



This action is funded by the European Union

ANNEX 3

of the Commission Decision on the Annual Action Programme 2015 in favour of the Republic of Namibia to be financed from the 11th European Development Fund

Action Document for Technical Cooperation Facility

1. Title/basic act/ CRIS number	Technical Cooperation Facility CRIS number: NA/FED/038-152 Financed under the 11 th European Development Fund (A envelope)			
2. Zone benefiting from the action/location	Namibia The action shall be carried out at the following location: nationwide			
3. Programming document	11 th EDF National Indicative Programme 2014-2020 and the Joint EU Response Strategy for Namibia 2014-2016/17			
4. Sector of concentration/ thematic area	Multi-sector Aid			
5. Amounts concerned	Total estimated cost: EUR 1.5 million (2% of NIP) Total amount of EDF contribution EUR 1.5 million			
6. Aid modality(ies) and implementation modality(ies)	Project Modality Indirect management with the Republic of Namibia			
7. DAC code(s)	43010 - Multisector aid			
8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	×
	Aid to environment	×	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	×	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	×	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	×	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	×	<input type="checkbox"/>	<input type="checkbox"/>

	Combat desertification	×	□	□
	Climate change mitigation	×	□	□
	Climate change adaptation	×	□	□
9. Global Public Goods and Challenges (GPGC) thematic flagship	N.A.			

SUMMARY

The 11th EDF National Indicative Programme (NIP) for Namibia has allocated an amount of EUR 6 million for support measures of which EUR 1.5 million is for a Technical Cooperation Facility. This Technical Cooperation Facility will be used to support the preparation and the implementation of the actions financed under the 11th EDF, support implementation of the 10th EDF which is still on-going, and eventually a mid-term review of the NIP for Namibia.

1 CONTEXT

1.1 Country context

Since its independence in 1990, Namibia has attained upper middle-income status with a Gross Domestic Product per capita of USD 5 807 (2013, Namibia National Accounts). However, this figure hides considerable disparities, as reflected by a Gini Coefficient of 0.5971 (Namibia Household Income and Expenditure Survey: 2009/2010). Despite determined poverty alleviation programmes, poverty and inequality remain prominent features of the Namibian society, especially in rural communal areas and is fuelling migration to the country's city and major towns, which in turn increases urban poverty.

Namibia has a well-articulated vision to address these development challenges. This is set at the Vision 2030 document which is further developed through National Development Plans (five year plans). The current National Development Plan 4 (NDP4) is due to run until 2016/2017 so the preparation of the fifth National Development Plan will commence soon. Whereas Namibia has made considerable progress since gaining independence in 1990 and is now an upper-middle income country, capacity constraints in the country's public sector remain an issue and an obstacle for a more effective and efficient implementation of national plans and sector strategies.

1.1.1 Public Policy Assessment and EU Policy Framework

The programming exercise for the 11th European Development Fund (EDF) has been guided by aid effectiveness principles, the EU Agenda for Change and the NDP4 of Namibia, which sets out three over-arching goals: higher economic growth, job creation and increased income equality. In line with the objective of enhancing the effectiveness and impact of European development cooperation, the European Union (EU) and EU Member States present in Namibia (Germany, Finland, France, Portugal, Spain and the United Kingdom) have agreed on a joint EU Response Strategy in March 2013 covering the period 2014-16/17. This joint strategy has guided the preparation of the National Indicative Programme (NIP) and the identification and formulation of actions to be financed under the 11th EDF. These concentrate in two focal areas: Education and Vocational training; and Agriculture. They have been

identified based on Namibia's needs, and own resources, and on the EU's comparative advantage and experience. Further allocation has been set aside for: supporting the capacity of civil society organisations to engage as an effective partner, technical Cooperation Facility (TCF) and support to the Office of the National Authorising Officer (NAO).

The EU Member States are providing varying levels of financial and technical assistance to Namibia. Financial support is also received under the United Nations Partnership Framework (2014-18). The United States President's Emergency Plan for Aids Relief will continue to provide support until 2015/16. Official Development Assistance (ODA) is also received from the World Bank, Japan and China amongst others. While diminishing levels of ODA represent a reduced percentage of the Government's overall budget, ODA continues to be very significant when viewed in the context of the Namibian Government's development budget.

1.1.2 Stakeholder analysis

The main stakeholders include the NAO/National Planning Commission (NPC), sector ministries and agencies concerned with the preparation and implementation of the 11th EDF.

1.1.3 Priority areas for support/problem analysis

Past experiences and various evaluations confirmed that the Namibian government is facing difficulties to implement and manage complex public programmes. External assistance should be mobilised to assist the Namibian government to prepare the envisaged interventions in a timely manner and to ensure that critical issues are addressed through short to medium technical assistance including facilitation of conferences, seminars and workshops.

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Non-availability of short-term technical assistance	M	Terms of reference will be prepared and assignments will be monitored continuously. Requests for services should be issued early enough to ensure the availability of experts.
Inadequate ownership of the technical assistance provided	M	Regular dialogue with NAO, sector ministries and agencies in the management and implementation of actions and also in view to enhance demand-driven technical assistance.
Capacity building support undermined due to the departure of trained staff.	M	This risk is to be mitigated by involving concerned bodies at both institution and individual levels. The programme in support of the NPC/NAO will develop durable and streamlined systems.
Assumptions		
The political and economic stability of the country is preserved and the public management of financial resources continues to improve.		

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The TCF was already used under the 9th and the 10th EDF. It proved to be a flexible instrument to address issues relating to the technical capacity of the NAO. Experience has shown that the more precise and realistic the outputs are defined the better the result. As often a Framework Contract Procedure will be used to mobilize the Technical Assistance, it is crucial to also define precisely the requirements for the experts and to give companies sufficient lead time to identify them.

3.2 Complementarity, synergy and donor coordination

This project will contribute to strengthen technical capacity in a broad range of interventions throughout the government. Complementarity with all the interventions foreseen for the programming period 2014-2020 exists in the sense that the TCF will be mainly used to finance ad hoc technical assistance and to prepare future activities in the focal sectors of the 11th EDF NIP. The assistance provided would augment both support and capacity building measures where these cannot be provided within specific projects themselves. The 11th EDF NIP is fully aligned with the Namibian NDP4 and with the EU's Agenda for Change. Therefore the programme will also benefit the implementation of the national development strategy. The EU support to the NAO/ NPC foreseen under the 11th EDF is also complementary to this action although addressing longer term capacity needs.

The NPC is the leading institution charged with setting national priorities and directing national development. The Director General (NAO), appointed by the President is the principal adviser to the President on economic planning. The NAO continues to play a key role in donor coordination under NDP4 as it has been the case with all the previous NDPs. The EU Delegation engages monthly with EU Members States at the levels of the Head of Missions and Heads of Cooperation.

3.3 Cross-cutting issues

The short-term expertise to be provided will address crosscutting issues, in particular those referred to in the NIP and the National Development Plan such as gender, environment, governance and human rights whenever required.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The overall objective of the TCF is to support the Government to attain its objectives as described in its National Development Plan (NDP4) and in particular to assist the preparation and the implementation of the actions financed under the 11th EDF and those of the 10th EDF which are still on-going, and to review the NIP for Namibia if needed.

The specific objective is to provide short to medium term technical assistance for preparatory studies, analyses and other requested reports, as well as to facilitate the organisation of seminars, trainings and workshops.

In particular but not exclusively, emphasis will be given among others to: the focal sectors of education and agriculture under the 11th EDF NIP as well as the support measures for civil

society; additional/complementary funding which should be available during the programming period of reference; taking advantage of the opportunities offered by cooperation with the private sector and of deepening regional cooperation and trade issues, including the EU- Southern African Development Community (SADC) Economic Partnership Agreement.

The main results will be:

1. Strengthened technical capabilities of government including the office of the NAO, in support of the formulation and implementation of the EU-Namibia development cooperation programme;
2. Timely and cost-effective implementation of the actions financed under the 10th EDF and to be financed under the 11th EDF are ensured,

4.2 Main activities

The main activities foreseen under the TCF will be the following:

(i) to assist with preparatory work and facilitation of seminars, trainings and workshops. The activity which could be financed include, but are not limited to, seminars, meetings in preparation of new initiatives, participation by stakeholders in international meetings/seminars or inclusive hands-on training on development of project/programme content, prior to or during the formulation of a project or programme identified for inclusion i.e. in the 11th EDF NIP, SADC RIP or continental programme like the Infrastructure Trust Fund.

(ii) to provide short to medium term technical assistance for the identification and formulation of future actions financed under the 11th EDF, and/or for the completion of on-going actions financed under the 10th EDF and other EU programmes supporting and complementing the NDP4. Typical activities will include among others: feasibility studies, facilitation of dialogue with stakeholders and partners through workshops and pilot initiatives, assistance for the national development agenda i.e. this could also include support for the NDP mid- and end-of-term reviews.

4.3 Intervention logic

The TCF under the 11th EDF will mainly be used to finance *ad hoc* technical assistance to counterparts in the Government and to prepare future activities in view of achieving the results under 4.1.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is foreseen to conclude a financing agreement with the partner country, referred to in Article 17 of Annex IV to the ACP-EU Partnership Agreement.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of entry into force of the financing agreement.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute non-substantial amendment in the sense of Article 9(4) of Regulation (EU) 2015/322.

5.3 Implementation modalities

5.3.1. Indirect management with the partner country

This action with the objective of facilitating technical cooperation during EDF 11 implementation, may be carried out in indirect management with the Republic of Namibia in accordance with Article 58(1)(c) of the Regulation (EU, EURATOM) No 966/2012 applicable by virtue of Article 17 of Regulation (EU) 2015/323 according to the following modalities:

The partner country will act as the contracting authority for the procurement procedures. The Commission will control ex ante all the procurement and grant procedures.

Payments are executed by the Commission.

In accordance with Article 190(2)(b) of Regulation (EU, Euratom) No 966/2012 and Article 262(3) of Delegated Regulation (EU) No 1268/2012 applicable by virtue of Article 36 of Regulation (EU) 2015/323 and Article 19c(1) of Annex IV to the ACP-EU Partnership Agreement, the partner country shall apply procurement rules of Chapter 3 of Title IV of Part Two of Regulation (EU, Euratom) No 966/2012. These rules, as well as rules on grant procedures in accordance with Article 193 of Regulation (EU, Euratom) No 966/2012 applicable by virtue of Article 17 of Regulation (EU) 2015/323, will be laid down in the financing agreement concluded with the partner country.

5.4 Scope of geographical eligibility for procurement and grants

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

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 22(1) (b) of Annex IV to the ACP-EU Partnership Agreement on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.5 Indicative budget

	EU contribution (amount in EUR)
1. Technical assistance	1 320 000
2. Audit	50 000
3. Contingency	130 000
Total	1 500 000

5.6 Organisational set-up and responsibilities

With the signature of the financing agreement with the NAO for Namibia the overall responsibility for the implementation of the programme lies with the NAO.

5.7 Performance monitoring and reporting

This project is mainly contributing to finance ad hoc technical assistance to counterparts in the Government and to prepare future activities, and to assist with the implementation of on-going actions. Main performance criteria are the timely provision of quality inputs required for the preparation of new interventions such as reviews and formulation missions. Criteria are predominantly quality oriented and based on the judgement whether results of studies did provide meaningful inputs to the technical assistance and the preparation of activities.

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

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

5.8 Evaluation

Having regard to the nature of the action, evaluations will not be carried out for this action via independent consultants. In case an evaluation is not foreseen, the Commission may, during implementation, decide to undertake such an evaluation for duly justified reasons either on its own decision or on the initiative of the partner.

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

5.9 Audit

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

Indicatively, two contracts for audit services shall be concluded under a framework contract in 2021.

5.10 Communication and visibility

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget foreseen in the individual contracts.

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

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

Visibility activities will be undertaken as part of the service contracts awarded under this Decision.

APPENDIX - INDICATIVE LOGFRAME MATRIX

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

	Intervention logic	Indicators	Baselines (2015)	Targets (2020)	Sources and means of verification	Assumptions
Overall objective: Impact	EU support contributes to the achievement of the Government development objectives.	% of the desired outcomes of the NDP are met.	0%	100%	Government evaluation and reporting system (MTR and evaluation of NDP4)	
Specific objective: Outcome	EU programmes are well designed and their implementation is ensured.	% of EU projects and programmes being implemented fully and timely	60%	100%	Minutes of the QSG Minutes of bi-lateral meetings and iQGS	EDF funding for actions is available on time.
Outputs	The capacity of NAO and government institutions to formulate and implement actions is enhanced through technical assistance.	% of approved EU actions which are implemented successfully	n/a	70% of programmes with A or B ROM scores	Reports and other feedback provided by the EU Delegation and the Government of Namibia. Reports produced by Government of Namibia and EU Delegation Reference made to lessons learned in new project documents.	Qualified consultants and technical experts are timely available and able to transfer knowledge