a Dialogue Facility type of project, building on the previously mentioned predecessor project, the TDCA-Facility. The strength of this approach rests in (i) providing peer-to-peer experience between European and South African civil servants and experts on a wide range of issues, (ii) responding to South African and EU needs for dialogue on sectorial, regional and/or global issues. The TDCA-Facility is considered by both the South African Government, and the EU, as a very successful instrument in bringing the EU-South Africa relationship to a higher level.

4.2 Main activities

The action is envisaged to generate 4 results.

Result 1: Improved sectoral policy dialogue between the EU and South Africa, where possible supporting the creation of synergies among different dialogues. The main activities foreseen are the following:

- The facilitation and planning of meetings and conferences to create an opportunity for the exchange of information and create a platform for policy dialogue;
- The use of Technical Assistance/researchers to prepare papers on specific subjects identified in the TDCA, the EPA or the Strategic Partnership Action Plan;
- The facilitation of study tours to the EU and to South Africa related to various sector topics and dialogues;
- Small actions/projects that inform and enrich the dialogue.

Result 2: Increased institutional capacity to help implement the areas of cooperation of the TDCA, the EPA and the Strategic Partnership Action Plan. The main activities foreseen are the following:

- Provision of technical expertise;
- Conferences and workshops;

- Study tours;
- Mentorship programmes.

Result 3: Increased awareness and understanding of the Strategic Partnership, the TDCA and the EPA. The main activities foreseen are the following:

- Facilitation of meetings/events to promote the strategic partnership, the TDCA and the EPA as well as the programme wide dissemination of research outcomes and studies that strengthen understanding of the EU-SA relationship.

Result 4: effective programme implementation, and appropriate visibility of actions. The main activities foreseen are the following:

- Recruitment of three experts to form part of the Project Management Unit (see section 5.6. below on organisational set up).
- Visibility activities including management of the Dialogue Facility web site, and organising platforms for engagement with the media.

Attribution of funds for individual policy dialogue projects will be made under regular cycles of Calls for Projects:

- The Programme's Steering Committee will determine priorities in Guidelines for Applicants that shall take due consideration of the need to (i) align with priorities determined at the EU-South Africa Summit and Joint Cooperation Council levels, (ii) align and prioritise with South Africa's National Development Plan and other key strategies, (iii) involve civil society into dialogue projects as much as possible and mainstream cross-cutting issues such as gender equality and women empowerment, environmental sustainability and management of natural resources when appropriate. In addition, a cross-cutting EU-South Africa dialogue on gender is expected to be initiated, focusing on women's economic empowerment.
- Concept Notes will be submitted by applicants for approval by the Steering Committee. They will be supported by a letter of the applying Department's Director General and by a support letter from a relevant service of the European Commission's Directorates General or of the European External Action Service (EEAS). Approved Concept Notes will be developed by applicants (South African government departments) into detailed Terms of Reference with the possible support of the Programme Management Unit and in cooperation with the selected European counterpart.
- The financial or in-kind contribution by South African Government Departments to the various policy dialogue projects will be encouraged but will not be a pre-condition for the approval of projects.

4.3 Intervention logic

The change that this Action aims at bringing is that the relationship between the European Union and South Africa will be strengthened, and in particular that the Trade, Development and Cooperation Agreement, the EU-South Africa Strategic Partnership and the Economic Partnership Agreement with the South African Community (SADC EPA) are actively implemented. The context in which the Action will take place is positive as the EU and South Africa have established a long-standing relationship since South Africa's access to democracy in 1994. Also, a similar programme implemented between 2010 and 2015, the TDCA-Facility, has generated a dynamics of policy dialogue between both sides that materialised in 31 sectorial policy dialogues focusing on 12 areas

such as health, education, employment and social affairs, science and technology, customs and taxation.

The expected change will happen through 4 main outputs: (i) improved sectoral policy dialogue and cooperation between the EU and South Africa, (ii) improved institutional capacity to help implement the areas of cooperation of the TDCA, the EPA and the Strategic Partnership Action Plan, (iii) increased awareness and understanding of these 3 agreements and (iv) effective programme implementation and appropriate visibility. Policy Dialogue, especially based on a peer-to-peer approach, is believed to reinforce the relationship among stakeholders around themes of common interest by creating an open space for trust and understanding to develop and mature, and possibly alignment on issues of global importance.

The Action is expected to meet the objectives on the basis of the following assumptions: (i) both the EU and South Africa wish to retain a positive and constructive relationship, (ii) political, economic and social progress continues in both partners, (iii) South African Government Departments, EU institutions and Member States Administrations are keen to exchange information and expertise on various policy issues and (iv) South African departments are keen to build capacity for dialogue with the EU.

An indicative logical framework is attached as annex of this Action Document.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 48 months from the date of entry into force of the financing agreement.

Extensions of the implementation period may be agreed by the Commission's authorising officer by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

5.3 Implementation modalities

The project modality is favoured. The option of budget support is not suited to this type of Action that (i) aims at fostering dialogue among Administrations and expertise exchanges, and (ii) cuts across a wide range of sectors.

In terms of implementation modality, service contracts will be awarded. All service contracts will be signed by the EU Delegation.

5.3.1 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Project coordination support, research, conferences, workshops and other relevant service matters	Services	1	1 st or 2 nd trimester 2016
Interim support mechanism	Services	1-3	1 st or 2 nd trimester 2016
Mid-term evaluation, Final evaluation and audit	Services	3	1 st semester 2018 3 rd semester 2020
Communication and visibility	Services	1	1st trimester 2017

5.4 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply subject to the following provisions.

The Commission's authorising officer may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.5 Indicative budget

Module	Amount in EUR	Third party contribution (indicative, where known)
5.3.1 Procurement (direct management) total envelope for Results 1 to 4, for: Project coordination support, research, conferences, workshops and other relevant service matters	4 500 000	N.A.
5.8. & 5.9. Evaluations and audit	200 000	N.A.
5.10. Communication and visibility	200 000	N.A.
Contingencies	100 000	N.A.
Total	5 000 000	N.A.

5.6 Organisational set-up and responsibilities

The overall responsibility and approval for the Dialogue Facility project activities will rest with the Programme's Steering Committee.

The Steering Committee will be composed of South African line Departments' high-level representatives. Members will be nominated through an inter-departmental process. Permanent members of the Steering Committee will be representatives from the Department for International Relations and Development (DIRCO), the National Treasury, the Department of Trade and Industry and the EU Delegation. Other members of the Committee will rotate after serving a minimum of 12-month. The Steering Committee will be co-chaired by DIRCO and the EU Delegation.

The Steering Committee will:

- Provide strategic guidance for the programme, in particular set priorities for the Calls for Projects with due consideration guided by the need for (i) alignment with priorities determined at the EU-South Africa Summit and Joint Cooperation Council levels, (ii) alignment and prioritisation with South Africa's National development Plan and other key strategies, (iii) involvement of civil society into dialogue projects and integration of cross-cutting issues such as gender equality and women empowerment, environmental sustainability and management of natural resources, when appropriate;
- Review proposals for funding submitted by applicants and take decisions regarding the award of financial support to policy dialogue projects;
- Monitor the implementation of policy dialogue projects, including through progress reports presented by beneficiary Departments;
- Maintain oversight over, and review progress of the Dialogue Facility's implementation against the objectives mentioned in the financing agreement.

It will be assisted by a three-person Programme Management Unit (PMU).

The roles of the PMU subject to the Programme Steering Committee (PSC) endorsement will be to:

- Under Result 1: Provide technical expertise tasks including procure and manage services to implement policy dialogues such as (i) meetings and conferences for the exchange of information and create a platform for policy dialogue, (ii) research and technical assistance, (iii) study tours to the EU, South Africa or other EU Strategic Partners related to various sector topics and dialogues.
- Under Result 2:
 - Deliver training workshops for groups of potential applicants on how to submit proposals for funding (e.g. mandatory requirements; template forms);
 - Once the Concept Note has been approved by the Steering Committee, (i) provide guidance to individual South African Departments in preparation of Terms of Reference for dialogue proposals, in close cooperation with the European counterpart organisation to be involved in the policy dialogue project; and (ii) support the systematic analysis of capacity for dialogue by the South African Departments and propose measures for capacity-building where required to be inserted in the Terms of Reference as the first phase of each policy dialogue project;
 - Provide support in implementation of approved dialogue projects including procurement and management of logistical aspects of dialogue projects and identification of short-term expertise in close cooperation with the EU Delegation and the EU Member States represented in South Africa.

- Under Result 3:
 - Actively disseminate information on the Dialogue Facility among key stakeholders to promote the TDCA, the Strategic Partnership and the EPA;
 - Organise meetings and events for a wide dissemination of research outcomes and studies that strengthen understanding of the EU-SA relationship.
- Under Result 4:
 - Act as secretariat and support for the Steering Committee;
 - Draft guidelines for Calls for Projects and templates for Concept Notes submission to be approved by the Programme's Steering Committee;
 - Draft annual work plans;
 - Issue narrative and financial progress reports of the Dialogue Facility and 6-monthly review of progress against the indicators contained in the Financing Agreement;
 - Manage and update the Dialogue Facility website;
 - Procure promotional and visibility materials;
 - Organise platforms for engagement with the media.

5.7 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.8 Evaluation

Having regard to the importance of the action, mid-term and final evaluations will be carried out for this action or its components via independent consultants contracted by the Commission.

A mid-term evaluation will be carried out for learning purposes.

A final evaluation will be carried out at the beginning of the closure phase for accountability and learning purposes at various levels taking into account in particular the fact that this action is a sequel to a first pilot action.

The Commission shall inform the implementing partner at least 1 month in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner country and other key stakeholders. The

implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

Indicatively, two contracts for evaluation services shall be concluded under a service contract in, respectively, 2018 and 2020.

5.9 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

Indicatively, one contract for audit services shall be concluded under a service contract in 2020.

5.10 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated before the start of implementation and supported with the budget indicated in section 5.6 above. Visibility actions may cover all priority areas of the Multi annual indicative programme in force at the time of execution of this project and of relevance to the project components.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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

APPENDIX – INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY) ³

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action without an amendment to the financing decision. The initial logframe matrix will evolve during the lifetime of the action: new lines will be added for listing the activities as well as new columns for intermediary targets (milestones) when it is relevant and for reporting purpose on the achievement of results as measured by indicators.

	Intervention logic	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	The relationship between the European Union and South Africa will be strengthened as a result of a number of interventions by the South African Government and the EU, among which the current Action will play a key role.	The South African Government and the EU leaders, including of Member States, are of the opinion that the relationship between the EU and South Africa has progressed after the four years of the Action's implementation.	Statement of the EU-South Africa Summit in 2013 and conclusions of the Joint Cooperation Council (JCC) meeting of November 2014.	Positive Summit declarations and conclusions of JCC meetings on the EU-SA relationship in 2016, 2017, 2018 and 2019.	Bilateral Summit Statements, Joint Cooperation Council conclusions	Both the EU and South Africa wish to retain a positive and constructive relationship
Specific objective(s): Outcome(s)	The Strategic Partnership and the TDCA and EPA are actively implemented.	Number of on-going policy dialogues between the EU and South Africa.	12 areas of policy dialogue supported by the TDCA-Facility as of 2015.	A minimum of 2 new areas of policy dialogues supported, and at least 8 existing areas of dialogue sustained by the end of the Action	Final report of the EU-SA Dialogue Facility PMU. Mid-term and final evaluation report of the EU-SA Dialogue Facility.	Continuation of political, economic and social progress in both South Africa and the European Union.
Outputs	For result 1- Improved sectoral policy dialogue and cooperation between the EU and South Africa, where possible supporting the creation of synergies					South African departments, EU institutions and Member States Administrations are keen to

³ Mark indicators aligned with the relevant programming document mark with '*' and indicators aligned to the EU Results Framework with '**'.

	<p>among different dialogues</p> <p>1- Information on Dialogue Facility shared with stakeholders</p> <p>2- Guidelines and application forms prepared for proposals to be submitted for funding</p> <p>3- Guidance provided to SA Departments applying for funding</p> <p>4- Expertise identified for policy dialogues</p> <p>5- Support provided during dialogue projects' implementation</p>	<p>1- Number of open information sessions on the Dialogue Facility</p> <p>2- Guidelines endorsed by PSC maximum two weeks before the launch of Calls for Proposals</p> <p>3 - Number of Departments receiving guidance from the PMU for project preparation</p> <p>4- Experts of appropriate quality identified for projects selected per Call for Projects</p> <p>5- Different types of services from the PMU mobilised adequately and timely</p>		<p>1- one open information session in 2016, four every subsequent year of operational implementation.</p> <p>2- two sets of guidelines and application forms each year of operational implementation.</p> <p>3- at least 3 Departments per call for proposals</p> <p>4- performance of at least 75% of the experts is assessed 'good or above' by the Departments</p> <p>5- At least 75% of the projects are implemented according to initial deadlines and budgets</p>	<p>1/4/5/6- DIRCO report to PSC; PMU monthly reports</p> <p>2- Minutes of PSC meetings</p>	<p>exchange information and expertise together on various policy issues.</p>
Outputs	<p>For result 2 - Increased institutional capacity to help implement the areas of cooperation of the TDCA, the EPA and the</p>					<p>South African departments are keen to build capacity for</p>

	<p>Strategic Partnership Action Plan.</p> <p>1- capacity building provided to Departments for dialogue implemented by PMU</p> <p>2- exchange of good practice workshops organised by PMU</p> <p>3- production of good practice handbook</p> <p>4- study tours for Departments on emerging dialogues</p>	<p>1- Number of Departments benefitting from capacity building measures for dialogue</p> <p>2- Number of good practice workshops</p> <p>3- Dissemination of good practice handbook and update</p> <p>4- Number of study tours organised</p>		<p>1- at least 2 Departments in 2017, and four per year subsequently</p> <p>2- at least one in 2017, and two per year subsequently</p> <p>3- good practice handbook disseminated in 2017 and updated version made available each subsequent year</p> <p>4- at least 6 study tours for emerging dialogues</p>	<p>1/2/4 PMU monthly reports</p> <p>3- 40 copies of handbook disseminated every year</p>	<p>dialogue with the EU</p>
<p>Outputs</p>	<p>For result 3 - Increased awareness and understanding of the Strategic Partnership, the TDCA and the EPA.</p> <p>1- seminars organised with various stakeholders</p> <p>2- booklets on pieces of research published</p>	<p>1- number of seminars and participants</p> <p>2- number of booklets produced</p>		<p>1- per seminar, at least 40 participants from different stakeholders: departments, civil society, parliament</p> <p>2- two booklets per year as from 2017</p>	<p>1- PMU monthly reports</p> <p>2- Publications issued</p>	<p>Good participation in the seminars</p>

Outputs	<p>For result 4 - Effective programme implementation, and appropriate visibility of actions</p> <p>1- Project Management Unit in place</p> <p>2- communication strategy adopted</p> <p>3- events with media</p> <p>4- promotional materials developed</p>	<p>1- The PMU team is in place within 12 months after the signing of the financing agreement</p> <p>2- contract for communication strategy signature</p> <p>3- number of media outreach events</p> <p>4- number of leaflets, brochures</p>	<p>1- FA possibly signed before June 2016</p>	<p>1- PMU contract signed in January 2017</p> <p>2- contract signed in June 2017</p> <p>3- at least 1 article in the press/radio per month as from June 2017</p> <p>4- 200 copies of leaflet and brochure produced per year as from 2017</p>	<p>1- date of PMU contract signature</p> <p>2-3 -PMU monthly reports</p> <p>4- Printed materials</p>	<p>The Financing Agreement signature is not delayed excessively.</p> <p>Tender procedures do not suffer delays.</p>
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