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ANNEX 2

to the Commission Implementing Decision on financing of the annual action plan in favour of the Republic of Uganda 2024

Action Document for the Global Gateway Support Facility

ANNUAL ACTION PLAN

This document constitutes the annual work programme within the meaning of Article 110(2) of the Financial Regulation, within the meaning of Article 23 of the NDICI-Global Europe Regulation.

1 SYNOPSIS

1.1 Action Summary Table

1. Title CRIS/OPSYS business reference Basic Act	Global Gateway Support Facility OPSYS number: ACT-62640 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)/ Overseas Association Decision/European Instrument for International Nuclear Safety Cooperation Regulation
2. Team Europe Initiative	NO
3. Zone benefiting from the action	The action shall be carried out in Uganda
4. Programming document	EU Multi-annual Indicative Programme for Uganda 2021-2027
5. Link with relevant MIP(s) objectives / expected results	MIP objective 1.5, expected results 1.5 a-c
PRIORITY AREAS AND SECTOR INFORMATION	
6. Priority Area(s), sectors	Mineral resources and mining, Urban planning and development (slum regeneration/social housing, street lighting, wetland conservation/regeneration, capacity building urban authorities), transport, energy, water and sanitation, green industrialisation DAC codes 322, 210, 220, 230,
7. Sustainable Development Goals (SDGs)	Main SDG: SDG 8 (Decent Work and Economic Growth) Other significant SDGs: SDG 3 (Good Health and Well-being), SDG 9 (Industry, Innovation and Infrastructure), SDG 4 (Quality Education), SDG 16 (Governance), SDG 5 (Gender Equality), SDG 10 (Reduced Inequalities) and SDG 12 (Responsible Consumption and Production)
8 a) DAC code(s)	DAC code 322 – 50% DAC code 230 – 20% DAC code 210 – 30%

8 b) Main Delivery Channel	European Union - 11001				
9. Targets	<input type="checkbox"/> Migration <input type="checkbox"/> Climate <input checked="" type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input type="checkbox"/> Human Rights, Democracy and Governance				
10. Markers (from DAC form)	General policy objective @	Not targeted	Significant objective	Principal objective	
	Participation development/good governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Aid to environment @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Gender equality and women's and girl's empowerment	<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"/>	
	Disaster Risk Reduction @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Inclusion of persons with Disabilities @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Nutrition @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	RIO Convention markers	Not targeted	Significant objective	Principal 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Climate change adaptation @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	11. Internal markers and Tags:	Policy objectives	Not targeted	Significant objective	Principal objective
		Digitalisation @	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
digital connectivity digital governance digital entrepreneurship digital skills/literacy digital services		YES <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
Connectivity @		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
digital connectivity energy transport		YES <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	NO <input type="checkbox"/> <input type="checkbox"/>		

	health education and research	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<div></div>
	Migration @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BUDGET INFORMATION				
12. Amounts concerned	Budget line: 14.020121 Total estimated cost: EUR 10 000 000 Total amount of EU budget contribution EUR 10 000 000			
MANAGEMENT AND IMPLEMENTATION				
13. Type of financing ¹	Direct management through: Procurement and grants Indirect management with the entities to be selected in accordance with the criteria set out in section 4.4.3			

1.2 Summary of the Action

The Global Gateway Forum of October 2023 clearly demonstrated that the development of sustainable mining is fully integrated in the Global Gateway strategy. The EU intends to strengthen its global engagement to develop and diversify investment, production, transport and trade of minerals with reliable partners, and extensive need of infrastructure arises that can transport goods and support people in their livelihoods. With the Critical Raw Materials Act (CRMA), the EU pursues its objectives of securing and diversifying its supply of critical raw materials (CRM) in cooperation with external countries through mutually beneficial partnerships. The EU intends to promote mutual economic development and local value addition in a sustainable manner while also creating secure, resilient, affordable and diversified value chains. The CRMA is therefore fully aligned with the Global Gateway Strategy, as creating much needed value chains will require investment in energy, water, transport, interconnectivity, housing, education and research and will require taking care of health and environment.

The global demand for CRM presents a significant opportunity to transform Uganda's mining and transformation sectors, which form a vital pillar in Uganda's National Development Plan III (NDP III) 2020/21 – 2024/25. The country possesses significant amounts of CRM, such as copper, nickel and rare earth elements, whose potential has largely remained untapped. As part of the CRMA, and facilitated through the Global Gateway strategy, the EU and the Republic of Uganda are in discussions how to cooperate in advancing trade and investments and creating secure, sustainable, and resilient raw materials value chain with a view to possibly concluding a strategic partnership in the future. This will help to diversify the EU's supply of CRM and fast-track the development of the mining sector in Uganda, thereby benefiting both economies.

The proposed Action will contribute to Uganda's ambition to promote investment and further enhance private sector driven growth, including in the mining sector, ensuring a positive impact on economic and social development (**Overall Objective**). To operationalize this, the Action will focus on the following:

Specific Objective 1: Mining actors in Uganda contribute to sustainable economic development of the sector in accordance with national, regional, and international standards and good practices. This proposed Action therefore puts a strong focus on promoting responsible mining practices in accordance with national, regional and international standards on responsible mining (e.g. OECD Due Diligence Guidelines) as well as on enhancing conditions for investment in the mining sector. The proposed Action pursues a six-pronged approach, focusing on 1) promotion of investment in the mining sector; 2) supporting formalization and skills-development of artisanal and small-scale miners; 3) enhancing capacities for mineral processing and value addition; 4) enhancing the

¹ Art. 27 NDICI

capacity of the Department of Geological Surveys and Mines (DGSM) and other relevant Ugandan authorities to exercise their oversight function over the mining sector; 5) increasing compliance with regional and international due diligence requirements; and 6) quantification and qualification of key CRMs and other important minerals in select locations of the country by way of detailed geological investigations. These interventions will reinforce the attractiveness of a high potential economic sector and enhance the creation of decent jobs.

Specific Objective 2 aims to position the EU as a partner of reference in Uganda, in line with Global Gateway and Team Europe Initiatives and it will focus on identifying Global Gateway investments.

The Action contributes to Priority Area 1 (Green and Climate Transition) and Priority Area 2 (Promoting Sustainable and Inclusive Growth and Jobs) of the EU Multi-Annual Indicative Programme for Uganda 2021-2027. The Action mainly contributes to SDG 8 (Decent Work and Economic Growth). It also addresses SDG 3 (Good Health and Well-being), SDG 9 (Industry, Innovation and Infrastructure), SDG 4 (Quality Education), SDG 16 (Governance), SDG 5 (Gender Equality), SDG 10 (Reduced Inequalities) and SDG 12 (Responsible Consumption and Production).

1.3 Zone benefitting from the Action

Action shall be carried out in Uganda which is included in the list of ODA recipients.

2 RATIONALE

2.1 Context

The proposed Action will contribute to the implementation of the EU's Global Gateway strategy, and more specifically to the implementation of the Critical Raw Materials Act by strengthening international trade, diversifying investment, providing multimodal transport and promoting socio-economic stability as well as its commitments to address gender equality in all priority sectors. The Action is also in line with the Renewed EU Great Lakes Strategy: Supporting the transformation of the root causes of instability into shared opportunities, approved by the EU council on 20 February 2023. The Action further contributes to Priority Area 1 (Green and Climate Transition) and Priority Area 2 (Promoting sustainable and inclusive growth and jobs) of the EU Multi-Annual Indicative Programme for Uganda 2021-2027 by promoting the sustainable management of Uganda's resources and value addition in the mining sector, therefore strengthening its contribution to economic and social development. The Action also contributes to Uganda's Third National Development Plan (NDP III) 2020/21 – 2024/25, as well as the Mineral Development Programme proposed by the Ugandan Ministry of Energy and Mineral Development (MEMD). At the continental level, the proposed Action is aligned with the African Union Mining Vision, which focusses on mining to harness its positive effects on economic and social development.

The Action also will contribute to the fulfilment of the EU Gender Action Plan 2021-2025 GAP III², in particular to its thematic areas of engagement "Promoting economic and social rights and empowering girls and women", Likewise, it will contribute to the implementation of the EU's Action Plan on Human Rights and Democracy 2020-2024.

The Ugandan mining sector

The Ugandan mining sector has significant potential to contribute to the country's economic and social development. Yet, in 2022/2023, it made up only about 2% of the country's national GDP. Mining is carried out by a combination of officially registered mining companies (both local and international) and Artisanal and Small-Scale Miners (ASM). It is estimated that the ASM sector directly employs more than 500,000 individuals and indirectly supports up to 2,000,000. However, ASM has remained largely unregulated, and its contribution not accounted for, partly explaining why ASM is assumed to make up less than 1% of the official GDP contribution of the mining sector. According to government statistics, over 90 percent of the country's gold production (7,081

² The [Gender Action Plan III](#) is a Joint communication by the Commission and the High Representative of the Union for Foreign Affairs and Security Policy which was welcomed through [EU Presidency Conclusions](#) of 16 December 2020 endorsed by 24 Member States.

kg of gold per year) comes from ASM. The ASM sector is further coined by low usage of modern technology for mining and mineral beneficiation, low productivity and poor application of health, safety, and environmental standards.

Promoting socio-economic development through infrastructure investment and mining in Uganda

Due to its central location, Uganda has an opportunity to become a leader in regional value creation and trade integration through the effective integration the Africa Continental Free Trade Area (AFCFTA). Its future accession to the EU-Kenya Economic Partnership Agreement could help fostering regional economic integration. Both treaties offer opportunities for businesses based in Uganda to cater for growing economic demands in regional and continental markets. This is in line with Uganda's aspirations to expand trade as one of the drivers of economic growth, as well as its efforts to further integrate with the EAC. In addition, Uganda has created several guiding policies to create an enabling environment to tap this potential. The National Development Plan III (NDP III) 2020/21 – 2024/25 prioritizes infrastructure and mining as crucial pathways to elevate Uganda from a predominantly low-income country to a competitive upper middle-income nation.

However, in order to enhance the economic transformation and prepare the ground for major investment decisions, identification, formulation, scoping/feasibility and/or any other preparatory studies of relevance need to be undertaken to support a pipeline of investments in sustainable infrastructure, through grants, blending and EFSD+ mechanisms. The thematic areas contemplated include tentatively: digitalisation, renewable energy, green industrialisation, smart mining, sustainable mobility, natural resources management, waste management and water & sanitation, environmental sustainability and climate action, and gender mainstreaming within the mentioned areas.

The Mining and Mineral Act of 2022 aims to consolidate the laws related to the mining sector. This provides the basis for administrative and institutional reforms to enhance governance and management of the sector, e.g. via streamlining of mineral rights acquisition, environmental regulations and local value addition. The Act also seeks to facilitate the issuing of licences for ASM operations, providing an opportunity for the formalization and regulation of the ASM sector. Moreover, as of 2020 Uganda became a member of the Extractive Industries Transparency Initiative (EITI), which seeks to address the key governance issues in the extractive sectors. Furthermore, the launch of the Regional Certification Mechanism (RCM) of the International Conference on the Great Lakes Region (ICGLR) in 2023 underscores the country's dedication to responsible sourcing and ethical mining practices, as well as to regional cooperation. A revision of the RCM has been supported through the Regional Project on Peace and Security for Stability in the Great Lakes Region under 11EDF. In 2015, the Government of Uganda introduced another policy to promote value addition and industrialisation of the mining sector by banning the export of raw mineral concentrates.

Uganda's efforts expressed by its policy framework have already translated into improved infrastructure, including transport networks and electricity generation, however, much more needs to be done.

Uganda and the EU

The EU and Uganda are engaged in trade facilitation and investment promotion at several levels.

Uganda's mining sector can also play a critical role for the EU to help it secure a reliable supply of critical raw materials. During his address at the 3rd EU-Uganda Business Forum, President Museveni has re-iterated the importance of value addition, while cautioning against the creation of non-tariff trade barriers through responsible sourcing requirements. Facilitated through the Global Gateway strategy, the EU and the Republic of Uganda are in discussions about closer cooperation in the mining sector, including the possibility of a strategic partnership on CRMs. The proposed Action therefore provides a strong potential to advance EU-Uganda discussions for bilateral partnerships on strategic raw materials in line with the Commissions foreign policy objectives, while also transforming Uganda's mining sector in accordance with the EU's responsible sourcing agenda. The Action thereby also creates ample opportunities to promote closer engagement with both government and private sector. Furthermore, the Action holds a strong potential for creating a closer coordination and alignment with existing EU-funded Actions.

2.2 Problem Analysis

The Ugandan government has identified infrastructure development, in combination with the mining sector, as key enablers for economic growth and sustainable development, in order to boost their contribution to the GDP and positive social change. Identification, formulation, scoping/feasibility and/or any other preparatory studies of relevance therefore need to be undertaken to support a pipeline of investments in sustainable infrastructure, through blending, grants and EFSD+ mechanisms. The thematic areas contemplated include tentatively: digitalisation, renewable energy, green industrialisation, smart mining, sustainable mobility, natural resources management, waste management and water & sanitation, environmental sustainability and climate action, and gender mainstreaming within the mentioned areas.

From an **economic** viewpoint, the necessary infrastructure, frameworks, structures and skills for mineral processing and value addition are missing, causing the sector to operate below its full potential. The country's ban on export of raw mineral ore concentrates has significantly reduced the sector's GDP output. To address some of the challenges characterizing the ASM sector, the Mining and Mineral Act of 2022 seeks to facilitate the issuing of licences for artisanal and small-scale mining operations. The creation of small-scale licences and artisanal mining licences aims to formalize small scale and artisanal mining which are presently unregulated. ASM formalization has the potential to significantly expand the government's revenue base and improve the monitoring and regulation of small-scale mining in the country. Limited availability of geological data and information on legal requirements contributes to poor conditions for investments into the mining sector. As a result, investment in the sector has remained relatively low over the past decade, representing about 1% of total investments in 2019.

From a **social** development perspective, Uganda's mining sector is strongly characterized by the insufficient application of responsible sourcing requirements. To preserve market access of its mining sector, Uganda needs to strengthen its compliance with regional and international due diligence regimes related to conflict and human rights (EU Regulation 2017/82, OECD Due Diligence Guidance). This requires the strengthening of oversight capacities, as well as the development and implementation of transparent chain-of-custody systems on designated minerals. Moreover, the sector is coined by weak occupational health and safety standards, leading to recurrent accidents in particular in ASM. Making the sector a safer workplace would enhance its attractiveness and ensure that the benefits from economic activity around mine sites are reaped by the adjacent communities. Also, focusing on the social effects of mining allows to broaden the view on gender equality in mining, helping to make the sector more inclusive by acknowledging the contribution of women at different stages of the process, thereby promoting gender equality.

The role of women in ASM is significant, as they make up around 30 per cent of the total workforce and up to 50 per cent in some regions. Although cultural and historical aspects have relegated women's participation to the periphery, women have always been part of the mining workforce. However, the cultural and institutional constraints women face have ensured their involvement in the most value-bearing places such as pits and fair markets is practically non-existent.

Women face different economic challenges as a result of the lack of access to, use of and control over resourceful land and other productive resources, licences, finance, and geological data. In many cases, traditional beliefs prevent women from taking advantage of these economic factors and deny them any control over their earnings. At policy level, the existing discrimination against women often puts them at a lower order in policy decisions affecting them. The de jure and de facto inequity in access to and control over land and property rights constrains women from accessing various other determinants of mining business success, such as finance³.

Lastly, low formalization of the ASM sector results in **environmental** degradation and lost tax revenue. Although the new Mining and Mineral Act of 2022 and the National Environment Act of 2019 create obligations for mining companies to avoid and mitigate negative effects on the environment, both industrial and ASM mining frequently lead to environmental degradation. Safeguarding an intact environment is essential to secure access to arable and non-contaminated land for future generations, thereby increasing the social acceptance of mining operations and distributing its benefits horizontally across society. A focus on mitigating the negative environmental effects of mining will also help neutralize the carbon footprint of the mining sector.

³ [igf-women-asm-challenges-opportunities-participation.pdf \(iisd.org\)](https://www.iisd.org/publications/igf-women-asm-challenges-opportunities-participation.pdf)

Main stakeholders (duty bearers and right holders) and corresponding institutional and/or organisational issues to be covered by the action:

National level (Duty bearers)

Ministry of Finance, Planning and Economic Development (MoFPED): MoFPED is the natural counterpart of EU actions in Uganda.

Ministry of Gender, Labor, and Social Development: The mandate of the ministry is to empower citizens to maximize their individual and collective potential by developing skills, increasing labour productivity, and cultural enrichment to achieve sustainable and gender-sensitive development.

Ministry of Energy and Mineral Development (MEMD): The MEMD will be an important political partner for this Action and involved in the political steering of actions regarding minerals and energy. The MEMD will be engaged in regular political dialogue through the Delegation.

Department of Geological Surveys and Mines (DGSM): Situated under the MEMD, DGSM is its technical arm and responsible for regulating, overseeing, and promoting responsible mining practices in Uganda. DGSM is charged with exploring and surveying Uganda's mineral deposits, as well as with ensuring oversight of the mining sector, including conducting inspections of mining operators.

National Environment Management Authority (NEMA): Spearheads the development of environmental policies, laws, regulations, standards and guidelines, ensuring compliance with environmental regulations in mining activities. NEMA will be a critical partner to improve the application of environmental standards in the sector.

Uganda Private Sector Foundation (PSFU): Made up of over 300 business associations, PSFU represents the private sector in Uganda. Close coordination with PSFU will ensure the Action implements measures which meet existing demands for improved social and environmental standards, while at the same time enhancing profitability and stimulating the involvement of businesses in the Ugandan mining sector.

Uganda Chamber of Mines and Petroleum: The umbrella body representing private sector entities within the mining and petroleum sector. The proposed Action will coordinate closely with the Chamber of Mines with regard to promoting mineral beneficiation and improving the overall investment climate.

Uganda Association of Artisanal and Small-scale Miners (UGASM): Represents and advocates for the interests of artisanal and small-scale miners in Uganda, providing capacity building initiatives, fostering networking and collaboration opportunities, engaging in policy advocacy to influence regulations, promoting responsible mining practices, and facilitating access to markets.

Civil Society Organizations (Right-holders): Monitor mining activities, advocate for responsible mining practices, environmental conservation, and engage in community welfare in mining areas. The Action will engage with selected civil society organisations to improve these conditions. The possibility of sub-grants will be further analysed. Women's rights associations, and Human Rights organizations.

The Action will also work with **mining associations, cooperatives and workers' unions**, supporting them in licencing procedures, as well as strengthening the application of labour and environmental standards.

Depending on the thematic areas, the following Ministries could be partners to the intervention:

- the Ministry of Water and Environment (MoWE) – including in particular the Ministry's Climate Change Department (CCD) –, the Ministry of Trade, Industry and Cooperatives (MoTIC), the Ministry of Works and Transport (MoWT), the Ministry of Lands, Housing and Urban Development (MoLHUD), the Ministry of Energy and Mineral Development (MEMD), the Ministry of Information and Communications Technology and National Guidance (MoICT&NG), the Ministry of Science, Technology and Innovation (MoSTI) and Ministry of Gender Labour and Social Development (MoGLSD).

as well as a number of affiliated agencies including, but not limited to, the National Water and Sewerage Corporation (NWSC), Uganda Railways Corporation (URC), the National Environment Management Authority (NEMA), Uganda National Roads Authority (UNRA); Additional Ugandan organisations of potential relevance.

International level:

Extractive Industries Transparency Initiative (EITI): The EITI seeks to address the key governance issues in the extractive sectors. Uganda became an EITI member in 2020, and as such committed to strengthening transparency and accountability of their extractive sector management by implementing the EITI Standard.

International Conference of the Great Lakes Region (ICGLR): The EU's *Renewed EU Great Lakes Strategy: Supporting the transformation of the root causes of instability into shared opportunities*, approved by the EU council on 20 February 2023, names the ICGLR as the EU's main implementation partner for this strategy. The ICGLR has developed an internationally recognised Regional Certification Mechanism for 3TG minerals (tin, tantalum, tungsten and gold) in the Great Lakes Region, with Uganda recently having become the fifth country in the region to issue the certificate. As part of the ICGLR Regional Certification Mechanism, the Government of Uganda is required to support the mining sector in implementing digital traceability systems and set up a national database on minerals flows.

This Action will complement **GIZ's ongoing project in Uganda whose objective is to improve mineral-resource governance to promote peace and security in Africa's Great Lakes Region**. The project aims at providing strategic, technical and management advice to support the ICGLR restructuring process, promoting sustainable mineral resource supply chains, and assisting in the establishment of a mediation coordination mechanism and the development of integrated training content on Mental Health and Psycho-Social Support (MHPSS).

Furthermore, the Action aims to leverage existing relationships with the **OECD** and the **Responsible Mineral Initiative (RMI)** for compliance with international responsible mineral sourcing standards.

3 DESCRIPTION OF THE ACTION

3.1 Objectives and Expected Outputs

The **Overall Objective** (Impact) of this action is to enhance Uganda's economic development through infrastructure investment and sustainable development of its mining sector.

The **Specific Objectives** (Outcomes) of this action are:

1. Ensure that mining actors in Uganda contribute to sustainable economic development of the sector in accordance with national, regional, and international standards and good practices from a human rights-based, and gender equality approaches.
2. Position the EU as a partner of reference in Uganda, in line with Global Gateway and Team Europe Initiatives.

The **Outputs** to be delivered by this action contributing to the Specific Objectives are:

Output 1.1: Enhanced conditions for investments in the mining sector.

Output 1.2: Increased formalisation of the artisanal and small-scale mining sector, with a particular focus on women in all their diversity, in accordance with national legislation.

Output 1.3: Increased capacities of mining actors for mineral processing and value addition.

Output 1.4: Increased capacities from an HRBA and gender perspective of relevant authorities to exercise oversight over the mining sector.

Output 1.5: Improved application of responsible sourcing standards in the mining sector.

Output 1.6: Improved quantity and quality of geological data available on the deposits of CRMs and other important minerals in the country.

Output 2.1: Investments in the context of the Global Gateway and the Corridor strategy are identified and supported, including an effective gender mainstreaming for the proposed programmes.

3.2 Indicative Activities

Activities relating to Output 1.1:

- Development of investment guides to the Ugandan mining sector;
- Enhanced availability of exploration data to national and international investors;
- Support to investment promotion agencies (Uganda Chamber of Mines and Petroleum, Uganda Investment Authority) in providing advisory services and aftercare to investors.

Activities relating to Output 1.2:

- Development of guidelines and advise to cooperatives on ASM formalization;
- Support to cooperatives in applying for mining and exploration licenses;
- Provision of equipment such as computers, office equipment, technical tools;
- Support to vocational training needs, including digital skills, in collaboration with existing Technical and Vocational Education and Training (TVET) institutions and mineral beneficiation centres.

Activities relating to Output 1.3:

- Support to the development of frameworks and structures for the regulation of mineral processing and value addition;
- Provision of equipment such as mineral processing tools and machinery for skills training;
- Support to mining skills trainings for mineral processing;
- Strengthening of linkages between up-stream and mid-stream value chain actors in the mining sector.

Activities relating to Output 1.4:

- Development of guidelines on mine site inspection, due diligence and responsible sourcing;
- Support to mine site inspections to strengthen compliance, including capacity-building programs for inspectors;
- Capacity building for DGSM staff and other Ugandan mining oversight authority representatives on the mining law, mine site inspection procedures and international good practices on mining.

Activities relating to Output 1.5:

- Awareness-raising for supply chain actors on the updated mining legal framework, along with international responsible sourcing standards;
- Training of DGSM staff and mining operators on the implementation and monitoring of responsible sourcing guidelines;
- Development and implementation of a digital 3TG (tin, tungsten, tantalum and gold) chain of custody system in compliance with responsible sourcing standards;
- Development of a national database on mineral flows.

Activities relating to Output 1.6:

- Preliminary mapping of areas with a great potential for CRMs and other important minerals;
- Detailed mapping of selected target areas using electromagnetic and gravity survey techniques;
- Preparation of detailed reports of the potential for CRMs and other important minerals in the target area(s);
- Preparation of datasets and other investment promotion material for the identified prospects;
- Promotion of specific areas of the country to (European) investors in the mineral sector.

Activities relating to Output 2.1:

- In cooperation with the relevant partners, exploration and identification of funding interventions in the MIP Priority Areas 1 and 2;
- Development of Terms of References for pre-feasibility and feasibility studies, including where necessary Terms of References of Detailed Design and any other preparatory study.

- Procurement of Technical Assistance;
- Consultations and negotiations with stakeholders, and where applicable establishment of financial close with relevant funding partners, to agree on programme/project outline, based on performed studies;
- Provision of Draft Action Documents for funding requests in the NDICI environment.

3.3 Mainstreaming

Environmental Protection & Climate Change

The mining sector in Uganda is strongly characterized by artisanal and small-scale operations, which do not systematically adhere to environmental standards and pollute the environment heavily, e.g. by the use of mercury for gold extraction. Nevertheless, a safe, clean, healthy and sustainable environment is integral to the full enjoyment of a wide range of human rights, including the rights to life, health, food, water and sanitation. Therefore, the proposed Action will contribute to efforts tackling environmental degradation through improved monitoring mechanisms of environmental protection laws and regulation in the mining sector by improving the oversight capacities of competent authorities. It will also sensitise citizens and local authorities on government commitments relating to climate protection to increase social pressure for compliance.

In line with NDICI-Global Europe Regulation 8.8, the development of Terms of Reference for preparatory studies shall mainstream fight against climate change, environmental protection, human rights, democracy, gender equality and, where relevant, disaster risk reduction and shall address interlinkages between SDGs, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way. By design, the Action addresses such crosscutting themes as digitalisation, environmental sustainability and climate action. Wherever relevant, the interventions to be supported under the Green Support Facility will further foster the mainstreaming of gender equality, good governance and human rights.

Outcomes of the Environmental Impact Assessment (EIA) screening: The EIA classified the Action as Category C (i.e. no need for further assessment).

Outcome of the Climate Risk Assessment (CRA) screening: The CRA screening concluded that this Action holds no to low risk (i.e. no need for further assessment).

Gender equality and empowerment of women and girls

As per the OECD Gender DAC codes identified in section 1.1, this action is labelled as G1. This implies that the Action is addressing gender equality, as a cross-cutting principle in all preparatory studies undertaken by this Action.

In line with the EU Gender Action Plan III, gender is a significant objective of this Action, making it an important and deliberate objective of this programme. A specific gender analysis was not carried out for this Action but the regional project which GIZ is implementing together with the ICGLR has produced a Gender in Mining Study which comprises a focus on Uganda. In addition, consultations with organisations active on gender equality and the empowerment of women relating to this area were held. Structural barriers pertinent to women in the Ugandan mining sector have been identified. In particular, women are generally underrepresented due to a combination of traditional gender roles in the associated field of work, as well as a lack of skills and the hazardous nature of artisanal and small-scale mining. In response, the Action will seek to promote the inclusion of women in the mining sector, the recognition of their critical role along the production chain, and hence gender equality and economic participation of women.

Human Rights

The mining sector suffers from multiple human rights violations. Most mining in Uganda is artisanal and small scale, with labour violations a recurring issue mainly in the form of poor working conditions and use of child labour. Poverty, a low level of mechanisation, inefficient extraction methods and insufficient knowledge and expertise are part of the root causes of these problems. As recognised in the EU Action Plan for Human Rights and Democracy, good governance and human rights are mutually reinforcing.

The Action will build capacity of decision-makers in a number of areas, with a focus on ensuring authorities and private sector in the mining industry fulfil their obligations as duty bearers. Efforts will be made to strengthen the role of government and mining management, as well as the role of mine workers and surrounding communities as rights holders (particularly indigenous peoples' rights to their ancestral lands and natural resources). This will be done through specific capacity building, as well as dedicated activities with civil society to enhance protection and promotion of human rights in the mining sector. In addition, entrepreneurs from minority groups face specific barriers, and are often left behind by mainstream opportunities. Equal access to entrepreneurship activities will be sought through dedicated initiatives for specific groups, notably women, youth, people from rural areas, refugees, minorities, and persons living with disabilities (see below).

The Action will also address human rights as a cross-cutting principle in all preparatory studies undertaken as activities of this Action.

Disability

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0. This implies that the Action itself is not addressing disability, but will address disability as a cross-cutting principle in all preparatory studies undertaken as activities of this Action.

Despite the D0 marker, the Action will strive to include all vulnerable groups, including people with disabilities, in order to make public services more transparent and accessible for everyone. Besides working with advocacy groups, the Action will promote digital tools and platforms that are responsive to the needs of people with disabilities, ensuring that they are included in consultations, and providing opportunities for empowerment.

Reduction of inequalities

Tackling inequalities responds to SDG 10 "Reduce inequality within and among countries". Inequality persists in Uganda, where the Gini coefficient has increased since the 1990s. Systemic factors include complex land tenure systems and disparities in access to education and employment. Moreover, growth is largely driven by the service sector, which employs less than 15% of the population. Around 70% of the Ugandan population depends on agriculture, which has grown at much lower rates than services. COVID-19 has worsened inequality conditions through loss of income and a reduced fiscal space for government programmes. The proposed intervention will reduce inequalities by empowering vulnerable groups to demand effective services that impact their daily lives, as well as by monitoring the delivery of those services in a participatory way.

Democracy

N/A

Conflict sensitivity, peace and resilience

The Action will address conflict sensitivity, peace and resilience as a cross-cutting principle in all its components.

Minerals play a key role in stability and conflicts in the Great Lakes Region. Improved traceability of minerals will contribute to reducing the risk of conflicts between communities, especially in areas that are close to the borders of Uganda, Rwanda and the Democratic Republic of the Congo. In addition, specific activities under this Action will be implemented in areas with a significant presence of refugees and internally displaced persons. The Action will ensure equal access to activities through dedicated outreach and tailored initiatives for refugees and host communities.

Disaster Risk Reduction

While it will not be the focus of this Action, disaster risk reduction will be incorporated in all the activities to be carried out in the Action. For instance, the Action will build the capacities of the DGSM and relevant authorities to exercise their oversight function over the mining sector and enforce environmental, occupational health and safety standards. Mine sites in particular are frequently affected by collapses, landslides and flooding. Additionally, all feasibility studies carried out under Specific Objective 2 will incorporate elements of disaster risk

reduction in the design of infrastructure. The Action will, therefore, contribute to improved disaster risk reduction and management in mining areas, as well as in the infrastructure that will be designed in the Action.

Other considerations if relevant

The intervention will leverage digital for development across priority areas. As a part of Output 1.1, the Action will support the availability of publicly accessible mining cadastre and exploration information. Under Output 1.4, the Action will support the digitalization of mining oversight activities conducted by DGSM. The Action will further support digitalization of mining licenses and traceability systems.

3.4 Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
People and the organisation	Risk 1: Overlapping responsibilities between ministries and agencies responsible for Mining and Development	H	M	Close engagement and multi-stakeholder coordination with the concerned agencies and public institutions. Close monitoring of performance to identify need for corrective measures.
	Risk 2: Lack of political will	L	H	Regular information exchange, consultation and where appropriate co-decision in the programming, identification, formulation and funding phases of the programme/project, in order to assure buy-in and ownership of Government of Uganda and (implementing) partners
Legality and regularity aspects	Risk 3: Market distortions continue, hindering further investment of private sector	M	M	Continued policy dialogue and advocacy on the benefits of innovation, unhindered market access and regulatory reform.
Legality and regularity aspects	Risk 4: Lack of transparency in the mining sector and risk of human rights violations.	M	M	Capacity building, experience sharing, advocacy and inclusive policy dialogue. Awareness-raising efforts and inclusion of compliance incentives in the package of interventions. An explicit commitment from all private sector actors to abide by the UN Guiding Principles on Business and Human Rights, to adopt due-diligence policy and prevent the use of child labour in their activities.

Gender Equality	Lack of political will among partners to prioritise gender mainstreaming and women's empowerment in their policies and actions.	M	M	<p>Knowledge and tools of gender mainstreaming are available.</p> <p>Raising awareness of the benefits of applying HRBA, including gender equality.</p> <p>Gender-sensitive monitoring, use of sex-disaggregated data, and gender-sensitive indicators.</p> <p>Gender mainstreaming is applied in all phases of the support services.</p>
Communication and Information	Risk 5: Perception that the Action only serves EU interest or contributed to mineral exploitation in Uganda and the Great Lakes Region	M	H	<p>Pro-active use of communication tools to communicate the Action's objective to various stakeholders, underlining the approach based on mutually beneficial partnerships.</p>

Lessons Learnt:

This Action's integrative approach focusing on improving investment conditions, supporting ASM formalization and value addition, and promoting responsible mining practices, draws on lessons learnt from the design and implementation of similar Actions implemented with EU funding in Rwanda and the African Great Lakes Region, as well as the EU-ACP Development Minerals Programme.

For instance, lessons learnt from Phases 1 and II of the EU-ACP Development Minerals Programme and the consensus that emerged under the Mosi-oa-Tunya Declaration have emphasised the need to provide capacity development support to Artisanal and Small-scale Miners (ASMs), sector associations, public institutions and social stakeholders that operate along the mineral value chains. As such, this Action will support capacity building in public institutions like DGSM, as well as sector associations like the Uganda Chamber of Mines and Petroleum (UCMP). The Action will also directly support ASMs and other social stakeholders, including women and youths in the mining sector.

The project "Sustainable Development of the Mining Sector in Rwanda" (NDICI AFRICA/2021/43254) currently tackles the issues of i. adherence to international standards for responsible sourcing, ii. TVET, iii. digitalisation, and iv. occupational health, safety and environmental protection. In close cooperation with partners from the Rwanda Mines, Gas and Petroleum Board (RMB), as well as Rwanda Polytechnic and the Rutongo Mining School, this holistic approach has proven successful in terms of harmonizing various work streams which all contribute to enhancing the international recognition and business-friendliness of the Rwandan mining sector. Similarly, the Rwandan mining sector faces challenges comparable to those in Uganda, such as a high prevalence of ASM connected to low usage of modern technology to draw the highest benefit from mining and contribute to sustainable economic and social development. Thirdly, this project is aware of its regional embeddedness in efforts to streamline approaches among the countries of the Great Lakes Region, which is why it ensures coordination with the International Conference on the Great Lakes Region to strengthen synergies with regional projects supported by the EU. All these considerations have informed the proposed design of the Action in Uganda.

At the regional level, the Action furthermore draws on lessons learned from the Regional Project on Peace and Security for Stability in the Great Lakes Region under the 11th EDF (FED/2018/396225), which has increased the visibility and credibility of the ICGLR Regional Certification Mechanism (RCM). The Action has reduced the implementation costs of the RCM, provided clarity on the requirements, and strengthened better alignment of the RCM with the OECD standards. Lessons learnt include the strong need for national digital traceability systems to inform an upcoming regional ICGLR data base. Since it has proven to be difficult and length to establish such a data base on the regional

level first, the proposed Action (as well as the Action implemented in Rwanda) take this learning into consideration by promoting harmonized national data bases and traceability solutions which will then inform the creation of regional structures more easily.

With regard to previous interventions similar in purpose to Specific Objective 2, it is now clear that more emphasis on programme and project preparatory phases prior to implementation is crucial for reaching the Action's Objectives and Impact. The embedding of the Action in the policy environment of Uganda, organisational capacity to implement the project and provide the assurances for sustainability and appropriate future budgeting are the main lessons learnt.

3.5 The Intervention Logic

The intervention logic with respect to Specific Objective 1 is that the intervention will enhance the conditions for investments into the mining sector (**output 1.1**) by increasing the availability of geological data, developing investment guidelines, and improving investor aftercare and protection. If domestic and international actors have better access to relevant information and support-services, transaction cost will be reduced and they can make better-informed investment decisions into the mining sector. Second, the intervention will support the formalization of the artisanal and small-scale mining sector (**output 1.2**). This includes the registration of mining operations, the organisation of miners into associations and cooperatives, and capacity-development on responsible mining and regulatory frameworks. If these conditions are met, the inclusion of ASM in the formal tax and regulatory supervision system is facilitated, creating a link which improves the direct economic contribution of the sector to the overall economy on the one hand, and the safety and recognition of ASM operations in Uganda on the other hand. Third, ASM formalization will be complemented by increased capacities of mining actors for mineral processing and value addition (**output 1.3**). This will be achieved through technical support to mineral beneficiation centres, capacity-building and support to policy reforms. The intervention will strengthen links along the processing value chain (cooperatives, exporters, smelters, mineral beneficiation centres, financial institutions) using the Value Links approach. If the interlinkages between these actors can be smoothened such that economic activity is stimulated, this will benefit the sector but also the social dimension of the intervention by creating decent and inclusive jobs. Fourth, to improve the oversight capacities of national regulatory authorities (**output 1.4**), the intervention will support capacity-building of the DGSM and other relevant Ugandan authority representatives to enforce the legal framework and conduct mine site inspections accordingly. If the national oversight authorities are better equipped to enforce laws and policies, this will strengthen the compliance of the mining sector with international standards as well as increase its direct contribution to GDP, thereby enhancing its investment attractiveness. Fifth, the intervention will also enhance the application of responsible sourcing standards in the mining sector set by the EU, OECD and ICGLR (**output 1.5**). To achieve this, the intervention will support DGSM in the development and implementation of a digital chain of custody system for mineral supply chains, and support actors revise their due diligence standards. If systematic compliance with international standards can be proven, the international market access of Ugandan minerals is secured, creating a business case for investments by companies which are under increasing global scrutiny to source from conflict-free backgrounds. Sixth, the intervention will aim at developing sufficient amounts of detailed geological data on CRM prospects and package these data in such a way that it can be successfully marketed to would-be (European) investors in the mining sector (**output 1.6**). Such data plays a critical role in de-risking larger investments in the mining sector thereby leading to a more transparent, vibrant and transformed sector that can create jobs and spur economic development in a sustainable way.

If these outputs are fulfilled and the underlying assumptions of cooperation and transparency hold, the specific objective of empowering mining actors in Uganda to contribute to sustainable economic development can be met, creating a case for business to invest in the Ugandan mining sector as a safe, stable and reliable partner (**Impact**).

The intervention logic with respect to Specific Objective 2 is that the Action supports the rolling out of the interventions to be financed under the MIP 2021-2027 with identification/formulation/scoping/feasibility and/or any other preparatory studies of relevance. Tentatively, the thematic areas contemplated for support include: digitalisation, renewable energy, green industrialisation, smart mining, sustainable mobility, natural resources management, waste management and water & sanitation.

3.6 Logical Framework Matrix

This indicative logframe constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest.

New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

Results level	Main expected results	Indicators	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
Overall Objective (Impact)	An enhanced EU-Uganda cooperation underlined by Uganda's economic development through infrastructure investment and sustainable development of its mining sector	1. Contribution of the mining sector to Uganda's GDP 2. Percentage of licensees adhering to government requirements 3. Investment into the Ugandan mining sector 4. Uganda's SDG scores for SDG 5, 7, 8, 9, 12, 13 and 17	2.2% (2022) 20% (2022) 1% (2022) Uganda's 2022 SDG scores for SDG 5, 7, 8, 9, 12, 13 and 17	TBD (2027) TBD (2027) TBD (2027) The score for the final year: "Moderately improving" or "On track" or "Maintaining SDG achievement"	Uganda Bureau of Statistics Ministry of Energy and Minerals Development Ministry of Energy and Minerals Development Sustainable Development Report, SDG Dashboard and Trends	<i>Not applicable</i>
Specific Objective 1	Mining actors in Uganda contribute to sustainable economic development of the sector in accordance	1.1. Rating of investment attractiveness in the mining sector by a	TBD	TBD	Baseline and endline surveys	Overall positive macro-economic outlook conducive to economic

	with national, regional and international standards and good practices.	<p>representative sample of key actors.</p> <p>1.2. Percentage of graduates (disaggregated by sex) from skills development measures who have applied their newly acquired skills in their daily working routine.</p> <p>1.3. Percentage of mining actors who have updated practices in accordance with national, regional and international standards and good practices.</p>	TBD	TBD	<p>Analysis of random samples of at least 60 % of participants 3 months after completion of the skills development programme</p> <p>Analysis of random samples of at least 60 % of participants 3 months after completion of the skills development programme</p>	<p>development and investment.</p> <p>Government of Uganda provides financial support DGSM, oversight authorities and mineral beneficiation initiatives.</p> <p>No changes in government policy on responsible sourcing and ASM formalisation.</p>
Output 1.1	Enhanced conditions for investments in the mining sector.	<p>1.1.1. Number of domestic and international investors having received investment support.</p> <p>1.1.2. Average rating by private sector representatives of the services provided by investment promotion agencies.</p>	TBD	TBD	<p>Project records</p> <p>Baseline and endline surveys</p>	<p>Participating actors at national level and in the districts (state, private sector) continue to show sufficient interest in cooperation.</p> <p>The Technical Units of the respective partners have sufficient capacity to fulfil their roles (implementation of trainings, financial and budgetary, accreditation, etc.).</p> <p>Overall conducive macro-economic outlook for investment.</p>
Output 1.2	Increased formalisation of the artisanal and small-scale mining sector in accordance with national legislation.	1.2.1. Number of cooperatives or associations which started the registration process	0	TBD	<p>Project records</p> <p>Analysis of random samples of at least</p>	Participating actors at national level and in the districts (state, private sector) continue to show

		<p>with relevant government authorities.</p> <p>1.2.2. Number of individuals (disaggregated by sex) working in the mining sector with improved mining practices (either equipment, access to finance or application of occupational health and environmental standards) (EURF 2.14).</p> <p>Increased access for women, in all their diversity, to decent work, including women's transition to the formal economy and coverage by non-discriminatory and inclusive social protection systems (GAP III)</p>	0	TBD	60 % of participants 3 months after completion of the skills development programme	<p>sufficient interest in cooperation.</p> <p>The Technical Units of the respective partners have sufficient capacity to fulfil their roles (implementation of trainings, financial and budgetary, accreditation, etc.).</p> <p>Cooperatives show interest in registration and formalisation.</p>
Output 1.3	Increased capacities of mining actors for mineral processing and value addition.	1.3.1. Number of mineral beneficiation centres with improved practices for value addition.	0	TBD	Project records	Participating actors at national level and in the districts (state, private sector) continue to show sufficient interest in cooperation.
		1.3.2. Number of people (disaggregated by sex) working in the mining sector who have applied newly acquired skills in mineral extraction and processing (EURF 2.14).	0	TBD	Number of participants who have successfully completed professional skills development measures (successful meaning at least 70 % of the answers in a final test were correct)	The Technical Units of the respective partners have sufficient capacity to fulfil their roles (implementation of trainings, financial and budgetary, accreditation, etc.).
		1.3.3. Number of policy reforms or initiatives developed to promote	0	TBD	Project records	Government of Uganda provides support to

		value addition in the mining sector.				beneficiation centres and initiatives.
Output 1.4	Increased capacities of relevant authorities to exercise oversight over the mining sector.	1.4.1. Number of individuals (disaggregated by sex) from DGSM and other relevant oversight authorities who have successfully been trained on the mining law, mine site inspection procedures and international good practices on mining.	0	TBD	Number of participants who have successfully completed professional skills development measures (successful meaning at least 70 % of the answers in a final test were correct)	Participating actors at national level and in the districts (state, private sector) continue to show sufficient interest in cooperation.
		1.4.2. Number of mine site inspections conducted with updated inspection requirements.	0	TBD	Reports from the Department of Geological Survey and Mines (DGSM)	The Technical Units of the respective partners have sufficient capacity to fulfil their roles (implementation of trainings, financial and budgetary, accreditation, etc.).
Output 1.5	Improved application of responsible sourcing standards in the mining sector.	1.5.1. Number of digital chain of custody systems developed according to responsible sourcing standards.	0	TBD	DGSM reports	Participating actors at national level and in the districts (state, private sector) continue to show sufficient interest in cooperation.
		1.5.2. Number of mining actors (disaggregated by sex) having revised due diligence standards.	0	TBD	Analysis of random samples of at least 60 % of mining actors	The Technical Units of the respective partners have sufficient capacity to fulfil their role. The management level complies with agreements on the introduction of new digitalization and operationalization systems.
Output 1.6	Improved quantity and quality of geological data available on the deposits of CRMs and other important minerals in the country	1.6.1. Number of CRM and other important mineral prospects mapped using advanced geological techniques.	0	TBD	Project reports	Participating actors at national level and in the districts (state, private sector) continue to show sufficient interest in cooperation.
				TBD	Project reports	

		<p>1.6.2. Number of prospects for CRMs and other important minerals with detailed reports, datasets and investment promotion material.</p> <p>1.6.2. Number of licences issued to investors for prospects of CRMs and other important minerals arising out of the mapping and investment promotion.</p>	<p>0</p> <p>0</p>	TBD	<p>Reports from the Ministry of Energy and Mineral Development (MEMD), Uganda Chamber of Mines and Petroleum (UCMP) and/or Uganda Investment Authority (UIA)</p>	<p>The Technical Units of the respective partners have sufficient capacity to fulfil their role.</p> <p>Government of Uganda provides support to medium and large scale investors in the mining sector.</p>
Specific Objective 2	The EU positions itself as a partner of reference in Uganda, in line with Global Gateway programmes and Team Europe Initiatives in MIP Priority Areas 1 and 2, and in support of Uganda's third National Development Plan (2021-2025) are fully supported	NDICI MIP programmes/projects MIP Priority Areas 1 and 2 (MFF 2021-2027) are started as planned	0 projects	<p>2024: 0 projects</p> <p>2025: 1-2 projects</p> <p>2026: 1-2 projects</p> <p>2027: 1-2 projects</p>	AAP 2024-2027 EAMR 2024-2027 Signed FAs	Uganda remains a stable environment for the EU-GoU cooperation
Output 2.1	Investments in the context of the Global Gateway and the Corridor strategy are identified and supported, including an effective gender mainstreaming for the proposed programmes	<p>Number of studies started/completed</p> <p>Number of gender analysis-assessment started/completed (or % of studies integrating gender expertise) – GAPIII indicator</p> <p>Number of Action Documents issued</p> <p>Number of Action Documents (ADs) issued Number of AD complying with</p>	<p>0 studies</p> <p>0 ADs</p>	<p>2023: 0 studies</p> <p>2024: 1-2 studies</p> <p>2025: 1-2 studies</p> <p>2026: 1-2 studies</p> <p>2027: 1-2 studies</p> <p>2023: 0 AD</p> <p>2024: 0 AD</p> <p>2025: 1-2 ADs</p> <p>2026: 1-2 ADs</p> <p>2027: 1-2 ADs</p>	<p>AAP 2024-2027</p> <p>EAMR 2024-2027</p> <p>AAP 2024-2027</p> <p>EAMR 2024-2027</p>	Political commitment to the EU-Uganda partnership

		HRBA/Gender requirement of the EU				
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4 IMPLEMENTATION ARRANGEMENTS

4.1 Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with Uganda.

4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is 48 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

4.3 Implementation of the Budget Support Component [N/A]

4.4 Implementation Modalities

The Commission will ensure that the EU rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures⁴.

4.4.1 Direct Management (Grants)

Grants: (direct management)

(a) Purpose of the grant(s)

A part of this Action may be implemented through grant(s) to entities in order to carry out activities related to Specific Objective 1 and this will include activities related to Outputs 1.1, 1.2, 1.4, 1.5 and 1.6.

(b) Type of applicants targeted

The targeted applicant is an organisation or consortium of organisations of Geological Surveys, which have experience working in the mining sector and in improving the quantity and quality of geological data available on the deposits of CRMs and other important minerals in the country, as well as providing capacity building to national geological survey institutions.

The part of the action under the budgetary envelope reserved for grants may, partially or totally and including where an entity is designated for receiving a grant, be implemented in indirect management with an entity, which will be selected by the Commission's services using the following criteria: (i) be a legal entity and non-profit-making organisation; ii) experienced in managing EU funded support programmes; iii) experienced in interventions in line with the sustainable management of geological resources; iv) experienced in operations in Africa with specific attention to geosciences-activities.

4.4.2 Direct Management (Procurement)

Implementation through procurement will contribute to achieving Specific Objective 2 of this Action "Position the EU as a partner of reference in Uganda, in line with Global Gateway and Team Europe Initiatives".

⁴ www.sanctionsmap.eu. Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

4.4.3 Indirect Management with an entrusted entity

A part of this Action may be implemented through indirect management with an entity, which will be selected by the Commission's services using the following criteria:

- An internationally recognised entity with a positive track record on working in Uganda and/or in the region in the relevant thematic sectors linked to Specific Objective 1;
- Experience and developed expertise in local Government coordination;
- Previous experience as implementing partner of EU-funding;
- A good working relationship with the Government of Uganda as an added value.

The implementation by this entity entails Specific Objective 1 "Ensure that mining actors in Uganda contribute to sustainable economic development of the sector in accordance with national, regional, and international standards and good practices" outputs 1.1, 1.2, 1.3, 1.4 and 1.5

4.4.4 Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances (one alternative second option)

As an alternative to the implementation modality outlined in section 4.4.3, this Action or parts of it may be implemented in direct management via procurement. The purpose of the procurement is to deliver part outputs 1.1, 1.2, 1.3, 1.4 and 1.5 associated with Specific Objective 1 as described in section 3.1.

4.5. 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 responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realization of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

4.6. Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)
Implementation modalities – cf. section 4.4	
Objective 1 composed of	6 500 000
Grants (direct management) – cf. section 4.4.1	1 500 000
Indirect management with an entrusted entity - cf. section 4.4.3	5 000 000
Objective 2 composed of	3 500 000
Procurement (direct management) – cf. section 4.4.2	3 500 000
Evaluation – cf. section 5.2 Audit – cf. section 5.3	May be covered by another Decision
Totals	10 000 000

4.7 Organisational Set-up and Responsibilities

The implementation partner is responsible for setting-up and managing the meetings of the technical coordination team and the steering committee, both to be held twice per year (either virtually or in-person). Details regarding timelines, responsibilities and expected outcomes can be retrieved from the Cooperation Guidelines which will be developed at the onset of the Action in order to have a common reference for all interaction between stakeholders involved in the implementation of the Action.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action and may sign or enter into joint declarations or statements, for the purpose of enhancing the visibility of the EU and its contribution to this action and ensuring effective coordination.

5 PERFORMANCE MEASUREMENT

5.1 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 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).

Roles and responsibilities for data collection, analysis and monitoring:

Baseline and endline data will be collected via third-party experts in order to lay the grounds for successful monitoring of the Action's interventions. The implementation partner will be responsible for procurement and management of this consultancy to be covered by project funds. Monitoring and evaluation will be based on indicators that are disaggregated by sex, age, disability when applicable. Human rights and gender equality competence is ensured in the monitoring and evaluation teams. The development of surveys to collect relevant information will equally fall under the responsibility of the implementation partner and be financed under the regular budget of the Action.

All monitoring and reporting shall assess how well the action promotes the principle of gender equality which lies at the heart of this programme and takes a human rights-based approach and enables the rights of persons with disabilities including through strengthening inclusion and diversity. Data collected, where appropriate and possible, will be disaggregated by sex and age, and by disability if tenable.

All other monitoring, data collection and reporting tasks are to be taken up by the project staff available to the implementation partner. Ugandan counterparts will be crucially involved in these exercises, as the availability of accurate economic and mining-related data depends on access to their records. Active and meaningful participation of stakeholders will be ensured by showcasing the significant leveraging effect of data transparency on donor satisfaction and private sector trust-building.

5.2 Evaluation

Having regard to the importance of the action, a final evaluation will be carried out for this action via independent consultants contracted by the Commission or the implementing partner.

The final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision).

The Commission shall inform the implementing partner at least 3 months in advance of the dates envisaged 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 may be shared with the partners and other key stakeholders following the best practice of evaluation dissemination. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, apply the necessary adjustments to future Actions.

In addition, all evaluations shall assess to what extent the Action is taking into account human rights-based approaches as well as whether and how the Action contributes to gender equality and women's empowerment and disability inclusion. The evaluation process will include expertise on human rights, disability and gender equality assessment.

The financing of the evaluation may be covered by another measure constituting a Financing Decision.

5.3 Audit and Verifications

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 audit or verification assignments for one or several contracts or agreements.

6. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt a new approach to pooling, programming and deploying strategic communication and public diplomacy resources.

In line with the 2022 “[Communicating and Raising EU Visibility: Guidance for External Actions](#)”, it will remain a contractual obligation for all entities implementing EU-funded external actions to inform the relevant audiences of the Union's support for their work by displaying the EU emblem and a short funding statement as appropriate on all communication materials related to the actions concerned. This obligation will continue to apply equally, regardless of whether the actions concerned are implemented by the Commission, partner countries, service providers, grant beneficiaries or entrusted or delegated entities such as UN agencies, international financial institutions and agencies of EU member states.

However, action documents for specific sector programmes are in principle no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

Appendix 1 REPORTING IN OPSYS

A Primary Intervention⁵ (project/programme) is a coherent set of activities and results structured in a logical framework aiming at delivering development change or progress. Identifying the level of the primary intervention will allow for:

⁵ For the purpose of consistency between terms in OPSYS, DG INTPA, DG NEAR and FPI have harmonised 5 key terms, including ‘Action’ and ‘Intervention’ where an ‘Action’ is the content (or part of the content) of a Commission financing Decision and ‘Intervention’ is a coherent set of activities and results which constitutes an effective level for the operational follow-up by the EC of its operations on the ground. See more on the [concept of intervention](#).

Articulating Actions or Contracts according to an expected chain of results and therefore allowing them to ensure efficient monitoring and reporting of performance;

Differentiating these Actions or Contracts from those that do not produce direct reportable development results, defined as support entities (i.e. audits, evaluations);

Having a complete and exhaustive mapping of all results-bearing Actions and Contracts.

Primary Interventions are identified during the design of each action by the responsible service (Delegation or Headquarters operational Unit).

The level of the Primary Intervention chosen can be modified (directly in OPSYS) and the modification does not constitute an amendment of the action document.

The intervention level for the present Action identifies as (tick one of the 4 following options);

Action level (i.e. Budget Support, blending)		
<input type="checkbox"/>	Single action	Present action: all contracts in the present action
Group of actions level (i.e. top-up cases, different phases of a single programme)		
<input type="checkbox"/>	Group of actions	Actions reference (CRIS#/OPSYS#):
Contract level		
<input checked="" type="checkbox"/>	Single Contract 1	Contribution Agreement with entrusted entity
<input checked="" type="checkbox"/>	Single Contract 2	Grant (direct management)
<input checked="" type="checkbox"/>	Group of contracts	Procurement: Service contracts (GG Technical Facility)
Group of contracts level (i.e. series of programme estimates, cases in which an Action includes for example four contracts and two of them, a technical assistance contract and a contribution agreement, aim at the same objectives and complement each other)		
<input type="checkbox"/>		