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## THIS ACTION IS FUNDED BY THE EUROPEAN UNION

### ANNEX

of the Commission Decision amending Commission Decision C(2019)8507 of 21.11.2019 on the financing of the annual action programme in favour of the Republic of Uganda

### Action Document for ‘Technical Support Programme 2 (TSP2)’

|  |   |                                   |                                  |                                |
|--|---|-----------------------------------|----------------------------------|--------------------------------|
| <b>1. Title/basic act/<br/>CRIS number</b>                   | Technical Support Programme 2 (TSP2)<br>CRIS number: UG/FED/041-780<br>financed under the 11 <sup>th</sup> European Development Fund (EDF)  |                                   |                                  |                                |
| <b>2. Zone benefiting<br/>from the<br/>action/location</b>   | Republic of Uganda<br>The action shall be carried out at the following location: Republic of Uganda.  |                                   |                                  |                                |
| <b>3. Programming<br/>document</b>                           | National Indicative Programme (NIP) 2014-2020 for Uganda  |                                   |                                  |                                |
| <b>4. Sustainable<br/>Development Goals<br/>(SDGs)</b>       | Main SDG n°17 (Partnership for the goals), which in turn contributes to the success of all other SDGs.  |                                   |                                  |                                |
| <b>5. Sector of<br/>intervention/<br/>thematic area</b>      | Support measures  | DEV. Assistance: YES <sup>1</sup> |                                  |                                |
| <b>6. Amounts<br/>concerned</b>                              | Total estimated cost: EUR 10 887 329<br>Total amount of EDF contribution EUR: 10 887 329  |                                   |                                  |                                |
| <b>7. Aid modality and<br/>implementation<br/>modalities</b> | Project Modality<br><br><b>Direct management</b> through:<br>- procurement<br>- grants<br><br><b>Indirect management</b> with the Government of Uganda<br><br><b>Indirect management</b> with international organisations |                                   |                                  |                                |
| <b>8 a) DAC code(s)</b>                                      | 15110 (Public sector policy and administrative management) and 15111 (Public finance management)  |                                   |                                  |                                |
| <b>b) Main Delivery<br/>Channel</b>                          | 10000 – <i>Public Sector Institutions</i>   |                                   |                                  |                                |
| <b>9. Markers<br/>(from CRIS DAC)</b>                        | <b>General policy objective</b>   | <b>Not<br/>targeted</b>           | <b>Significant<br/>objective</b> | <b>Principal<br/>objective</b> |

<sup>1</sup> Official Development Assistance is administered with the promotion of the economic development and welfare of developing countries as its main objective.

|       |   |                                     |                              |                                     |
|-------|---|-------------------------------------|------------------------------|-------------------------------------|
| form) | 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"/>            |
|       | Trade Development   | <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"/>            |
|       | <b>RIO Convention markers</b>   | <b>Not targeted</b>                 | <b>Significant objective</b> | <b>Principal objective</b>          |
|       | 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"/>            |
|       | <b>10. Global Public Goods and Challenges (GPGC) thematic flagships</b> | N/A.                                |                              |                                     |

## SUMMARY

The action intends to contribute to Uganda's 'Vision 2040' and to the achievement of the SDGs by 2030. The EU contribution will mainly benefit the National Indicative Plan's focal sectors. The action will support the smooth transition from the 11<sup>th</sup> European Development Fund to the future Multiannual Financial Framework as well.

In order to ensure that the projects/programme within these focal sectors are smoothly, timely and successfully implemented, this action also aims to support the National Authorising Officer (NAO) (Ministry of Finance, Planning and Economy Development – MoFPED) in its coordinating and supervising role. Given MoFPED's role vis-à-vis the Development Partners, the action will also reinforce its ownership and capacities for policy dialogue for an effective aid delivery, in line with the Paris Declaration.

Finally, with the contribution of this action, the EU-Uganda partnership will receive due visibility.

Given the above context, a flexible approach will be adopted to achieve the intended objectives and results: suitable contracting modalities (service, supply, grant, programme estimate and contribution agreement) will serve the purposes of the various initiatives (studies, surveys, technical assistance, logistics support, projects, capacity building, etc.). Since the outbreak of the Covid-19 pandemic, the Government of Uganda has launched and implemented a 9-pillar health emergency response plan, including a number of containment measures and restrictions. While the measures put in place initially contributed to the containment of the disease, the socio-economic impact of Covid-19 will be significant.

Moreover, according to the World Health Organisation's Health Emergency Information and Risk Assessment report released on 26 August 2020, Uganda has seen a substantial increase in cases. Additional efforts will be needed to address the challenges in the short and medium term.

## 1 CONTEXT ANALYSIS

Unchanged.

## 2 RISKS AND ASSUMPTIONS

Unchanged.

## 3. LESSONS LEARNT AND COMPLEMENTARITY

Unchanged.

## 4 DESCRIPTION OF THE ACTION

### 4.1 Overall objective, specific objective(s), expected outputs and indicative activities

The **general objective** of the action is to support Uganda's progress towards the SDGs through the achievement of EU-Uganda cooperation goals.

The **specific objective** of the action is to support the successful completion of the 11<sup>th</sup> EDF projects/programmes (2014-2020) and to support the Government of Uganda (GoU) in the programming, identification and formulation of projects/programmes under the next Multiannual Financial Framework of development assistance and the third National Development Plan (2021-2025) of Uganda; and to support the GoU's Covid-19 response.

#### **Expected results:**

- Results 1: EU-Uganda development cooperation – Quality programming, implementation and monitoring of EU programmes is guaranteed.
- Result 2: Uganda-Development Partners policy dialogue – NAO capacity is reinforced in its partnership with Development Partners, in particular the EU.
- Result 3: Communication & Visibility – Visibility and awareness of the Uganda-EU partnership is increased.

#### **Indicative activities:**

Tentative activities to be implemented:

#### **Linked to Result 1 (Support to the EU-Uganda development cooperation):**

- Funding to the NAO for office operations in support of the efficient, effective and sustainable management of EU funds.
- Funding of the NAO Support Unit (staff, office costs, etc.)
- Financial, administrative and logistical support for participation of Ugandan experts and officials at national, regional and international capacity building events in sector specific and/or global issues.
- Financial, administrative and logistical support for the organisation of workshops, trainings, and other capacity building activities intended to Government of Uganda officials involved in EU projects/programmes.
- Short-term Technical Assistance and/or specific technical studies to contribute to the phases of the Project Cycle management for NIP projects/programmes.

- Short-Term Technical Assistance to support the transition to the next Multiannual Financial Framework.
- Short or long term Technical Assistance to the NAO for *ad hoc* needs.
- Initiatives implemented by a wide range of stakeholders and which complement the EDF projects/programmes.
- Initiatives implemented by a wide range of stakeholders and which support the GoU's Covid-19 response both in the short and longer term.
- *Facility* to fund logistics and administrative costs for one off events (conferences, seminars, trainings, gatherings, etc.).

**Linked to Result 2 (Support to the Uganda – Development Partners policy dialogue):**

- Short or long term Technical Assistance to the NAO for *ad hoc* needs.
- Financial, administrative and logistical support for participation of Ugandan officials/decision makers at national, regional and international events related to policy dialogue on EU related policies and partnerships with Uganda.
- Short-term Technical Assistance and/or specific studies to contribute to evidence-based policy and partnership dialogue.
- *Facility* to fund logistics and administrative costs for one off events (conferences, seminars, trainings, gatherings, etc.).
- Maintenance of the Aid Management Platform and support to enhance its use by the Development Partners.

**Linked to Result 3 (Communication & Visibility):**

- Technical, administrative and financial support for the implementation of communication activities to ensure the visibility of EU-Uganda partnership.

#### **4.2 Intervention Logic**

This action aims to *Support the EU-Uganda partnership* through ensuring that EU funded programmes and projects implemented by the Government of Uganda remain on track and are carried out in a manner that is in line with the different policy documents. The support also aims to ensure that the National Authorising Officer can reach out to other departments implementing EU-funded programmes/projects with the purpose of supporting the achievements of their respective objectives and respecting EU procedures. To this end, Results 1 and 2 will be achieved through a wide range of contractual tools: service, supply, grant contracts, Programme Estimate and contribution agreements.

The *Facility* is a suitable mechanism to respond, within a single contract, to a wide range of logistics needs to support the implementation of one-off events contributing to the achievement of the Actions results.

With regard to Communication and Visibility (C&V) experience has demonstrated that external support can significantly facilitate EU Delegation (EUD) reach out capacities and, above all, EUD rapid reaction to communication opportunities arising unexpectedly. C&V is indeed an area of intervention requiring a fast-track approach.

#### **4.3 Mainstreaming**

Unchanged.

#### **4.4 Contribution to Sustainable Development Goals (SDGs)**

Unchanged.

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

Unchanged.

### **5.2 Indicative implementation period**

Unchanged.

### **5.3 Implementation of the budget support component**

Unchanged.

### **5.4 Implementation modalities**

Unchanged.

#### ***5.4.1 Grants (direct management)***

(a) Purpose of the grant(s):

TSP 2 includes provision for grant contracts to support the EU to grasp opportunities likely to increase the chances to achieve the intended results of the EU-Uganda development cooperation, including policy dialogue on relevant sectors, visibility of the overall EU-Uganda partnership, and support to the GoU's Covid-19 response, both in the short and the longer term. Examples of action grants could be: such as short-term actions tailored to complement and/or expand projects/programmes in the NIP focal sectors; advocacy actions for policy reform in given sector; short terms projects ensuring high visibility to the EU.

The expected results of the action grants are:

- Impact and visibility of development cooperation projects/programmes in Uganda is boosted through the supplementary outcomes delivered.
- Policy dialogue is enriched by additional/complementing contributions.
- Enhanced GoU Covid-19 response.

(b) Type of applicants targeted:

A non-exhaustive list of potential applicants is as follows: Ministries, Departments, Authorities, Local Governments (MDALGs), parastatal institutions, civil society organisations, including private sector companies and/or organisations, non for profit national and international organisations/associations operating in socio-economic development, trade unions, research/academia entities, Business, Technical, Vocational Education and Training (BTVET) institutions, international organisations, etc., provided that the grant does not generate profit.

The following non-state actors are not eligible for a grant under TSP 2:

- Political organisations/associations/party/movements.
- Financing institutions.

#### ***5.4.2 Procurement (direct management)***

This concerns service and supply contracts for capacity building and studies under both Results 1 and 2, service contracts under Result 3.

#### ***5.4.3 Indirect management with an international organisation***

A part of this action may be implemented in indirect management with an entity which will be selected by the Commission's services using the following criteria: the organisation (i) is pillar assessed; (ii) has a clear mandate and proven experience related to the nature of the action to

be implemented; (iii) is not in a position of conflict of interests; (iv) provides a rapid response to emerging GoU's needs yet ensuring transparency and efficiency; (v) demonstrates an added value compared to other potential implementing partners with similar mandate and experience.

The implementation by this entity entails a significant contribution to the achievement of result 1 (EU-Uganda Development Cooperation).

The Commission authorises that the costs incurred may be recognised as eligible as of 1<sup>st</sup> September 2020 in case the implemented action is in support to the GoU's response to Covid-19.

#### ***5.4.4 Indirect management with the partner country***

Unchanged.

#### ***5.4.5 Changes from indirect to direct management mode due to exceptional circumstances***

If for circumstances outside of the Commission's control, the NAO or the international organisation cannot fulfil their role for indirect management as listed above in sections 5.4.3 and 5.4.4, it is proposed to follow procurement under direct management.

#### ***Procurement (direct management)***

| Subject   | Indicative type (works, supplies, services) | Indicative trimester of launch of the procedure |
|---|---|---|
| Support to the EU-Uganda development cooperation, including with the international organisation and the partner country | Services, supplies                          | Over entire duration of implementation          |
| Support to development partners policy dialogue, including with the partner country                                     | Services supplies                           | Over entire duration of implementation          |
| Communication & Visibility  | Services, supplies                          | Second half of the Action duration              |

#### **5.5 Scope of geographical eligibility for procurement and grants**

Unchanged.

## 5.6 Indicative budget

| <b>Implementation modality</b>   | <b>EU contribution (EUR)</b> |
|--|------------------------------|
| <b>5.4.1 Grants (Direct Management)</b>  | <b>2 187 329</b>             |
| <b>5.4.2 Procurement (Direct management)</b>   | <b>5 000 000</b>             |
| Services and Supplies to support to the EU-Uganda development cooperation and development partners policy dialogue | 4 000 000                    |
| Services and Supplies for Communication & Visibility   | 1 000 000                    |
| <b>5.4.3 Indirect management with international organisations</b>  | <b>150 000</b>               |
| <b>5.4.4 Indirect management with the partner country</b>  | <b>1 400 000</b>             |
| <b>5.9 Evaluation, 5.10 Audit</b>  | <b>1 200 000</b>             |
| <b>Contingency</b>   | <b>950 000</b>               |
| <b>TOTAL</b>   | <b>10 887 329</b>            |

The Indicative Budget per Results is presented in appendix 2.

### 5.7 Organisational set-up and responsibilities

Unchanged.

### 5.8 Performance and Results monitoring and reporting

Unchanged.

### 5.9 Evaluation

Unchanged.

### 5.10 Audit

Unchanged.

### 5.11 Communication and visibility

Unchanged.

## 6 PRE-CONDITIONS

Unchanged.

**APPENDIX 1- INDICATIVE LOGFRAME MATRIX**

|   | <b>Results chain:<br/>Main expected results (maximum 10)</b>   | <b>Indicators<br/>(at least one indicator<br/>per expected result)</b>   | <b>Sources of data</b>  | <b>Assumptions</b>                                |
|---|--|--|---|---|
| <b>Impact<br/>(Overall<br/>Objective)</b>   | To support Uganda’s progress towards the SDGs through the achievement of EU-Uganda cooperation goals   | Uganda SDG score higher than current 54.9; consequently Uganda ranked higher than current 125th (out 156 countries)  | SDGs Index and Dashboard  | <i>Not applicable</i>                             |
| <b>Outcome<br/>(Specific<br/>Objective)</b> | (a) To support the successful completion of the 11th EDF projects/programmes (2014-2020) and (b) to support the Government of Uganda in the programming, identification and formulation of projects/programmes under the next Multiannual Financial Framework of development assistance and the third National Development Plan (2021-2025) and c) to support GoU’s Covid-19 response. | (a.1) All 11 <sup>th</sup> EDF programmes/projects are completed<br><br>(a.2) EDF-funded projects managed by the Delegation flagged with green lights for Key Performance Indicators 5, 6 in the External Aid Management Reports: at least 90 %<br><br>(b) Annual Action Programmes 2020-2025 are approved and implemented | 11 <sup>th</sup> EDF programmes/projects final reports and evaluations<br><br>NIP monitoring framework, final report and evaluation | Uganda remains a stable country                   |
| <b>Output/ Result<br/>1</b>                 | Quality programming, implementation and monitoring of EU programmes is guaranteed  | 60 % of 11 <sup>th</sup> EDF of projects/programmes completed on schedule<br><br>11 <sup>th</sup> EDF payments are made in due time, KPI 10: at least 85%<br><br>80% of staff involved in  | 11 <sup>th</sup> EDF programmes/projects final reports  | Political commitment to the EU-Uganda partnership |

|                         |   |   |   |   |
|-------------------------|---|---|---|---|
|                         |   | EDF project/programmes trained in EDF procedures<br>Next Multiannual Financial Framework programming is successfully completed in each year of the Action operational duration.<br>Improved global gender gap index rating for Uganda |   |   |
| <b>Output/ Result 2</b> | NAO capacity is reinforced in its partnership with Donor Partners, in particular the EU | 80 % of overall Official Development Assistance reported through Annual Management Platform<br>National budgets of each year of operational implementation developed using reliable external aid data                                 | Aid Management Platform (AMP) database<br>National budgets  | Government of Uganda and LDPG commitment to collect effectively and reliably data on external aid |
| <b>Output/ Result 3</b> | Visibility and awareness of the Uganda-EU partnership is increased                      | 80% of EDF projects' visibility plans successfully implemented<br>Indicators of the EUD Information and Communication annual reports and forward planning achieved  | EDF project/programmes reports on C&V<br>Information and Communication annual reports and forward planning<br>Perception surveys on the image of the EU in Uganda | Sufficient financial and human resources are mobilised to implement C&V activities                |

**APPENDIX 2 – INDICATIVE BUDGET PER RESULTS**

| <b>Budget item</b>  | <b>EU contribution<br/>(amount in EUR)</b> |
|---|--|
| <b>Results 1: EU-Uganda development cooperation</b> – Quality programming, implementation and monitoring of EU programmes is guaranteed.                  |  |
| 1.1 Programme Estimate (indirect management)  | 1 000 000                                  |
| 1.2 Services, Supplies (direct management)  | 3 800 000                                  |
| 1.3 Grants (direct management)  | 2 187 329                                  |
| 1.4 Contribution agreements (indirect management)   | 150 000                                    |
| <b>Result 2: Uganda – Development Partners policy dialogue</b> – NAO capacity is reinforced in its partnership with Donor Partners, in particular the EU. |  |
| 2.1 Programme Estimate (indirect management)  | 400 000                                    |
| 2.2 Services, Supplies (direct management)  | 1 200 000                                  |
| <b>Result 3: Communication &amp; Visibility</b> – Visibility and awareness of the Uganda-EU partnership is increased (direct management)                  | 1 000 000                                  |
| <b>Evaluation and Audit</b> (direct management)   | 1 200 000                                  |
| <b>Contingency</b>  | 950 000                                    |
| <b>TOTAL</b>  | <b>10 887 329</b>                          |