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ANNEX 29

to the Commission Implementing Decision on the financing of the multiannual action plan in favour of Sub-Saharan Africa for 2023-2025

Action Document for EU-African Union Partnership Performance Acceleration Programme (AUPPAP)

MULTIANNUAL PLAN

This document constitutes the multiannual 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 | EU-African Union Partnership Performance Acceleration Programme (AUPPAP) OPSYS number: ACT-62037 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe) |
| 2. Team Europe Initiative | No |
| 3. Zone benefiting from the action | The action shall be carried out in Africa (African Union) |
| 4. Programming document | Regional Multi-Annual Indicative Programme for Sub-Saharan Africa |
| 5. Link with relevant MIP(s) objectives / expected results | The action contributes to Capacity Building and Institutional Support under the Support Measures for the Sub-Saharan Regional Multi-Annual Indicative Programme (Sub-component 8.2 of the MIP) |
| PRIORITY AREAS AND SECTOR INFORMATION | |
| 6. Priority Area(s), sectors | 151 - Government & Civil Society-general |
| 7. Sustainable Development Goals (SDGs) | Main SDG (1 only): 17 – Partnerships for the goals Other significant SDGs (up to 9) and where appropriate, targets: 7 to 16 |
| 8 a) DAC code(s) | 15110 – Public Sector Policy and Administrative Management |
| 8 b) Main Delivery Channel | African Union - 47000 |

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|---|---|--|--|-------------------------------------|
| 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 checked="" 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 type="checkbox"/> | <input type="checkbox"/> | <input checked="" 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 checked="" type="checkbox"/> | <input 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 |
| Digitalisation @ | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| digital connectivity digital governance digital entrepreneurship digital skills/literacy digital services | | YES <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | NO <input checked="" type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> | / |
| Connectivity @ | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| digital connectivity people2people energy transport | | YES <input checked="" type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> | NO <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> | / |

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|--------------------------------------|---|-------------------------------------|-------------------------------------|--------------------------|
| | | | | |
| | 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(s) (article, item): <ul style="list-style-type: none"> - 14.020120: EUR 7 000 000 - 14.020121: EUR 7 000 000 - 14.020122: EUR 6000 000 Total estimated cost: EUR 20 000 000 Total amount of EU budget contribution EUR 20 000 000 The contribution is for an amount of EUR 20 000 000 from the general budget of the European Union for year N+1, subject to the availability of appropriations for the respective financial years following the adoption of the relevant annual budget, or as provided for in the system of provisional twelfths. | | | |
| MANAGEMENT AND IMPLEMENTATION | | | | |
| 13. Type of financing | Direct management through: <ul style="list-style-type: none"> - Grants - Procurement | | | |

1.2 Summary of the Action

The African Union (AU) is a continental union comprising fifty-five (55) Member States, and is the preeminent pan-African policy-setting and convening institution.

As such, the AU is an important actor in a range of key policy areas, including for example leading the continental regional economic integration process, building peace and security across the continent, coordinating the implementation of the Africa–EU Partnership, as well as being the continent’s leading interlocutor on global issues.

The Action will build upon the lessons learned from the fourth phase of the AU Support Programme (AUSP IV) and earlier editions of the AUSP, in particular with a view to improving the efficiency, effectiveness and impact of EU support to the AU when compared to the previous programmes.

The **overall objective** of the action is to promote integrated development and capacity building of the African Union in line with **the AU-EU partnership priorities**.

The **specific objectives** are to:

1. Improve organisational performance and effectiveness of processes of the AU;
2. Improve policy frameworks relevant for the key EU-AU partnership priorities;
3. Strengthen effectiveness of monitoring and evaluation of the AU policies and programmes, as well as of the AU contribution to the EU-AU partnership priorities.

Building on the renewed and strengthened commitment of partnership between the AU and EU, the EU-AUPPAP will involve an increased focus on key priority areas identified as of mutual interest in the framework of the AU-EU Partnership and in line with the Agenda 2063¹ and the Global Gateway Africa-Europe Investment Package.²

¹ African Union, “[Agenda 2063: The Africa We Want](#)” (31 January 2015).

² European Union, [Global Gateway Africa-Europe Investment Package](#) (February 2022).

Tentatively, the thematic areas to be prioritised are: i) economic integration; ii) energy; iii) digital. The pre-identification of priority areas has been done taking into account: a) EU-AU Partnership priorities as defined on the occasion of the latest EU-AU Summit; b) the EU's past success stories and the interest in continuing the support in key areas where we are the lead partner, such as in the case of the African Single Electricity Market (AfSEM) and the African Continental Free Trade Area (AfCFTA); c) the support to soft areas that align well with the EU strategic interest and the Global Gateway strategy and d) the complementarity with other EU-funded initiatives. For example, on digital, the action will complement the Africa-Europe Digital Regulator Partnership programme and while the latter will provide technical assistance, the AUPPAP will support AU Member States discussing adoption and implementation of the policies and decision.

Policy dialogue will be a key component of the three specific objectives, as the action will facilitate AU-EU dialogue on the identified areas of mutual interest and on general institutional exchanges. This will go hand in hand with a result-focused approach in implementation, monitoring and evaluation. Unlike with the former A USP, it will indeed rely on an approach focusing on assessment of results instead of activities. The dialogue will – beyond the African Union Commission (AUC) and a few key AU organs – also involve exchanging with relevant AU policy organs and AU Member States, including in trilateral mode with AUC, AU Member States and the EU, as well as with other like-minded partners supporting the AU. The EU-AUPPAP will help accelerating the implementation of AU core decisions including through dialogue. The programme will put resources at AU disposal that should be accompanied with AU Member States resources.

The Technical Assistance (TA) component under the direct management of the EU Delegation, will be a key element of the action and come in support of mainly specific objectives 1 and 3. It will support the achievement of the identified objectives and outcomes providing rapid and flexible, solution-focused and/or value-adding TA support primarily to the AU – AUC and its leading AUC reform entities (Director General's Office, Human Resources Directorate, Office of Strategic Planning & Delivery, etc) and key AU organs (AfCFTA Secretariat and AUDA NEPAD) – to ensure that the results of the Action can be achieved by reducing implementation challenges. The TA will cover issues such as internal coordination, budget processes, results based frameworks, and human resources (HR) processes and tools. The TA should be able to quickly mobilise short-term expertise or provide 'ad hoc' capacity building in a short timeframe hence crucially giving the EU Delegation the tools to react timely to needs and priorities and overcoming the sometimes lengthy AU internal processes. The TA will also support where required AU-EU partnership needs and speed up implementation.

Finally, the programme should establish **a strong coordination with the Joint Financing Arrangements (JFA)**, established in 2020 as a pilot between the AUC and core donors, including EU Member States, and to be renewed in 2024, **or** with a **Joint Partnership Framework** that could come to replace the JFA mechanism. The AUPPAP would hence bring all institutional support to the AU from the EU, EU Member States and other key partners under one coordinated approach with key strategic objectives and limiting as much as possible transaction costs and duplication of actions. The EU has observer status in the JFA and strong coordination and dialogue is already ongoing with the JFA partner countries. On all sides (AU, JFA and EU) there is a strong interest to reinforce coordination, coherence and complementarity of aid. A **Joint Partnership Framework (to be possibly formalised)** with the main international partners contributing to AU budget could therefore be considered, with joint planning, budgeting, dialogue, reporting (still aligned with EU requirements).

2 RATIONALE

2.1 Context

The action builds on the EU's longstanding institutional and policy-oriented support to the AU. On average over the last four years, the EU, together with its Member States, has covered almost 40 % of the AU's programme budget (excluding peace-support operations) and, depending on the year, over 70 % of the peace-support operations.

The action further lies on the key strategic engagements and policies that connect Africa and Europe, notably the AU-EU partnership, as renewed at the 6th EU-AU Summit in February 2022. Concretely, it is rooted in the Joint Communication 'Towards a comprehensive Strategy with Africa' of March 2020, Council conclusions of June 2020 and European Council conclusions of October 2020, 'The Global Gateway Strategy' of December 2021 and its Africa-Europe Investment Package of February 2022, as well as the AU's Agenda 2063 and reform plan.

EU-AU Partnership

In its Joint Communication ‘Towards a comprehensive Strategy with Africa’³, the EU underlined again the past ties and shared interests between the AU and the EU, and proposed defining a new comprehensive EU strategy with Africa that could be built on five partnerships: i) A partnership for green transition and energy access; ii) A partnership for digital transformation; iii) A partnership for sustainable growth and jobs; iv) A partnership for peace and governance; and v) A partnership on migration and mobility.

The AU and EU joint commitment to partnership was further reinforced at the 6th EU-AU Summit, where AU and EU leaders agreed on a [Joint Vision for 2030](#)⁴, which highlighted the following **mutually-agreed priorities**: i) a Global Gateway Investment Package of at least EUR 150 billion; ii) a renewed and enhanced cooperation for peace and security; iii) an enhanced and reciprocal partnership on migration and mobility; iv) and a commitment to multilateralism. Leaders also committed to monitor the implementation of the commitments undertaken during AU-EU Summits, via an **AU-EU Ministerial Follow-up Committee**. In particular, the Summit saw the announcement of an Africa-Europe Investment Package of EUR 150 billion targeted at supporting a common ambition for 2030 and AU Agenda 2063 and helping to build more diversified, inclusive, sustainable and resilient economies.

The importance of supporting the AU to fulfil its continental leadership role to the maximum is linked to ensuring that the AU-EU partnership, and Africa more widely, can derive the maximum development impact and benefit from the Investment Package, which aims to support Africa for a strong, inclusive, green and digital recovery and transformation by accelerating the green and digital transitions, sustainable growth and decent job creation, as well as strengthening health systems and improving education and training. This includes strengthening the AU’s capacity to contribute to the implementation and monitoring of the EU-AU Partnership and of EU-AU Summit commitments.

Agenda 2063

The Agenda 2063 represents the key strategic framework setting out the AU’s vision for the socio-economic development of Africa over the longer-term⁵. Agenda 2063 is operationalised through Ten Year Implementation Plans, with the First Ten Year Implementation Plan (FTYIP 2014-23) coming to a conclusion later this year.

The First Decade of the implementation of Agenda 2063 marked: the start of the operationalisation of the African Continental Free Trade Area (AfCFTA); the transformation of NEPAD into an African Development Agency; the functioning of the Pan African University; the integration of the African Peer Review Mechanism (APRM) into the structures of the AU; the establishment of the Africa Centres for Disease Control and Prevention (CDC), the Africa Medicines Agency (AMA) and the African Humanitarian Agency (AHA). The draft findings from the evaluation of the FTYIP raise numerous issues, including a skewed resourcing across the Agenda 2063 aspiration areas, including a disproportionate concentration of funding resources around the Aspiration on Peace and Security (76% of total resources), the variable results across AU Flagships (with some being notably more successful than others), challenges with actions not being costed, and insufficient implementation support and weak AU institutional coordination mechanisms.

The implementation of the Second TYIP should aim at COVID-19 recovery, stabilisation and revitalisation of African economies. In the immediate and short-term greater focus and investment should be placed on specific priority areas that are more likely to trigger accelerated socio-economic recovery and growth. The plan will revolve around three main objectives: i) to ensure greater physical connectivity of the Continent through the construction of roads and other communication infrastructures, ii) to establish the conditions for sufficient domestic agricultural production to reduce imports of foodstuffs and iii) build the technical capacities to make the energy transition a success.

AU reform

The principle of self-reliance was the driving force for the launch of the AU Institutional Reform aiming at strengthening legitimacy and performance of the organisation. Five focal areas were identified as key for transforming the Union namely: i) focus on fewer priority areas, ii) institutional realignment for better service

³ Joint Communication To The European Parliament and The Council , JOIN (2020) 4 final.

⁴ 6th European Union – African Union Summit Final Declaration: “A Joint Vision for 2030” (18 February 2022).

⁵ Agenda 2063 is founded on the AU vision of “an integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the international arena”.

delivery; iii) need to connect with African Citizenry; iv) operational effectiveness and efficiency in the performance of its mandate; v) sustainable financing for its programmes and reduction of over reliance on development partners.

The Reform attempts to address several of other problems such as low implementation rate of past decisions, image towards African population, the Organisation's being wide spread across many areas of intervention, the unclear division of labour between the AUC, Regional Economic Communities (RECs) and Members States. The Institutional Reform has been a real stress test for the AUC staff, requiring change of management skills from its leadership. New long-term staff recruitments are not moving fast enough, leaving too many posts open. While directors' recruitment is completed, almost all other recruitments have been on standstill, creating lots of vacant posts unfilled for years now, thus preventing departments from properly delivering unless they receive partners' help to temporary fill the gaps e.g. with secondments.

AUSP IV evaluation

While the AUSP has been the key support instrument to the AU and the EU-AU Partnership, it also has a unique strategic value in advancing the AU institutional reform agenda and driving changes in the AU. The programme's activities being integrated into the One AU budget approach (i.e. one single and coordinated budgeting process that includes all the AU bodies such as AUC, AUDA NEPAD, AfCFTA etc) allows also to engage with relevant AU policy organs (Council working groups and AU Member states etc). The proposed action will continue supporting the political and policy dialogue with the AU, as in the case of the budget consultations, trilateral meetings with AU Member States or for the preparation of Summits and Ministerials, and the achievement of the agreed priorities, such as in the areas of trade, digital, energy.

The 2023 assessment of AUSP IV, carried by a team of independent experts contracted by the EU, confirmed the above mentioned strengths of the programme, but also highlighted weaknesses and areas for improvement. In particular, one of the weaknesses identified is the reduced effectiveness and impact of the programme due to its deployment across a wide range of areas, leading to some dispersion of effort. Another significant issue has been weak monitoring and reporting and an overfocus on activities. The delays of the AU institutional reform, and lack of a sufficiently holistic approach to all aspects of reform, including not just staffing but also financial, work processes and organisational performance have also greatly affected the implementation of the programme. The evaluation recommends bringing increased focus to future support under EU-AUPPAP, with greater funding for a smaller number of priorities, accompanying AU reforms and improved institutional processes and securing a significant increase in the results orientation of areas supported.

EU thematic support to the AU

The EU, as the main successful story of economic integration, has been the key partner to the AU for supporting the development and implementation of African continental policies in key areas. The EU partnership with the AU key policy and flagship developments, promoting also alignment with EU policies, has for example proved to be successful in the past years in the case of the African Single Electricity Market (AfSEM), the African Continental Free-Trade Area (AfCFTA), and AU digital transformation strategy, the precursor to a digital single market. Following the outcomes of the evaluation, and in line with Summit commitments and the scope of the Global Gateway Africa-Europe Investment Package, the programme will have to focus on limited priorities to increase impact.

Based on AU priorities for the coming years, EU past success stories, pre-existing EU actions in each area, the interest in continuing the support and on the alignment with the EU strategic interest and the Global Gateway strategy, an initial selection of possible policy areas for specific objective 2 include i) digital, connectivity and infrastructure; ii) trade and economic integration and iii) energy. Other core areas are to be covered by other key partners as part of the joint partnership framework or are still benefiting from EU support through existing complementary programmes, such as on illicit financial flows, the Regional Teachers' Initiative for Africa, the Global Monitoring for Environment and Security (GMES) Initiative, the Global Climate Change Alliance, FishGov2, etc.

On digital, the AU Digital Transformation Strategy (DTS) is the central tool to accompany AU Member States in the digital transformation and to bring alignment, harmonisation and common African positioning on key digital

issues such as internet governance, Artificial Intelligence or e-thematic policies. It is the basis also for developing Africa's Single Digital market and an essential motor for development.

The EU has actively addressed the digital divide and associated policy especially through the Policy and Regulatory Initiative for Digital Africa (PRIDA)⁶, the AfricaConnect⁷ projects, and EU-AU Data Flagship. Besides, the EU has been and remains one of Africa's main partner for broadband and is connecting countries and regions with infrastructure investments and increasing digital access across the continent. In this new phase, AUPPAP will complement the technical assistance provided by the Africa-Europe Digital Regulator Partnership programme supporting AU Member States discussing adoption and implementation of the policies and decisions.

On trade and economic integration, the African Union is committed in implementing the Abuja Treaty, the AU main treaty for economic integration foreseeing the AU customs Union and eventually the African Single market. Moreover, the 36th AU Summit in February 2023, while indicating 2023 as Year of AfCFTA, has called on AU Member States to accelerate with determination the economic integration agenda, by operationalising the AfCFTA and by seeking Member States' political commitment to trade as a development accelerator. Different steps are lined up to reach to a single Market. The first step is making good progress – with the AfCFTA, which entered into force on 31 May 2019 and the start of trading, from January 2021. Nevertheless, a lot remains to be done to accelerate trading under the emerging AfCFTA Tool box (the different AfCFTA protocols such as trade in goods, services, rules of origin, competition, investment, intellectual property rights, dispute settlement mechanism and digital trade) and to reach actual implementation of the free trade area by AU Member States.

On energy, the AfSEM is one of the key areas for development and aims at connecting the Continent's energy strategies and action plans by harmonising regulatory frameworks and integrating generation, transmission, and distribution master plans. This will allow for the diversification of energy sources supporting energy transition, better trade and investments, and close the energy infrastructure gaps between regions and countries. AfSEM is also a major milestone in the work carried out in the scope of the partnership between the AU and the EU, in synergy with the development of the Continental Power Systems Masterplan (CMP).

2.2 Problem Analysis

Since its creation in 2002, the AU has demonstrated ambition in assuming the role as the lead African inter-governmental organisation in the implementation of the AU political and integration agenda and advancing the strategic partnership with the EU. At the same time, the AU has underlined the value of being a pan-African actor, both in collating and convening African objectives and representing them to other regional, international and global actors, including the EU. Notwithstanding the above, the AU's ability to achieve its full potential has been constrained by significant weaknesses and shortcomings, including:

- i. Limited capacity in translating political decisions at continental level into coordinated action at regional and national level;
- ii. Limited internal resources and high dependency on external resources from international partners;
- iii. Action radius of AU is too large vis-à-vis means, hence challenging for the managerial capacity to address all the issues;
- iv. Fragmented organisation with a multitude of focus areas;
- v. Unclear mandate or chronic underfunding leading to sub-optimal performance;
- vi. Delays in the implementation of the AU reforms;
- vii. Still unclear division of labour between AUC, RECs, and AU Member States;
- viii. Limited monitoring and evaluation (M&E) systems in particular related to the Agenda 2063 objectives;
- ix. Lack of tools to measure and focus on performance at all levels.

The evaluation of the First Ten Year Implementation Plan has also underlined the variable results of the AU Flagships, with the significant progress of the AfCTA and Single African Air Transport Market (SAATM) being contrasted with the limited progress on other flagships, including financial institutions and the Annual Africa Economic Platform. Part of the solution can be strengthened systemic monitoring of AU flagships, enabling earlier

⁶ https://international-partnerships.ec.europa.eu/policies/programming/programmes/policy-and-regulation-initiative-digital-africa-prida_en

⁷ <https://africconnect3.net/>

corrective action to be taken where needed, as underlined in part in the Agenda 2063 Levers of Change including M&E and reporting.

The consultations with Joint Financing Arrangements - JFA - partners and other international partners during the AUSP evaluation 2023 has highlighted challenges in, amongst others, the quality and timeliness of AU monitoring and reporting, the over-focus on activities, and the slow and somewhat disjointed progress of AU institutional reform.

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

Regarding AU institutional stakeholders, the AU's institutional structure comprises Policy Organs, other Organs, and Specialised Offices. The Policy Organs comprise the Assembly, Executive Council, Permanent Representatives Committee, Specialised Technical Committees, Peace and Security Council and the Commission. The other Organs comprise the Pan-African Parliament (PAP), African Court on Human and Peoples' Rights (AfCHR), African Commission on Human and People's Rights (ACHPR), Economic, Social and Cultural Council (ECOSSOC), AU Commission on International Law (AUCIL), AU Advisory Board on Corruption, African Committee of Experts on the Rights and Welfare of the Child (ACERWC)], the African Union Development Agency (AUDA). Regarding the Specialised Offices, there are 8 in number and all of them with a corresponding annual (operating and/or programme) budgetary allocations.

Within the above, key stakeholders for future actions include the Africa Centres for Disease Control and Prevention (AFRICA CDC), the AfCFTA Secretariat, and the African Civil Aviation Commission (AFCAC). On top of that, there are 11 recognised RECs/Regional Mechanisms (RMs), building blocks of Africa's regional architecture.

The AU has a wide range of stakeholders, its 55 Member States, 8 recognised RECs and African citizens. The complex and articulated institutional architecture of the AU with three layers (continental, regional and national) and several organs and institutions poses several challenges for building consensus for areas of common interests, on the application of the subsidiarity and complementarity principles and on defining a clear division of labour.

Within the above, the AU Member States and Joint Financing Agreement (JFA) partners are a stakeholder group that can probably play a more important role in contributing to the institutional reform and strengthening within the AU institutions, as seen for example in their role in the trilateral consultations between the AUC, AU Member States and Development Partners.

JFA partners, on their part, are the second bigger international supporters of the AUC programme budget after the EU. The EU, EU Member States and JFA represent together over 90% of the international partners' support to programme budget. JFA members are Germany, Sweden, Denmark, Ireland, Netherlands, Norway, UK and Canada. Spain, France and Japan are considering joining for the next phase.

The first and pilot phase of the JFA (signed in 2020) will be concluded in 2023 and discussion are ongoing on a future joint partnership framework for coordination of the key AU partners and the role the EU should play. There are currently two JFAs, one for Peace and Security and the other one for the international partnerships but in the next phase envisaged by JFA partners, there should be only one document for all the partners. Since 2021 the EU has an observer role in the JFA mechanism and solid coordination processes have been established between the EU Delegation and the JFA partners.

Other important stakeholders are international organisations (particularly the EU, UNECA, and AfDB), multilateral and bilateral development partners, and civil society organisations. The international development partners are an important stakeholders group, providing the majority of the financing for the AU's programme budget. These include the partners active in Canada, Denmark, Finland, Germany, Ireland, Italy, Norway, Spain, Sweden, and the UK. Multilateral development actors, such as the African Development Bank and the World Bank, also provide significant funding and support to the AU institutions.

3 DESCRIPTION OF THE ACTION

3.1 Objectives and Expected Outputs

The Overall Objective of the action is to promote integrated development and capacity building of the African Union in line with **the AU-EU partnership priorities**.

The Specific Objectives are to:

1. Improve organisational performance and effectiveness of processes of the AU;
2. Improve policy frameworks relevant for the key EU-AU partnership priorities;
3. Strengthen effectiveness of monitoring and evaluation of the AU policies and programmes, as well as of the AU contribution to the EU-AU partnership priorities.

The Outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are:

Outputs contributing to specific objective 1: Improve organisational performance and effectiveness of processes of the AU

- 1.1 Enhanced institutional capacity of the AU in strategy development, results-based planning and coordination.
- 1.2 Enhanced budget planning and coordination mechanisms, including trilateral mechanisms, administration and human resources management of the AU.

Outputs contributing to specific objective 2: Improve policy framework relevant for the key EU-AU partnership priorities;

- 2.1 Enhanced capacity and policy making of the African, in particular AU-related, stakeholders in the global internet governance.
- 2.2 Supported AfCFTA implementation and the validation of recommendations for the next steps of Abuja Treaty (Custom Union and Single Market).
- 2.3 Supported African Single Electricity Market Readiness (including technical, regulatory and operations readiness), liberalisation and utility restructuring.
- 2.4 Supported policies of the AU in emerging AU EU priorities.

Outputs contributing to specific objective 3: Strengthen effectiveness of monitoring and evaluation of the AU policies and programmes, as well as of the AU contribution to the EU-AU partnership.

- 3.1 Enhanced capacity of the AU on enforcement, results-oriented M&E and reporting.
- 3.2 Supported capacity of the AU to report and monitor its contribution to the EU-AU Partnership.

3.2 Indicative Activities

Activities related to Specific Objective 1, Output 1:

- Consultation with relevant stakeholders (AUC, AUMS, Development Partners etc)
- Support DG office in its coordination and strategic guidance of the AUC administration
- Support/guidance for developing department-level or (sub-department) strategies and work plans
- Provision of targeted/strategic human resources support, in terms of expertise or TA to help address key institutional challenges
- Administrative cooperation and participation of AU officials to staff exchanges with EU services
- Support for setting up Ad-hoc Task Forces to address institutional challenges/blockages
- Trainings, meetings and events, also via partners such as the European Institute of Public Administration

- Follow up actions to support the setting up of the division of labour and effective collaboration among the AU, RECs, Member States and other continental institutions, in line with the principle of subsidiarity and complementarity
- Support to the AU's coordination with RECs

Activities related to Specific Objective 1, Output 2:

- Consultation with relevant stakeholders (AUC, AUMS, Development Partners, etc.)
- Support for the setting up of actions to achieve the Kigali decision on financing of the Union
- Support for the definition of working rules, methods and processes in line with the reform requirements
- Support for developing, implementing and regularly appraising human resource in line with reform objectives
- Administrative cooperation and participation of AU officials to staff exchanges with EU services
- Support for the organisation of the budget consultations and retreats
- Setting up of trilateral coordination meeting (AU-AU Member States-EU and other international partners)
- Establishment of a coordination structure between the EU and the donors that will be part of the new phase of the JFA on priorities and reporting

Activities related to Specific Objective 2 (cross-cutting to all four Outputs):

- Support to the development of a work plan for the selected AU-EU Partnership priority areas
- Joint target-setting for each AU-EU Partnership priority area selected for EU-AUPPAP focus
- Provision of implementation support (including guidance, TA, AU-EU technical dialogue etc.)
- Support for development of Policies and regulatory framework in the selected areas
- Support for endorsement of Policies and regulatory framework in the selected areas
- Support in the implementation and domestication at regional level
- Planning, committing to and implementing twinning-like initiatives
- Selected flagship projects support

Activities related to Specific Objective 3, Output 1:

- Providing support/guidance for annual monitoring reporting
- Support for the revision of AMERT – the Africa monitoring and evaluation and reporting tool - to make results oriented
- Support for the development of AU policies enforcement mechanisms tools and their presentation to the relevant organs and Member States
- Support for fostering organisational communication (inter-departmental collaboration, cooperation, information sharing, joint planning and monitoring) through formalised procedures
- Support for strengthening the function of policy analysis and research

Activities related to Specific Objective 3, Output 2:

- Organisation of meetings related to the EU – AU partnership agreed priorities
- Capacity building to the bodies in charge of the EU – AU partnership coordination
- Monitoring of the EU – AU partnership agreed priorities
- Support to the implementation and follow-up of the AU-EU Partnership via regular joint technical and strategic meetings

3.3 Mainstreaming

Environmental Protection & Climate Change

- **Outcomes of the SEA screening** (relevant for budget support and strategic-level interventions): The Strategic Environmental Assessment (SEA) screening concluded that no further action was required.
- **Outcomes of the EIA (Environmental Impact Assessment) screening** (relevant for projects and/or specific interventions within a project): The EIA (Environment Impact Assessment) screening classified the action as Category C.
- **Outcome of the CRA (Climate Risk Assessment) screening** (relevant for projects and/or specific interventions within a project): The Climate Risk Assessment (CRA) screening concluded that this action is no or low risk (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 will take account of gender equality and women empowerment across all of its actions. At the level of its overall objective, this Action seeks to contribute to the Agenda 2063 of a more prosperous Africa, through support amongst others for key AU-EU priorities such as the AfCTA.

Increased intra-AU trade from a continental free trade area will lead to increased economic growth and wealth creation, which will also impact positively on women. While all actions supported by the AUPPAP will require that the gender aspect is assessed in their design and that they display an appropriate level of gender-responsiveness, the increased emphasis under this Action in improving the AU's results orientation and quality of reporting on implemented actions should also help significantly improve its capacity to monitor and report on gender-responsive results and impact.

Human Rights

All actions funded under the AUPPAP will be informed by a Human Rights-based Approach, duly seeking to advance the realisation of human rights, including women's rights and labour rights. No matter the sector, country or stakeholder involved, the HRBA targets the respect, protection and fulfilment of human rights for women and men, girls and boys, in all their diversity. Within this, as this Action will be under indirect management of the AUC, the AUC will ensure that all rights-based dimensions of the AU's own institutional and governance frameworks are respected.

Disability

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0. This implies that while disability is not a significant objective, the AUPAP's actions will during both design and implementation by the AUC and other AU institutional actors ensure, as part of their wider rights-based approach, that international and AU stipulations on disability are respected.

Reduction of inequalities

The action seeks to support Agenda 2063, and its aspirations for a peaceful, prosperous and democratic Africa. Through support for key AU-EU priorities such as the AfCTA, and the increased intra-AU trade that would flow from a continental free trade area, the increased economic growth and wealth creation should indirectly have a positive impact on the bottom of the pyramid groups of African society, and with appropriate strategies from AU Member States, lead to reduction of inequalities.

Democracy

A significant part of this Action's aims at strengthening the governance of the AU's institutions, in terms of its capability to delivery benefits for its Member States and their citizens, including its ability to develop value-adding continental frameworks and policies, as well as delivery and monitor the results of AU flagships. Progress in these areas should help not only to show that democratic institutions and process can help deliver increased prosperity for African citizens, but also support democracy across the continent and help show the AU's value added as an effective leader and representative body of its member states.

Conflict sensitivity, peace and resilience

Support for African peace and security has been the largest area of EU and Development Partners' support to the AU and Africa during the past decade.

This AUPPAP Action's focus is complementary by seeking to accelerate the AU's performance capability to deliver socio-economic development and trade and other gains that will accelerate progress to a more prosperous Africa, with such increased prosperity being one of the best guarantees of peace and the avoidance of conflict.

Disaster Risk Reduction

The action does not primarily target Disaster Risk Reduction. However, indirectly, through support for areas such as the AfCTA, energy, and climate-resilient infrastructure and connectivity, the Action will indirectly take account of DRR, as well as improving the AU's (and in particular the AUC's) capacity to for both development and delivering needed continental frameworks, which will be beneficial to the wider area of climate change adaptation and DRR.

3.4 Risks and Lessons Learnt

| Category | Risks | Likelihood (High/ Medium/ Low) | Impact (High/ Medium/ Low) | Mitigating measures |
|----------|--|---|-------------------------------------|---|
| 1 | 1. A lack of political will reflected in the lack of domestication and implementation of AU decisions | H | M | Mitigating measures will include EU-AU political dialogue, co-ordination with other Development Partners under joint partner framework and the use of new tools and mechanisms under this Action, such as trilateral AU Member States, AU organs and partner dialogue |
| 2 | 2. Institutional weaknesses (beyond staffing) continue to constrain effective implementation of programmes/projects | M | H | This Action foresees a range of tools and approaches, including a TA component, to address institutional weaknesses that are hindering effective implementation within the AU institutions. |
| 2 | 3. Lack of result-oriented EU–AU policy dialogue | M | M | EU-AUPPAP will be the main EU support to the MTP 2024-2027 (apart from the various peace and security interventions) with a strong performance-based approach with part of financing depending on delivery. |
| 2 | 4. Weak monitoring and evaluation mechanisms and difficulty to report on deliverables | M | M | New processes and tools under this action will look to strengthen M&E, including strengthening of AMERT and possible linkages to SAP. Moreover, this Action has a dedicated Component focussed on strengthening monitoring and follow-up on AU Flagships. |
| 3 | 5. Partial implementation of the AU institutional reform agenda, including AU MS programme financing contribution and prioritisation | M | H | New tools and mechanisms under this Action will help provide more timely and targeted support to institutional weaknesses contributing to limited implementation, as well as more structured involvement of AUMS. |
| 3 | 6. Lack of capacity within the AUC hinders implementation of the programme | H | H | Targeted capacity building support and staff support will be provided to AUC. Furthermore, the Action will also provide support to other AU institutions/organs beyond the AUC. |
| 5 | 7. Lack of EU visibility and leverage supporting key areas (i.e. trade, governance, etc.) | M | M | Greater focus on EU visibility through a more focused approach connecting intervention to joint AU EU partnership priorities. Including a joint AU-EU Communications and Visibility Strategy and Work Plan under this Action, as well as measures to address other past areas of weaknesses (e.g. results-oriented reporting, identifying and reporting successes and lessons learned and good practice). |

Lessons Learnt:

This Action builds on a more than a decade and a half of support to the African Union through the AUSP, more recently AUSP IV (2019-2023) but going back as far as 2007 to the launch of the first AUSP. Past evaluations and Results-Oriented Monitorings (ROMs) of the AUSP, such as the evaluations of AUSP III and the recent evaluation of AUSP IV have confirmed the high relevance of the AUSP, in terms of supporting the AU's institutional and administrative capacity, and in particular its institutional transformation process, as well as supporting AU preparation for pillar assessments.

In addition to earlier achievements such as AUSP support for the implementation of strategic plans and the formulation of key AU flagship programmes, a 2023 assessment of AUSP IV has demonstrated the value of its flexibility and wide coverage scope which has facilitated effective use of AUSP with other EU Support, for example in providing complementary support from AUSP to support work on important initiatives such as the African Continental Free Trade Area, the Single Electricity Market and the Single Aviation Market. Similarly, it has generated valuable synergies with other EU support, such as EU support in the area of African digital transformation under the PRIDA (Policy And Regulation for Digital Transformation) initiative.

At the same time, there has been limited progress in terms of strengthening the AU's institutional management and delivery processes in particular in the middle of its lengthy AUC staff reform process, with recurrent challenges around the quality of interventions, an overly activity-centred focus, and weak monitoring and reporting. In this respect it is important to identify new tools and support mechanisms that can be effective in strengthening AU institutional systems and work processes and in particular accelerating reform and improvement in such systems and processes.

Many of the challenges experienced under AUSP IV are similar to ones experienced under AUSP III, and emphasise the need for alternative, more focused and performance-based approaches and support mechanisms. Overall, lessons learned include the need to work more intensively and strategically with the AUC to advance AUC institutional reform in a few core areas, and the related need for a more dedicated strategy to address AUC institutional weaknesses, as well as the need for a faster response mechanism for some support. There is also ongoing reflection on the scope and possibility for closer co-ordination with the JFA partners, where discussions on strengthened co-ordination are ongoing.

3.5 The Intervention Logic

The underlying intervention logic for this action is to support the EU-AU partnership, as renewed by the February 2022 Summit of Heads of State and Government and their Joint Vision for 2030. In particular the action will enable the EU to reinforce the institutional and operational capacity of the AU and support the implementation of the AU reform and Agenda 2063 along key EU-AU partnership priorities such as digital and green transition and economic integration.

If the performance and effectiveness of the AU are improved, this will facilitate the consolidation of an appropriate institutional and policy framework for the implementation and the key EU-AU partnership priorities (digital, economic integration, energy and other arising priorities) for the monitoring and evaluation of AU policies and programmes, with a results oriented approach. This will be possible assuming the continuous interest of the AU and its Member States in prioritising the AU Reform and Agenda 2063 and the AU and EU continuous commitment towards the partnership and its priority areas of cooperation.

Altogether, the Action will thus allow the AU to improve its delivery capacity, including effective development and roll-out and take-up of continental policies and frameworks and flagship programmes that respect the division of labour (i.e. the division of labour between AU, RECs, Member States and continental institutions, and within this the division of labour between AUC and AUDA, under a principle of subsidiarity continental-regional-national), and projects, thereby also strengthen the AU's value proposition to its Member States and to the RECs. This in turn should lead to increased AU Member States support to the AU, and willingness to develop AU Member States financial support that over time will put the AU on a sustainable financial setting.

3.6 Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It 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 | Results chain (@): Main expected results (maximum 10) | Indicators (@): (at least one indicator per expected result) | Baselines (values and years) | Targets (values and years) | Sources of data | Assumptions |
|------------------|---|---|---|---|---|--|
| Impact | To promote integrated development and capacity building of the African Union in line with the AU-EU partnership priorities. | 1. Annual GDP growth, disaggregated by AU Member States 2. Level of implementation of EU-AU Summit and Ministerial commitments | 1 TBD in the inception phase 2. TBD in the inception phase | 1 TBD in the inception phase 2. TBD in the inception phase | 1 UN SDGs reporting (or WB) 2. AU – EU Summit follow-up table and Ministerial follow-up report | <i>Not applicable</i> |
| Outcome 1 | Improve organisational performance and effectiveness of processes of the AU | 1.1 Percentage of AU Commission Departments and other AU bodies reporting annual updates on implementation of decisions 1.2 Budget Execution Rate of AU bodies 1.3. Percentage of long term staff in AU Commission (including on programmes), disaggregated by sex 1.3 Extent to which timelines of budget process are respected by AU | 1.1, 1.2, 1.3, TBD in the inception phase | 1.1, 1.2, 1.3 TBD in the inception phase | 1.1 and 1.2 AU official reporting 1.3 EU Delegation monitoring reports | The AU Reform and Agenda 2063 continue being priorities for AU Member States and relevant organs |

| | | | | | | |
|------------------|---|--|--|--|--|---|
| Outcome 2 | Improve policy frameworks relevant for the key EU-AU partnership priorities | <p>2.1 Number of policies and regulations on economic integration, digital, energy and other emerging priorities adopted by AU</p> <p>2.2 Level of implementation/ transposition/ application of AU policies by AU Member States</p> | 2.1 and 2.2 TBD in the inception phase | 2.1 and 2.2 TBD in the inception phase | 2.1 and 2.2 AU official reporting 2.2 MS official reporting | The identified areas continue being priorities for both the AU and EU and their Member States |
|------------------|---|--|--|--|--|---|

| | | | | | | |
|---------------------------------------|--|---|---|---|--|---|
| Outcome 3 | Strengthen effectiveness of monitoring and evaluation of the AU policies and programmes, as well as of the AU contribution to the EU-AU partnership | <p>3.1 Number of AU structures (Directorates, Departments, Divisions, Offices) applying Result based management and performance monitoring system</p> <p>3.2 Level of transposition/ application of Summits and Ministerial decisions</p> | 3.1 and 3.2 TBD in the inception phase | 3.1 and 3.2 TBD in the inception phase | 3.1 AU official reporting 3.2 AU – EU monitoring table, Summits and Ministerials reports | <p>The AU Reform continues being a priority for AU Member States and relevant organs</p> <p>The EU-AU Partnership remains a priority for both parties</p> |
| Outputs 1 related to Outcome 1 | <p>1.1 Enhanced institutional capacity of the AU in strategy development, planning, results-based coordination.</p> <p>1.2 Enhanced budget planning and coordination mechanisms, including trilateral mechanisms, administration and human</p> | <p>1.1.1 Status of development of Results-based Management plan that includes detail on alignment of management practices, IT (e.g. AMERT), capacity building, monitoring and QA).</p> <p>1.1.2 Number and type of staff having benefitted from capacity building initiatives or TA via</p> | <p>1.1.1 and 1.1.2 TBD in the inception phase</p> <p>1.2.1 TBD in the inception phase</p> | <p>1.1.1 and 1.1.2 TBD in the inception phase</p> <p>1.2.1 TBD in the inception phase</p> | <p>1.1.1 and 1.2.1 AU official reporting</p> <p>and 1.2.1 Programme progress report and monitoring reports</p> | <p>The AU Reform continue being a priority for MS and relevant organs</p> <p>The Partnership remains a</p> |

| | | | | | | |
|--|--------------------------------|--|--|--|--|---------------------------|
| | resources management of the AU | <p>the programme disaggregated by sex</p> <p>1.2.1 Number of consultations organised with support of the EU-funded intervention on One-AU budget process with relevant Stakeholders (AU Staff, AUMS, Development Partners)</p> | | | | priority for both parties |
|--|--------------------------------|--|--|--|--|---------------------------|

| | | | | | | |
|---------------------------------------|---|---|---|---|---|--|
| Outputs 2 related to Outcome 2 | <p>2.1 Enhanced capacity and policy making of the African, in particular AU-related, stakeholders in the global internet governance.</p> <p>2.2 Supported AfCFTA implementation and the validation of recommendations for the next steps of Abuja Treaty (Custom Union and Single Market).</p> <p>2.3 Supported African Single Electricity Market Readiness (including technical, regulatory and operations readiness), liberalisation and utility restructuring.</p> <p>2.4 Supported policies of the African Union in emerging AU EU priorities .</p> | <p><u>Digital</u></p> <p>2.1.1 Number of sectoral Digital Transformation Strategies (DTS) adopted by AU with support from the EU-funded intervention</p> <p><u>Economic integration:</u></p> <p>2.2.1 Number of countries with AfCFTA National Strategies validated with support from the EU-funded intervention</p> <p><u>Energy</u></p> <p>2.3.1 Level of Harmonisation of regional rules, regulations, and (cross-border transmission tariff) methodologies following support from the EU-funded intervention</p> <p>2.3.2 Level of readiness, disaggregated by area (tech., regulatory, liberalisation) and country/REC following</p> | 2.1.1 to 2.4.1 TBD in the inception phase | 2.1.1 to 2.4.1 TBD in the inception phase | <p>2.1.1 AU (AUC, AUDA-NEPAD and AU MS) reporting on digital agenda</p> <p>2.2.1 AU (AfCTA Secretariat, AUC, AUDA-NEPAD and AU MS) reporting on AfCTA.</p> <p>2.3.1 AU (AUC, AUDA-NEPAD and AU MS), reporting on Single Electricity Market (SEM)</p> <p>2.4.1 AUC monitoring and reporting, AU Summit Agendas and Decisions</p> | The identified areas continue being priority for both the AU and EU and MS |
| | | | | | | |

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|--|--|---|--|--|--|--|
| | | <p>support from the EU-funded intervention</p> <p><i>Other priorities</i></p> <p>2.4.1 Number of policies in emerging priorities developed with support of the EU-funded intervention</p> | | | | |
|--|--|---|--|--|--|--|

| | | | | | | |
|---------------------------------------|---|--|---|---|--|--|
| Outputs 3 related to Outcome 3 | <p>3.1 Enhanced capacity of the AU on enforcement, results oriented M&E and reporting</p> <p>3.2 Supported capacity of the AU to report and monitor its contribution to the EU-AU Partnership</p> | <p>3.1.1 Number of Monitoring reports on AU Flagships developed and disseminated with support of the EU-funded intervention</p> <p>3.1.2 Number of Policy enforcement mechanisms developed with support of the EU-funded intervention</p> <p>3.2.1 Status of Design of a monitoring tool for EU-AU Summit and Ministerial commitments implementation</p> | 3.1.1 to 3.2.1 TBD in the inception phase | 3.1.1 to 3.2.1 TBD in the inception phase | <p>3.1.1 AU official reporting and monitoring reports</p> <p>3.1.2 AU and AUMS reports</p> <p>3.2.1 Partnership monitoring table (or similar) and Summit and Ministerial documents</p> | <p>The AU Reform continue being a priority for MS and relevant organs</p> <p>The Partnership remains a priority for both parties</p> |
|---------------------------------------|---|--|---|---|--|--|

4 IMPLEMENTATION ARRANGEMENTS

4.1 Financing Agreement

In order to implement this action, it is envisaged to conclude a financing agreement with the AUC.

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 **42 months** from the date of entry into force of the financing agreement.

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 Budget Support Component

Not applicable

4.4 Implementation Modalities

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

4.4.1 Direct Management (Grants)

Grants: (direct management)

(a) Purpose of the grant(s)

The grant will contribute in achieving the whole scope of the Action.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because the African Union Commission is a body with de jure monopoly according to Article 195 c) of the Financial Regulation 2018/1046, to coordinate the AU, having the received the mandate to be the AU's Secretariat and undertake the day to day activities of the Union, according to Article 20 the AU Constitutive Act of 11/07/2000. In particular AUC functions, include: a) Representing the AU and defending its interests under the guidance of and as mandated by the Assembly and the Executive Council; b) Initiating proposals to be submitted to the AU's organs as well as implementing decisions taken by them c) Acting as the custodian of the AU Constitutive Act and all other OAU/AU legal instruments; d) Liaising closely with the AU organs to guide, support and monitor the AU's performance to ensure conformity and harmony with agreed policies, strategies, programmes and projects; e) Providing operational support for all AU organs; f) Assisting Member States in implementing the AU's programmes; g) Drafting AU common positions and coordinating Member States' actions in international negotiations; h) Managing the AU budget and resources; i) Elaborating, promoting, coordinating and harmonising the AU's programmes and policies with those of the Regional Economic Communities (RECs); j) Ensuring gender mainstreaming in all AU programmes and activities; k) Taking action, as delegated by the Assembly and Executive Council.

Considering the current status of the African Union Commission, a contribution agreement will be signed, including Annex IIb - Provisions only applicable to a Contribution agreement resulting from the award of a grant without a call for proposals.

4.4.2 Direct Management (Procurement)

A contract for the achievement of specific objectives 1, 2 and 3 of the action is foreseen. The procedure foresees the procurement of expertise for short term support, capacity building, trainings and other assignment required for the achievement of the objectives identified.

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

Regarding the preferred modalities described in 4.4.1, subject to a positive result of the pillar-assessment, the Commission will give priority to implement the action in Indirect management with the AUC which will be selected by the Commission's services using the following criteria: i) The AU is one of the key policy and strategic interlocutors in Africa and Africa is one of the main targets of the Global Gateway strategy; ii) AUC is the Secretariat of the AU hence tasked to coordinate the functioning of the Organisation and its organs and to manage and redistribute funds to other AU bodies.

This implementation modality will cover objectives 1, 2 and 3.

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.

4.6. Indicative Budget

| Indicative Budget components | EU contribution (amount in EUR) |
|---|--|
| Implementation modalities – cf. section 4 | |
| Objective 1, 2 and 3 composed of | 20 000 000 |
| Grants (direct management) - cf. section 4.4.1 | 18 000 000 |
| Procurement (direct management) – cf. section 4.4.2 | 2 000 000 |
| Grants – total envelope under section 4.4.1 | 18 000 000 |
| Procurement – total envelope under section 4.4.2 | 2 000 000 |
| Evaluation – cf. section 5.2 Audit – cf. section 5.3 | may be covered by another Decision |
| Contingencies | N/A |
| Totals | 20 000 000 |

4.7 Organisational Set-up and Responsibilities

Day to day management

Regarding operational day-to-day management of the Action, this will be discussed with the AUC to identify the most appropriate solution, including ensuring that key relevant AU actors are appropriately involved. Management should however lie in the relevant offices tasked to the overall coordination of the AUC, including in its AU secretariat role, of the management of cooperation / relations with international partners and of relevance for the EU-AU Partnership dialogue. All communication related to this Action will be made through the AUC Chairperson (through his Chief of Staff) office and the Director-General, with the AUC Deputy Chairperson office in copy.

Several AU Departments and stakeholders are also expected to have roles in the set-up, such as the Office of the Director General (as mentioned above), and possibly key AUC Service Departments and other AU bodies

(AfCFTA secretariat, AUDA NEPAD etc) as part of ad-hoc task forces/working groups to identify and address key bottlenecks in ensuring a quality implementation support environment/service from AUC service departments.

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.

Steering Committee

A programme steering committee will be set up for the strategic orientation of the programme and will meet at least once a year. The terms of reference of the steering committee will be agreed by both parties. The steering committee shall be composed of representatives of the AUC (Chief of Staff, DCP office, DG office, relevant AUC Departments), Representatives of other AU bodies involved in the implementation, Representatives of the EU Delegation to the AU, Others, if necessary, as observers.

Policy dialogue

Regular policy dialogues meetings with relevant representatives of the AU, EU and relevant stakeholders should also be organised at least once a year. At least 1 dialogue per year should take place for each of the 3 objectives of the action. The dialogues will also contribute assessing and discussed the action's results. The dialogue topics will be decided jointly. The TA might support the policy dialogues.

Contract component

The management of this component will be in line with the contract's requirements and under the responsibility of the EU Delegation. The TA might be requested to contribute to the above mentioned mechanisms.

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 (for project modality) and the partner's strategy, policy or reform action plan list (for budget support).

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: The data collecting and monitoring and reporting should be done as much as possible taking into account the set results, the AU strategic results and indicators arising from political and policy decisions, and partnerships key monitoring tools. Data from different countries will be collected using the AU tools and mechanisms. Indicators will be further refined at description of the action phase. While the AMERT will remain a key tool for monitoring and evaluation, the AUC should have the responsibility to refine the tool and/or the produced report in order to focus on objectives and outcomes and not merely on activities. Baseline and endline data will be collected using the AU data mechanisms as well as with the support of external TA.

5.2 Evaluation

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

The mid-term evaluation will be carried out for problem solving and learning purposes, in particular with respect to effectiveness in accelerating institutional strengthening and reform, and its value-added contribution to the AU-EU Partnership

The final evaluation, will be carried out for accountability and learning purposes at various levels, for the above-mentioned purposes of the MTE, and in identifying results and impact of support to the AU-EU priorities, the effectiveness of the Action's innovations and relevant learning for any potential follow-up action.

For each evaluation, the Commission shall inform the implementing partner at least 1 month 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.

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

5.3 Audit and Verifications

Given the nature of the action, provision for Audit and Verifications for this action or its components is not necessary.

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 Intervention (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:

- 3 Articulating Actions or Contracts according to an expected chain of results and therefore allowing them to ensure efficient monitoring and reporting of performance;
- 4 Differentiating these Actions or Contracts from those that do not produce direct reportable development results, defined as support entities (i.e. audits, evaluations);
- 5 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:

| | | |
|--|----------------------|---|
| Action level (i.e. Budget Support, blending) | | |
| <input checked="" 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 | |
| Contract level | | |
| <input type="checkbox"/> | Single Contract 1 | |
| <input type="checkbox"/> | Single Contract 2 | |
| 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"/> | Group of contracts 1 | |