



This action is funded by the European Union

ANNEX 9

of the Commission implementing Decision on the Annual Action Programme 2015
of the DCI Pan-African Programme

Action Document for the African Union Support Programme III

INFORMATION FOR POTENTIAL GRANT APPLICANTS

WORK PROGRAMME FOR GRANTS

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following sections concerning grants awarded directly without a call for proposals: 5.4.1.)

1. Title/basic act/ CRIS number	African Union Support Programme III (AUSP III) CRIS number: DCI/PANAF/038-506 financed under the Development Cooperation Instrument
2. Zone benefiting from the action/location	Pan-African The action shall be carried out at the following location: Africa
3. Programming document	Pan-African Programme Multi-Indicative Annual Programme 2014-2017
4. Sector of concentration/ thematic area	Priority Areas 2, 3, 4 and 5 of the Joint Africa-EU Strategy Roadmap
5. Amounts concerned	Total estimated cost: EUR 52 800 000 Total amount of EU budget contribution: EUR 45 150 000 This action will be co-financed in joint co-financing by the African Union: EUR 7 650 000 The contribution is for an amount of EUR 5 081 328 from the general budget of the European Union for 2015 and for an amount of EUR 40 068 672 from the general budget of the European Union for 2016 subject to the availability of appropriations following the adoption of the relevant budget.
6. Aid modality and implementa- tion modality	Project Modality Grants (direct management-direct award) and procurement of services
7. DAC code(s)	15110 - Public sector policy and administrative management

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"/>	x
	Aid to environment	<input type="checkbox"/>	x	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	x	<input type="checkbox"/>
	Trade Development	x	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	x	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	x	<input type="checkbox"/>	<input type="checkbox"/>
	9. Global Public Goods and Challenges (GPGC) thematic flagships	NA		

SUMMARY

The African Union (AU) is the European Union's (EU) main political and institutional partner at Pan-African level. The AU, and in particular the African Union Commission (AUC), plays an essential role in a number of key areas, such as building peace and security across the continent, managing the continental integration process, coordinating the implementation of the Joint Africa–EU Partnership (The Partnership) as well as being an interlocutor on global issues. The Partnership is gaining momentum with a very positive outcome of the 4th Africa-EU Summit (April 2014) and the implementation on the Joint Africa-EU Strategy Roadmap 2014-2017.

The final evaluation of the first support package of EUR 60 million (African Union Support Programme I of which EUR 55 million came from the EU) confirms its high relevance - as a river of change - in terms of supporting the institutional and administrative capacity within the African Union organs. This flagship programme has also been the key instrument in supporting the African Union in the implementation of the Joint Africa-EU Strategy (JAES) since 2007 and in advancing the AU reform agenda through the EU-AU policy dialogue.

The current programme (African Union Support Programme II with an EU contribution of EUR 30 million) builds on the objectives of its predecessor. It has been in place since January 2014 and will end sooner than foreseen due to progress in the absorption rate and the use of funds to support the AU's response to the Ebola outbreak.

The African Union Support Programme III will have two main results:

- Result 1: Enhanced EU-AU policy dialogue and efficiency in the performance of the African Union Commission;
- Result 2: Effective implementation of the JAES Roadmap 2014-2017 by the African Union Commission.

The implementation of this action will feed into the monitoring of the JAES Roadmap with the presentation of deliverables at the next Africa-EU Summit in 2017.

1 CONTEXT

1.1 Sector/Country/Regional context/Thematic area

1.1.1 Public Policy Assessment and EU Policy Framework

The African Union Commission (AUC) Strategic Plan 2014-2017 was endorsed by the May 2013 AU Summit and identifies the following five pillars): 1) Peace and Security; 2) Social, Economic and Human Development; 3) Integration, Cooperation & Partnerships; 4) Shared Values and 5) Institutions, Capacity Building and Communication. Within these five pillars, the African Union identifies 8 key areas that are result-oriented and with a strong focus on the expected impact. All AUC Departments have participated in the formulation of the Strategic Plan.

‘Agenda 2063: The Africa We Want - A Shared Strategic Framework for Inclusive Growth and Sustainable Development & A Global Strategy to Optimize the Use of Africa’s Resources for the Benefit of all Africans’, covering a period of 50 years, was approved at the AU January 2015 Summit with a 10-year Implementation Plan. The document, prepared in close collaboration between the AU, the African Development Bank (AfDB) and the United Nations Economic Commission for Africa (UNECA), examines economic, demographic and social trends across Africa and proposes long-term policy responses. The AUC should play a key role in the co-ordination of Agenda 2063 flagship initiatives/programmes and in its progress monitoring.

The AUC finds itself confronted with several immediate challenges. To be able to deliver on its ambitious objectives, the AUC must address them simultaneously, i.e. (i) respond to multiple peace and security challenges; (ii) implement its own decisions; (iii) demonstrate its capacity to deliver results and, therefore, consolidate institutional reform, including in areas such as result-based management, budgeting and financial controls as well as human resources; (iv) define and implement a domestic resource mobilisation strategy in order to decrease its dependence on international partners. The AUC places a special emphasis on Africa's long-term development, both to address the root causes of conflict and poverty and to stimulate Africa's continental transformation to turn its economic and demographic trends into an advantage.

In the framework of the on-going AUC institutional reforms, the following objectives will be prioritised: i) accountability being enhanced; ii) performance and operational effectiveness being strengthened; iii) service departments being capable to better respond to key AU operational needs and iv) stakeholders' fund management improved. The AUC has made important progress in upgrading its financial management and is expected to be International Public Sector Accounting Standards (IPSAS) compliant in 2015 bringing the AU financial management up to internationally-accepted standards.

Recognising the political and institutional importance of the AUC in the African integration and reform agenda (e.g. Agenda 2063, the AUC Strategic Plan 2014-2017), the last EU-Africa Summit underlined its key role, as Secretariat of the AU, in boosting the EU-Africa Partnership at both political and operational level with the implementation of the JAES Roadmap.

The European Union in both the European Consensus on Development and in the Agenda for Change indicated the main priorities as : i) reducing poverty in a rapidly changing world; human rights, democracy and governance; iii) inclusive sustainable growth for human development; iv) partnerships and v) coordinated and improved coherence of the EU policy.

These joint AU-EU priorities are reflected in the Joint Africa EU Strategy Roadmap 2014-2017 adopted at the last EU-Africa Summit.

Stakeholder analysis

The AU has a wide range of stakeholders, first and foremost its Member States (54), Regional Economic Communities (RECs) but also African citizens.

To a very limited extent, the latter are represented by organised civil society and by other non-state actors (including private sector organisations). Other stakeholders include international organisations (particularly the United Nations and the EU), bilateral partners, etc.

The Assembly, Executive Council, Peace and Security Council and the Permanent Representatives' Committee (PRC) are the vehicles through which Governments of African Member States act.

The main challenge remains the relationship between the AUC, as Secretariat of the Union, and its Member States. Their political willingness to implement the AU decisions as well as to support the African Union Commission as the leader in policy making in an effective and sustainable manner are crucial success factors. The lack of (political, operational and financial) commitment and poor domestication (due to the lack of enforcement mechanisms) raise serious problems to the implementation of AU decision at national level.

Reaching out to the African constituency and ensuring the impact of its policies at national level is also a huge challenge for the AUC, which identified as a priority the need to "[...] strengthen a people-centered Union through active communication of the programs of the African Union, the branding of the Union and participation of Member States and other stakeholders in defining and implementing the African agenda" (priority no. 7 of the AUC Strategic Plan 2014-17).

1.1.2 Priority areas for support/problem analysis

The African Union Commission is a relatively young institution (2002), with an important mandate to foster African integration and peace and security (among others) on the continent.

The means at its disposal to achieve these objectives do however not necessarily match these ambitions. Besides the clear limitations deriving from AU Member States' various political interests, the AUC continues to rely heavily on partner funding. Contributions from its Member States cover its core operational (administrative) costs, though funding for AUC's activities and programmes in all sectors almost exclusively comes from European partners: approx. 80% of AUC's Programme budget is funded by the EU and its Member States.

Despite considerable progress in the last years, as indicated by the results of the last Pillar Assessment, there are still challenges to be addressed such as the ability to effectively design, coordinate and implement continental strategies while maintaining international standards of governance.

This also means that the work of AUC is largely programme-based, where 'short-term' staff positions and programme-related activities are funded by external sources. Unfortunately, programmes tend to be renewed or created without the existing level of capacity and activities being reviewed, thereby explaining AUC's structure and growth, mostly based on availability of partner support (example of the AU Peace and Security Department), though not always necessarily in line with its mandate. The AUC Strategic Plan for 2014-2017 and the drafting of the Agenda 2063 have greatly contributed to reinforce AU's strategic and longer term vision, but considerable shortcomings persist in planning processes despite the progress made.

In addition, AUC administrative and decision-making processes, which are at times even stricter and heavier than in other organisations, tend not to be systematically followed. A good example of this discrepancy between the rules and their implementation is the procurement system, which in addition was also the source of important ineligibles.

The AUC has recently launched a comprehensive reform agenda aiming at a substantial overhaul of all these aspects within the organisation. This reform process entails a streamlining of both capacity (especially short-term staff) and internal processes (administrative and others) meant to enhance efficiency in the functioning of the institution. This is expected to help maximise the impact of both AU Member States' and partners' investments by allowing AUC to be better able to deliver on its mandate and ambitions.

While the EU has and will continue to consistently support AUC's endeavors, it appears essential to ensure greater strategic focus on the support provided to AUC under this programme. It is therefore proposed that the EU support – in addition to supporting the reform agenda - fully reflects joint priorities as defined under the Africa-EU partnership. This will also help better align the content of the dialogue held between the two institutions at both political and technical level.

Clear objectives and results will therefore need to be developed before the launch of this programme for each of these joint priorities, *based on the results of the restructuring process*. In line with the 2014-2017 JAES Roadmap, the sectors concerned are: democracy, good governance and human rights; science, technology and innovation, higher education, mobility, migration and employment (human development); private investment, infrastructure and continental integration, agriculture, food security and safety (sustainable and inclusive development and growth and continental integration); climate change, environment and post-2015 development agenda (global and cross-cutting issues).

2 RISKS AND ASSUMPTIONS

RISK	RISK LEVEL	MITIGATION
The lack of political will of AU Member States to move forward with the adoption and implementation of the AUC restructuring and increase their funding to AUC Programme budget	H	Clear messages delivered at the highest level in the EU-AU political dialogue (diplomatic demarches, link with AUMS and EU Delegations in Africa) accompanied by the introduction of safeguards in the programme (decreasing support to staff) to foster the implementation of an AU Strategy on alternative resources of funding.
The absence of a clear results framework in relevant AU strategic documents for the design of this programme	M	Development of a specific results framework for this programme as necessary, derived from the JAES Road Map 2014-2017 and in line with AU's strategic priorities.
Persisting weaknesses in AUC operational framework (e.g., low execution rate and high level of ineligibles)	L	An AU Institutional/Pillar Assessment has been carried out in 2014, with an update expected to take place early 2016: its conclusions (i.e. accounting, procurement and sub-delegation) will be taken into account in the development of mitigating measures. The monitoring and evaluation framework for this programme will also be strengthened as necessary (in order to present deliverables in line with the JAES Roadmap).

ASSUMPTIONS

The main assumption is that AU Member States will pursue their African integration commitments. The process of African integration is in itself very complex, including the political, economic, social and cultural diversity of the continent, the reluctance to transfer powers from the national to the supra-national level together with the difficulties to put in place accountable, efficient and well-resourced institutions at the continental level, and the fragile situations in many African countries.

The other assumption is a stronger commitment of AU Member States (MS) to support the AUC as well as AUC commitment to demonstrate its capacity to deliver results and, therefore, to consolidate institutional reforms and an adequate resource mobilisation strategy in order to decrease its dependence on International Partners (IPs).

The alternative sources of financing schemes approved by the African Union in January 2015 should be reflected in the programming and budgeting, from 2016 onwards and pave the way towards a decrease of the IPs support.

As an exit strategy, both EU and AUC will jointly define annual benchmarks (gradual decrease of the EU annual support), taking into consideration the progress in the operationalisation of the AU decision related to the alternative sources of financing.

Both parties will ensure the promotion and communication about the partnership and deliverables achieved in line with the JAES, by developing and implementing the agreed communication plan.

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The African Union Support Programme (AUSP) has been the key support instrument to the African Union in the implementation of the Joint Africa-EU Strategy (JAES) since 2007. It has a unique strategic value in influencing the AUC reform agenda and driving change in the organisation. AUSP I ended on 31 December 2013 and the closure is foreseen in 2015. Its successor programme – AUSP II with an EU contribution of EUR 30 million - has been in place since January 2014 for a period of three years. It is expected to end by mid-2016 depending on the execution rate.

The final evaluation of the AUSP I confirms its high relevance in terms of supporting the institutional and administrative capacity within the AU organs. One of the areas where the AUSP I proved to be more effective and produced considerable results to-date is the Institutional Transformation Process (ITP). The AUSP I successfully supported the process of AUC compliance with the four-pillar assessment, the implementation of AU strategic plans and the formulation of key AU flagship initiatives/programmes. However, the sustainability of many of these initiatives/programmes is undermined by AU Member States' lack of political commitment and limited financial contribution. The evaluation indicates that implementation had been constrained by the lack of strategic focus and delays in the programming/budgeting and reporting as regards the Annual Work Plans.

Regarding the AU organs (particularly the African Commission on Human and People's Rights, the African Court on Human and People's Rights, the Pan African Parliament), the AUSP support has been essential for their capacity development. Future support to these organs will be covered under another action addressing challenges related to their specific mandate covering human rights and involving interactions with civil society organisations across the continent as well as their limited financial and human resources.

3.2 Complementary, synergy and donor coordination

Complementarity

The programme will focus on the implementation of the JAES Roadmap through the support provided to the AUC Strategic Plan, including AU flagship initiatives/programmes.

The programme will be complementary to the support provided by the EU to the AUC under the African Peace Facility that aims at capacity building of the Peace and Security Department and related services that implement the African Peace and Security Architecture (APSA) and peace support operations. For the first time, a harmonised approach will be followed for cross-cutting issues related to the administrative capacity building process, covering the staff and performance management.

The programme will be complementary to (i) other JAES Roadmap-related support projects implemented by the AU and other implementing partners (i.e. the Support to Election Observations and the African Union Research Grants II under the Pan-African Programme; Disaster Risk Reduction under the EDF Intra-ACP, etc); and (ii) the JAES Support Mechanism II.

Donor coordination

This programme, mainly aligned in the African Union Commission Programme Budget, will be complementary to the support provided to AU by other international partners through the African Union Partners Group (AUPG) - a forum for overall coordination/harmonisation and engagement with the AU on political and development issues.

The AUPG is divided into sub-groups following the pillars of the AUC Strategic Plan 2014-2017. The objective of the AUPG is to enhance donors' cooperation and harmonisation in their partnership with the AU. The EU is the lead donor for the Working Group on Peace and Security and it is very active in other groups.

In light of the Paris Declaration on Aid Effectiveness, the EU has signed three Joint Programming Arrangements (JPAs) for the period 2014-2017:

- 'Institutions, Capacity Building and Communication' (AUC Pillar V) – main platform to engage with the AU Reform Agenda with the lead of the Deputy Chairperson Office which is coordinating all the AUC Support Departments (Finance, Human Resources, Strategic Department) – Lead: Sweden
- 'Support to the Department of Political Affairs' with two specific envelopes: i) governance and ii) elections – Lead: UK
- 'Support to the Department of Trade and Industry' – Lead: USA

These JPAs simplify reporting mechanisms and align donor support with the partner organisation's budgetary and accountability systems and internal rules.

In addition, the EU signed two Joint Financing Arrangements (JFAs) to support the Peace and Security Department staff and the AU liaison offices in conflict and post conflict countries. Both JFAs are multi-donor.

In November 2014, the AUC launched a project, funded by the World Bank (USD 25 million), to strengthen the administrative potential within the AUC and to support it in the implementation of the continental transformation agenda.

Complementarities will also be sought with other partner organisations supporting the administrative capacity building processes such as the African Capacity Development Foundation and UNECA.

3.3 Cross-cutting issues

The programme will be aligned with the AUC Strategic Plan 2014-2017 and with the JAES Road Map 2014-2017, where gender (including the fight against Female Genital Mutilation) and youth are cross-cutting issues. Furthermore, special attention will be paid to communication (internal and external) to ensure the visibility of the Joint Africa-EU Partnership.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The overall objective of the programme is to support the deepening of African integration and sustainable development as foreseen in the vision and mission of the African Union (AU).

The specific objective of the programme is to support the African Union Commission (AUC) in establishing and maintaining the institutional and management capacity to timely, effectively and efficiently deliver on its own strategies contributing to the JAES Roadmap implementation.

The key results of the programme will be:

- Result 1: Enhanced EU-AU policy dialogue and efficiency in the performance of the African Union Commission;
- Result 2: Effective implementation of the Joint Africa-EU Strategy Roadmap 2014-2017, mainly, through the African Union flagship initiatives/programmes.

Both results (Result 1 and 2) are strongly interlinked: enhanced AUC efficiency will facilitate an effective implementation of the JAES Roadmap. Through the support provided to the AU flagship initiatives/programmes – embedded into Agenda 2063 - which are in line with the JAES Roadmap, the AUC performance and visibility as well as its role in the implementation of the Africa-EU Partnership will be further strengthened.

4.2 Main activities

For result 1:

The main objective is to strengthen the policy dialogue between EU and the AUC as well as to increase performance and accountability against the results agreed to be achieved within this programme.

The AUC has recently embarked on a restructuring process to align its existing structure and resources with its needs to better deliver i.e. to improve effectiveness and demonstrate the results achieved. The AU Member States, through the Permanent Representatives Committee (PRC), share the concerns of International Partners (IPs) and have been strongly advocating for reforms and enhanced performance of the AUC. This is, therefore, a unique opportunity to engage in a trilateral dialogue on these issues: AUC/AUMS and IPs.

The main entry points for this type of exchanges under the AUSP III remain the support to the staff and the results framework for each sector or department that would need to be strengthened. The EU currently supports 150 ('short term') posts, with discrepancies between the support provided to the Peace and Security Department (PSD) (around 90 under the African Peace Facility) and other AU Departments (around 60 under the current AUSP II). It has been actively involved in a policy dialogue on performance and sustainability of the existing resources, though only with the Peace and Security Department (PSD).

There is a strong will from the AU to rationalise its resources and to set up an AU-wide platform for performance dialogue (mirroring the PSD experience) across all AU Departments. Such a platform would be an excellent opportunity to better understand their reform plans and mobilise timely the partners' support, as necessary, whether it relates to Result-Based Management,

planning/budgeting/reporting or further assessment exercises/studies to finalise the reforms. Within this process, the development of policy criteria for the partners' support to the AUC staff as well as for the absorption of off-budget technical assistance support (i.e. Backbone strategy) is paramount and could be considered as a pre-requisite.

International Partners have expressed an interest in such a coordinated approach, as it would enhance their leverage with the AU through the definition of common positions on horizontal capacity development matters. It would give the EU, as main partner in this area, a unique opportunity to be proactively involved in this dialogue with the AUC.

Operationally, the programming of the support to the AU staff will be done together with the African Peace Facility in order to define harmonised objectives and common criteria of monitoring (JAES, results, performance assessment). Regular reviews will be carried out in coordination with the office of the Deputy Chairperson through two annual Steering Committee meetings, with other IPs and AU Member States (Permanent Representatives Committees members in charge of audit, administration and staff matters).

The issue of sustainability will feature prominently in this dialogue with progress expected to be gradually made by the AU in terms of securing alternative sources of funding. Indeed, while concrete implementation modalities still need to be agreed upon, the most recent AU Summit (January 2015) foresees 100% of the AU Operational Budget, 75% of the AU Programme Budget (almost entirely funded by IPs at the moment) and 25% of the Peace Support Operations to be fully covered by AU MS contributions by 2021. This would, in turn, allow a progressive decrease in EU support - particularly to staff costs - starting with the first year of implementation of the A USP III. This is expected to further foster the reduction of the current AU funding dependency and increase AU ownership.

Type of activities (non-exhaustive list) to be supported under the A USP III:

- Support short-term staff (around 30) within AUC horizontal departments such as: Bureau of the Chairperson; Bureau of the Deputy Chairperson; Administration and Human Resource Development Directorate (AHRMD); Programming, Budgeting, Accounting Directorate (PBFA); Internal Audit (OIA); Strategic Planning, Policy, Monitoring, Evaluation and Resource Mobilisation (SPPMERM) in order to improve the internal administrative and financial capacity and the planning/budgeting/monitoring and reporting process.
- Establish a platform for dialogue on performance to discuss strategic objectives and results associated with activities of the staff supported by the EU and possibly other IPs.
- Support the AUC restructuring process with the following priorities:
 - i) Enhance corporate governance and management to promote a culture of accountability and responsibility by respecting a gender balance (structure review, result-based management, etc.);
 - ii) Streamline AHRMD services to enhance operational efficiency and enable the AUC to deliver on its mandate;
 - iii) Implement process improvement initiatives to reduce operational costs and sustain a culture of excellence;
 - iv) Develop and implement a set of capability building solutions to enable AU leaders and staff to effectively deliver on the mandate of the organisation (Standardised Operation Procedures).
- Develop and implement a learning and development strategy (AUC Competency Framework, AU Academy).

- Support the conclusions and recommendations of the Institutional Assessment (i.e. accounting standards; procurement; sub delegation).

In order to enhance the implementation of the Joint Africa-EU Strategy, this programme will also reinforce administrative co-operation and exchange of experience (staff exchange to promote a peer-to-peer support) between the European Commission and the African Union Commission.

For result 2

Building on what is expected to become a more efficient AUC (see Result 1), this component will maximise the impact of the AUC's role in the implementation of the Priority Areas 2, 3, 4 and 5 of the JAES Roadmap 2014-2017, taking into account the joint commitments, the needs and the evolution of the Africa-EU Partnership.

Particular attention will be paid to supporting the AUC in playing an active role in the Partnership, mainly through the implementation of the AU flagship initiatives/programmes which are in line with the JAES Roadmap Priorities Areas.

Most AU flagship initiatives/programmes are embedded in the first 10-year Implementation Plan of the Agenda 2063 for which an alignment with the JAES Roadmap Priorities Areas will be ensured and demonstrated through the EU support as much as possible.

In order to tackle the main constraints in the Africa-EU Partnership defined as the lack of the AU Member State's willingness and commitment to implement the AU decisions in many areas as well as a limited EU-AU policy/political dialogue, it is proposed to use this programme as a platform for engagement and visibility.

Please find below a non-exhaustive list of activities by Priority Area:

Priority Area 1: Peace and Security

Covered under other instruments (i.a. African Peace Facility)

Priority Area 2: Democracy, Good Governance and Human Rights

The promotion of democratic governance and human rights constitutes a central feature of the Africa-EU dialogue and partnership. As agreed in the JAES Roadmap and confirmed at the College to College meeting held in April 2015^[1], there is a joint commitment to support the "operationalisation of the African Governance Architecture and a strong African Human Rights System that is accessible to African citizens", including through enhanced EU-AU political dialogue.

Activities under this priority area will cover (i) support provided to the development of the African Governance Architecture secretariat (in the AUC Department of Political Affairs) – including specific clusters such as democracy; constitutionalism and the rule of law; governance / public administration (inclusively corruption); human rights; as well as coordination among AU organs; (ii) promotion of ratification, implementation and reporting on the African human rights and governance instruments, including decisions and recommendations made in organs. The support will specifically take into consideration the development and promotion of state reporting guidelines of the African Charter on Democracy, Elections and Governance in coordination with the African Peer Review Mechanism, outreach activities, and activities in the framework of the African Human Rights Year 2016. The support will be provided through the Department of Political Affairs and the Office of the Legal Counsel; (iii) promotion of citizens' engagement; (iv) political dialogue (high-level dialogues); (v) knowledge management (studies and trainings); (iv)

^[1] Joint Declaration – College to College – April 2015.

coordination between the African Governance Architecture (AGA) and the African Peace and Security Architecture on early warning, mediation and crisis management.

The operationalisation of the AGA will also include the reinforcement of AU mechanisms for policy dialogue with Civil Society Organisations.

This support will be coordinated with other actions financed under the PanAf (i.e. Support to Civil Society Organisations, Support to the African Human Rights System, Support to Elections Observation, fight against Female Genital Mutilation.) or other instruments in this area (e.g. the European Instrument for Democracy and Human Rights). The performance monitoring of the support to priority area 2 will be enhanced by the set-up of a steering committee for all the EU support for Democracy, Good Governance and Human Rights which will meet once a year, preferably, back-to-back to existing structures and mechanisms in order to enhance AU political willingness and EU-AU policy and political dialogue in this key area.

Priority Area 3: Human Development

Science Technology and Innovation (STI)

While the African Union Research Grants (AURG) will be funded through a specific PanAf action, A USP III support to the AUC (mainly covering existing staff and some operational costs), will consolidate and develop its capacity to manage such research funding programme which will further develop both intra-African and EU-Africa collaboration in research.

The A USP III will also continue to support the prestigious Kwame Nkrumah Scientific Awards. This support – which is intended to promote careers in research – gives the EU high visibility and a very positive association with the AU and the African research community. These awards have been supported since 2008.

Finally, the support to activities under the Science and Technology for Development and the African Observatory for Science, Technology and Innovation (AOSTI) provides indicators that are essential for policy-making and thus for the AU's S&T strategy. These activities are not supported by any other EU programmes (PanAf specific actions, Horizon 2020, etc.).

Higher Education

The A USP III will continue its support to the Mwalimu Nyerere AU Scholarship Scheme, through staff, scholarship and operational costs, monitoring of scholarships and academic mobility programmes as well as the strengthening of the Project Management Unit for academic mobility within AUC.

Although a specific action for support to the Pan-African University (PAU) is foreseen under PanAf, the support to the AUC staff on PAU would be continued under the A USP.

Another element of support is to ensure the AUC's participation in two flagship programmes on Higher Education as indicated in the JAES Roadmap (Harmonization and Tuning Initiative; and Harmonization, Quality and Accreditation Activities); these two programmes are supported under a separate PanAf action.

The support to higher education will also be complementary with others actions such as Erasmus+ and Marie Skłodowska-Curie actions.

Mobility, Migration and Employment

Taking into account the current migration crisis in the Mediterranean and the political awareness of both EU and African Heads of State and Government – as shown by the adoption of a separate Declaration on Migration and Mobility at the 4th EU-Africa Summit –support to AU migration agenda is relevant. The support would cover activities implemented under the AU Joint Labour

Migration Program (JLMP) and the AU-Horn of Africa Initiative on Human Trafficking and Smuggling of migrants as well as the assistance to the AUC staff working on migration. Synergies will be sought with other activities in support of migration in Africa financed by other EU instruments, in particular the specific support to the Africa-EU Dialogue on migration funded under the PanAf.

The African Institute for Remittances (AIR) will be fully supported by this programme in line with the JAES Roadmap.

Assistance will also be provided in the field of social protection in view of supporting employment, poverty eradication and inclusive development in Africa. The programme would cover advocacy and technical assistance to AU Member States and RECs on employment, labour and social protection as well as support to the AU Social Protection Plan for the Informal Economy and Rural Workers (SPIREWORK) and the AUC staff responsible for the implementation of employment-related activities.

Priority Area 4: Sustainable and Inclusive Development and Growth and Continental Integration

Private Investment, Infrastructure and Continental Integration

Cooperation with the AU under this priority area serves a double purpose: a) to enhance EU-Africa dialogue on key policy areas of interest for both Africa's and EU's growth and development (i.e. trade, mineral resources, industrialisation); and b) to support the AU's role in steering the implementation of continental strategies in the field of Trade and Continental Integration, industrialisation, effective and transparent governance of raw materials and statistics.

EU support would include the provision of technical expertise to the AU Department of Trade and Industry as well as expert studies on Common Free Trade Area (CFTA) negotiations (officially launched in the AU June 2015 Summit), a minimal support to CFTA negotiation meetings and the establishment and operationalisation of an IT-based private sector consultation mechanism. In the area of trade, support will be considered for the implementation of the Boosting Intra-Africa Trade (BIAT) Action Plan (with a focus on trade facilitation and productive capacities) and to strengthen the AU's role in the implementation of the WTO Trade Facilitation Agreement.

Particular attention will be paid to Africa's industrialisation and support is foreseen for the implementation of Africa's industrial strategy, known as the Accelerated Industrial Development of Africa (AIDA).

Furthermore, the AUC will be supported in the implementation of the African Mining Vision (AMV) and in carrying out joint cooperation initiatives in the minerals sector.

This support will complement the *Pan-African Statistics (PAS)* programme funded under the PanAf, by supporting the AUC's role to implement the Strategy for the Harmonisation of Statistics in Africa (SHaSA) as well as to ensure synergies with other key continental strategies (i.e., CFTA, BIAT, etc.) where the provision of quality statistics is of paramount importance.

Support to the AU's role in facilitating an enabling business and investment climate in Africa as well as in continuing dialogue between European and African private sector actors through the EU-Africa Business Forum will be a key element under this Priority Area.

Finally, complementarity and synergies between the AUSP III and support provided via other projects/instruments (funded by either Pan-Af or EDF Intra-ACP programmes – i.e. Hub and Spokes, Tradecomm II) will be ensured.

Infrastructure (Energy, Transport, Water and Information & Communication Technologies - ICT)

The EU-Africa co-operation in the infrastructure sector is of crucial importance and is referred to in the JAES Roadmap. Infrastructure is considered a key factor contributing to regional and continental integration and boosting intra-regional trade. The PanAf aims to contribute by supporting continental policies, cooperation in the four key sectors of infrastructures (transport, energy, water and ICT) and coordination between these key sectors.

The A USP III will enable the AUC to play its role in the Africa-EU Partnership and the implementation of the infrastructure agenda for Africa, in particular, the priorities that are in line with the JAES Roadmap 2014-2017, i.e. the Programme for Infrastructure Development in Africa (PIDA) and the Institutional Architecture for Infrastructure Development in Africa (IAIDA), Energy Development Strategies and Initiatives in Africa, the Facilitation and Harmonization of the Transport Systems in Africa and the Establishment of Favourable Conditions and Enabling Environments for ICT in the Service of Citizens. This support will be complementary to other projects and programmes financed under the PanAf (namely EU-Infrastructure Support programme, SSATP/Transport, EGNOS/Air transport, ICT regulatory framework and Blending).

Agriculture, Food Security and Food Safety

The A USP III will support the AUC Department of Rural Economy and Agriculture (DREA) to fulfil its mandate in relation to Comprehensive Africa Agriculture Development Programme CAADP implementation (i.e. Malabo Declaration). This mandate consists in (i) facilitating overall continental policy decision and guidance; (ii) supporting the AU legitimacy and authority; and (iii) convening and organising information support and reporting to the AU policy organs.

The support will focus on key areas aligned with the JAES Roadmap and the College-to-College Joint Declaration (April 2015), in complementarity with related interventions planned under the PanAf. These areas are: 1) CAADP coordination at continental level (including policy harmonisation and adoption of related AU decisions as well as support to two DREA staff to help monitor and report on these activities); 2) Sanitary and Phyto-sanitary Standards (SPS) and Plant Health Issues (strengthening cooperation on migratory pests, consultations on a common African Position at CPM11 and support to the Continental SPS Committee); 3) Geographical Indications (GI) (support to the domestication of the continental GI policy framework), which play a crucial role in boosting intra-African trade and supporting continental economic integration, an area where specific support is also planned under other PanAf actions; and 4) Organic Agriculture (facilitation of organic production and marketing through support to national Ecological Agriculture Movements, training and support of task force meetings).

Given the crucial role that Animal Resources play in agriculture, food security and food safety, institutional support will be provided to the AUC and their specific technical offices dealing with Animal Resources, such as the African Union Pan-African Tsetse and Trypanosomiasis Eradication Campaign (AU-PATTEC) and the African Union Pan-African Veterinary Vaccine Centre (AU-PANVAC) to finance key staff and capacity building to manage and implement continental initiatives related to animal health and safety. This support complements the substantial assistance provided to the AU-IBAR under other related actions (in PanAf and Intra-ACP).

Priority Area 5: Global and Crosscutting Issues

Climate Change and Environment

Shared converging views on climate change, environment and natural resource management issues will be enhanced through enhanced strategic dialogue and cooperation with the AUC in its

key role through: i) support to the advocacy, advisory and coordination role of the AUC at continental level in the areas of Climate Change and Environment, ii) support in the elaboration, implementation and coordination of continental/trans-regional African strategies and initiatives to access climate and environment information services, build common positions, raise awareness, develop evidence-based decision-making and policy making iii) support the future role of the AUC as a Party on the international negotiations in the framework of Desertification and Climate Change and iv) support the implementation and coordination of the programmes financed by the EU in the above-mentioned area: Climate for Development in Africa (ClimDev), the Great Green Wall for the Sahara and Sahel Initiative and "Global Monitoring for Environment and Security & Africa" initiative (the support to "GMES & Africa" through AUSP-III will cover coordination by AUC Department for Human Resources Science and Technology in complementarity to the support provided through the "GMES & Africa " PanAf project).

Following the AU January 2007 Summit deliberations, the AUC became increasingly involved in the global climate change talks and negotiations. A Climate Change and Desertification Control Unit (CCDCU) was established in the Directorate of Rural Economy and Agriculture (DREA) of the AUC, to: provide policy and political guidance and to enhance coordination and harmonisation of Africa's activities in the field of climate change and desertification; serve as a secretariat for the Committee of African Heads of State and Government on Climate Change (CAHOSCC) to spearhead African Common Position on Climate Change and to ensure that Africa speaks with one voice in global climate change negotiations; coordinate the support to the African Group of Negotiators on climate change and desertification; strengthen the capacities of AU Member States in their adaptation and mitigation efforts to promote climate resilience; and elaborate continental strategies on climate change and desertification to serve as frameworks for AU Member States and the Regional Economic Communities.

Since 2012, the staff and activities of the CCDCU have been supported by the EU through the ClimDev programme (10th EDF Intra-ACP). This programme is also implemented by UNECA and the AfDB. In parallel, some additional funds were provided to the CCDCU through the AUSP II for the year 2015 to support the reaching of an African Common Position on Climate Change.

As both the ClimDev programme and the AUSP II are coming to an end in mid-2016, support to the CCDCU (activities and staff) is planned through the AUSP III. The aim is to strengthen the advocacy, advisory, secretarial and coordination role of the AUC in the areas of Climate Change and Desertification at continental and regional level and to support the implementation of the outcomes of the 2015 Paris Climate Conference to be held in December 2015.

Post-2015 Development Agenda

Until now, and since there is no specific programme, the EU has provided support in this area to the AUC Department of Economic Affairs through the AUSP. In April 2014, Africa and the EU strongly committed to work together to secure an action-oriented outcome to the post-2015 development agenda negotiations.

The AUSP III will support: i) African initiatives at continental and regional level to monitor and ensure coherence in the implementation of the outcomes of the post 2015 development agenda summit for the achievement of the Sustainable Development Goals (SDGs) and ii) the AUC's coordination role to align national development plans to the outcomes of the post 2015 development agenda negotiations.

Implementation of the JAES

The programme will support the preparation of meetings (i.e. technical/political meetings, Joint Annual Fora, College-to-College meetings) with the participation of AU representatives, as well as co-operation between AU and EU representations in Geneva and Brussels. This support will be complementary with the Joint Africa-EU Strategy Support Mechanism.

4.3 Intervention logic

The AUSP III will support AUC actions aimed at implementing the Joint Africa-EU Strategy Road Map 2014-2017 (with exception of Priority Area 1: Peace and Security).

This support will be aligned with the AUC Programme Budget and will be implemented through Annual Work Plans. As an exit strategy, both EU and AUC will jointly define annual benchmarks (gradual decrease of the EU annual support), taking into consideration the progress in the operationalisation of the AU decision related to the alternative sources of financing.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 48 months from the date of adoption by the Commission of this Action Document.

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 technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

5.3 Implementation of the budget support component

Not applicable.

5.4 Implementation modalities

5.4.1 Grant: direct award (direct management) with the African Union Commission (AUC)

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

The main objective of the grant is to support the deepening of African integration and sustainable development as foreseen in the vision and mission of the African Union.

The specific objective of the grant is to support the AUC in aligning its level of capacity to its ambitions in order to timely deliver on its mandate and strategic objectives, in particular when it comes to the joint priorities identified in the Joint EU-Africa Partnership.

The grant will mainly cover capacity building and activities related to the AU restructuring process for and enhanced performance (i.e. staff costs, assessments for restructuring process, etc.) under Result 1 and the implementation of the Joint Africa-EU Strategy's Roadmap by the African Union Commission (flagship initiatives/programmes, specific project interventions, etc.) under Result 2.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the African Union Commission.

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 AUC is in legal and factual monopoly situation (Article 190 (c) RAP).

(c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 85%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

First quarter 2016.

5.4.2 Procurement (direct management)

Subject	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Technical Assistance to CFTA (Priority 4)	Service	1	Third quarter 2015*

* Call for tender will be launched with a suspensive clause.

5.5 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.

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

5.6 Indicative budget

Budget	EU contribution (in EUR)	AUC contribution (in EUR)	Total (in EUR)
5.4.1. Direct award grant with the AUC (co-financing) EU: 85 % - AUC: 15%	43 350 000	7 650 000	51 000 000
5.4.1.1 - Result 1	8 415 000	1 485 000	9 900 000
5.4.1.2 - Result 2	34 680 000	6 120 000	40 800 000
<i>for information</i>			
Priority area 2 :			
African Governance Architecture	3 400 000	600 000	4 000 000
Priority area 3 :	9 307 500	1 642 500	10 950 000
Science Technology Innovation	1 997 500	352 500	2 350 000
Higher Education	2 465 000	435 000	2 900 000
Mobility and Migration	4 845 000	855 000	5 700 000
Priority area 4 :	16 354 000	2 886 000	19 240 000
Trade and regional integration (including Raw Materials, Industrialisation, Trade Facilitation and Customs)	7 752 000	1 368 000	9 120 000
Statistics/private sector	1 827 500	322 500	2 150 000
Infrastructure	3 068 500	541 500	3 610 000
Agriculture	3 706 000	654 000	4 360 000
Priority area 5 :	5 618 500	991 500	6 610 000
Climate Change and Environment	2 890 000	510 000	3 400 000
Post 2015 Development Agenda	943 500	166 500	1 110 000
Support to JAES implementation	1 785 000	315 000	2 100 000
5.4.2 Procurement (direct management)	1 800 000	0	1 800 000
5.9 Evaluation	NA	NA	<i>will be covered by another decision</i>
5.10 Audit	NA	NA	<i>covered by another decision</i>
5.11 Communication and visibility (Result 1)	255 000	45 000	
Total	45 150 000	7 650 000	52 800 000

5.7 Organisational set-up and responsibilities

The programme will be implemented by the AUC through a direct award grant.

All the communication will be made through the AUC Chief of Staff with the AUC Deputy Chairperson office in copy. The operational day-to-day management will be carried out by the Directorate for Strategic Planning, Policy, Monitoring, Evaluation and Resource Mobilisation (SPPMERM), specifically the International Cooperation and Resource Mobilisation Division.

The programme will be implemented through the Annual Work Plans aligned with the AU Annual Programme Budget.

During the annual AU Programme Budget consultations, including with AU Member States and International Partners (IPs), AUC will seek and obtain additional funding from its Member States in order to progressively increase complementary funding during the period of implementation of the programme and for greater ownership. Once the AU Programme Budget is approved, project proposals and Annual Work Plans for the forthcoming year shall be presented to the Contracting Authority for analysis and discussions in the current year at the latest by 15 October each year.

A **list of staff** including job descriptions will be approved in the beginning of the programme for three years with a periodic review system in place taking into account a needs assessment to be carried in the AUC.

AUC will provide an updated organigramme showing currently occupied posts and mentioning key vacant posts to be funded by international partners in the context of the implementation of the programme and more specifically the implementation of the Joint Africa-EU Strategy Roadmap. The AUC endeavours to gradually take over the funding of the permanent positions and to speed up recruitment process of priority staff needed to implement some specific flagship projects. AUC will keep the Contracting Authority informed about any modification to the functional structure foreseen, as part of the policy dialogue.

In line with the mitigating measures jointly defined in the scope of the last Pillar Assessment, specific technical assistance, when appropriate, could be funded under another programme, i.e. Support Measures.

In order to increase the technical monitoring and the political dialogue, a **programme steering committee** will be set up and will meet at least once a year back-to-back with the Joint Annual Fora. The terms of reference of the steering committee will be agreed by both the EU and the AUC.

The steering committee shall be made up of:

- representatives of the African Union Commission – Chief of Staff, Deputy Chairperson office, Directorate for Strategic Planning, Policy, Monitoring, Evaluation and Resource Mobilisation and other relevant AUC Departments;
- representatives of the European Union;
- others if necessary, as observers.

The Directorate for SPPMERM will prepare, in close coordination with other Departments, the reports and ensure their quality and timely delivery.

The AUC will provide semi-annual and annual narrative progress reports on support to both staff and activities. The reports will indicate the progress made towards the achievements of objectives and performance indicators in line with the implementation of the Joint Africa EU Strategy Roadmap, as well as semi-annual and annual internally audited financial report.

5.8 Performance monitoring and reporting

This programme will contribute to the delivery of objectives agreed in the Joint Africa-EU Strategy Roadmap 2014-2017 approved by European and African Heads of State and Government in April 2014. As a result, the performance monitoring mechanism will be enhanced by the set-up of a programme steering committee meeting twice a year.

Policy dialogue would also be carried out through regular technical contacts between the two institutions (EU and AU) and with different stakeholders with a view to assisting the methodological development and capacity building aspects of the programme.

A monitoring and evaluation framework for the JAES Roadmap is being developed by both the EU and the African Union Commission as a tool for effective policy dialogue and adequate 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). 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).

5.9 Evaluation

Having regard to the importance and nature of the action, a final evaluation may be carried out for this action or its components via independent consultants contracted by the Commission.

It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the contribution of this programme to (i) enhancing EU-AU policy dialogue & efficiency in the performance of the African Union Commission and (ii) an effective implementation of the Joint Africa-EU Strategy Roadmap.

The Commission may, during implementation, decide to undertake other evaluations for duly justified reasons either on its own decision or on the initiative of the partner.

The Commission shall inform the implementing partner at least 30 days in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and *inter alia* provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

The financing of the evaluation shall be covered by another measure constituting a financing decision.

5.10 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.

The financing of the audit shall be covered by another measure constituting a financing decision.

5.11 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 supported with the budget indicated in section 5.6 above.

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 support covering communication (internal and external) and visibility activities will be introduced in the grant.

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.

One of the objectives of the action is to continue to build the EU Africa partnership through an effective implementation of the Joint Africa EU Strategy's Roadmap through the African Union Commission. The communication and visibility of the programme, as main tool for the JAES implementation will be a priority, with a focus on the concrete deliverables to be presented in specific for a such as technical/political meeting, the Joint Annual Forum and finally the EU-Africa Summit.

So in the framework of this programme the AUC will prepare a specific communication plan with the potential support of the technical team dedicated to the Joint Africa EU Strategy Communication in the JAES Support Mechanism II programme. Complementarity will be guaranteed in the development of dedicated tools and actions (website, social media).

The target groups will be in line with priority no. 7 of the AU Strategic plan reaffirming the need to "strengthen a people-centered Union through active communication of the programmes of the African Union, the branding of the Union and participation of Member States and other stakeholders in defining and implementing the African agenda". African Union and European Union Member States will be targeted as well as AU organs, Regional Economic Communities and the public in general.

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	Indicators¹	Baselines (incl. ref. year)	Targets (incl. ref. year)	Sources and means of verification	Assumptions
Overall objective: Impact	To support the deepening of African integration and sustainable development as foreseen in the vision and mission of the African Union.	<p>1. Selected indicators of the Africa Regional Integration Index, covering the following thematic areas: free movement of persons, trade, statistics, governance, industry, investment, energy and infrastructure.</p> <p>2. The level of implementation of AU decisions at the regional and national level covering the African integration agenda and sustainable development issues.</p> <p>3. Selected indicators of the Africa Economic Outlook, covering sustainable development.</p>	<p>2016</p> <p>1. To be established once indicators are selected.</p> <p>2. Status of ratification in 2016 as presented in the AU Summits/CSO reports.</p> <p>3. To be established once indicators are selected.</p>	<p>Mid 2019</p> <p>1. Positive changes in values of selected indicators of the Africa Regional Integration Index.</p> <p>2. Increase in the level of implementation of AU decisions at the regional and national level covering the African integration agenda and sustainable development issues.</p> <p>3. Positive changes in values of selected indicators covered by the Africa Economic Outlook.</p>	Internal AU report, sectorial reports from institutional and non-institutional actors (CSOs), including the Africa Regional Integration Index and the Africa Economic Outlook.	<p>AU Member States remain politically committed to the deepening of the African integration and sustainable development as well as recognise the role and legitimacy of the AUC in that regard.</p> <p>The Africa Regional Integration Index and the Africa Economic Outlook are delivering reliable data on time.</p>

¹ Indicators of the Africa Regional Integration Index and the Africa Economic Outlook will be selected jointly by the EU and the AUC in the last quarter 2015.

Specific objective: Outcome

To support the AUC in establishing and maintaining the institutional and management capacity to timely, effectively and efficiently deliver on its own strategies contributing to the JAES Roadmap implementation.

1. Enhanced EU-AU policy dialogue and efficiency in the performance of the AUC ('Result 1' of the Action Document).
2. Effective implementation of the JAES Roadmap (Priority Areas: 2, 3, 4 and 5), mainly through the AU flagship initiatives/ programmes ('Result 2' of the Action Document).

2016

1. Results of the Institutional Assessment expected to be carried out in the first quarter of 2016; Execution rate for 2015 as reported by the AUC.
2. To be established under the reporting / monitoring framework for the implementation of the JAES Roadmap.

Mid 2019

1. Effective implementation of mitigation measures under each specific pillar concerned; Successful implementation of the AUC restructuring plan covering administrative and human resource reforms; Improvements in the execution rates.
2. Targets for indicators covering activity areas supported by the AUSP III under the following Priority Areas²:
 - Priority Area 2: Improvements in governance and human rights in terms of a transparent, democratic and accountable environment.
 - Priority Area 3: Links between education, training, science and technology strengthened; Mobility of people effectively managed.
 - Priority Area 4: Links between the European and African private sectors strengthened; Progress in the implementation of continental initiatives/ programmes, covering infrastructure, energy, industrialisation and investment.
 - Priority Area 5: Number of common positions achieved in global fora and international organisations to jointly address global challenges

Annual Implementation Reports for the AUSP III, internal AUC reports, sectorial reports from institutional and non-institutional actors (CSOs), monitoring and evaluation reports, including on the progress of the JAES Roadmap implementation.

The AUC restructuring plan endorsed by AU Member States and covered, mainly, by their own financial resources.

The operationalisation of the AU alternative sources of financing strategy (2016 - 2021).

Organisation of at least 2 annual Steering Committee meetings to discuss performance.

The AUC and AU Member States remain politically committed to implement the JAES Roadmap as well as recognise the role and legitimacy of the AUC in that regard.

Outputs	Activities implemented under 'Result 1' and 'Result 2' of the Action Document	To be established for each activity to be implemented, for example, meetings (consultations, negotiations, policy dialogues, etc.) held, reports, guidelines, etc. published on specific themes, persons trained, joint EU-AUC initiatives organised and implemented.	2015 To be established for each indicator defined	Mid 2019 To be established for each indicator defined, for example, number of meetings (consultations, negotiations, policy dialogues, etc.) held, number of reports/guidelines published on specific themes, number of persons participating in training, meetings, consultations, etc. (by category), number of joint EU-AUC initiatives implemented ³ .	Annual Implementation Reports for the AUSP III, internal AUC reports, monitoring and evaluation reports, including on the progress of the JAES Roadmap implementation.	The AUC and AU Member States remain politically committed to implement the JAES Roadmap. The AUC effectively implements the restructuring plan covering administrative and human resource reforms. The operationalisation of the AU alternative sources of financing strategy (2016-2021).
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² These, mostly qualitative, indicators will be further elaborated (with possible quantification) in joint EU-AUC consultations foreseen for the last quarter of 2015 and will be the basis for the logframe of the grant.

³ These indicators will be further elaborated (with possible quantification) in joint EU-AUC consultations foreseen for the last quarter of 2015 and will be the basis for the logframe of the grant.