

THE EUROPEAN UNION EMERGENCY TRUST FUND FOR STABILITY AND ADDRESSING THE ROOT CAUSES OF IRREGULAR MIGRATION AND DISPLACED PERSONS IN AFRICA

**Action Document for the implementation of the Horn of Africa Window
T05 – EUTF – HoA – UG - 08**

1. IDENTIFICATION

| | | | |
|---------------------------------------|---|--------|---|
| Title/Number | Strengthening Social Cohesion and Stability in Slum Populations | | |
| Total cost | Total estimated cost: EUR 4 741 423 Total amount drawn from the Trust Fund: EUR 4 300 000 Co-financing from the International Organisation for Migration (IOM): EUR 441 423 | | |
| Aid method / Method of implementation | Project modality <ul style="list-style-type: none"> • PAGoDA direct – grant agreement with the International Organisation for Migration (IOM), in consortium with the Action for Fundamental Change and Development (AFFCAD) | | |
| DAC-code | 15220 | Sector | Civilian Peace-building, conflict prevention and resolution |

2. RATIONALE AND CONTEXT

2.1. Summary of the action and its objectives

The action is **based on objectives one** (create greater economic and employment opportunities, especially for young people and women, with a focus on vocational trainings and the creation of micro and small enterprises), **two** (strengthening resilience of communities and in particular the most vulnerable, as well as the refugees and displaced people) **and four** (improved governance and conflict prevention, and reduction of forced displacement and irregular migration) **within the EU Trust Fund for Africa**.

The project will contribute to the implementation of the Valletta Action Plan, and in particular its priority domain (1) "Development benefits of migration and addressing root causes of irregular migration and forced displacement".

The **geographical coverage** of the action focuses on the urban areas of Bwaise in the Kawempe Division of Kampala, Kisenyi in the Central Division, Kabalagala and Katwe in the Makindye Division, and Kasubi in the Rubaga Division of the capital city. These areas are home to large number of refugee communities. These areas host large number of refugee populations with inadequate or non-existent access to infrastructure, health and education services, and who brew sentiments of being marginalised in a context of perceived weak

social accountability of local government. Growing tensions between host and refugee communities over limited resources and assets may escalate into violence conflict.

The intervention logic of the action is to address the root causes of inter-communal conflict in the above mentioned areas by addressing sources of grievance between refugee and host communities and within each of them, and by strengthening community cohesion around shared development assets. By focussing on marginalised communities, the intervention logic deliberately identifies vulnerable groups in order to maximise impact and cost-effectiveness. The final beneficiaries will see their economic and employment opportunities improved, have better access to basic public services and become resilient to messages of violence and inter-communal discord.

This project will engage at the interface between the state and society to address grievances, strengthen inclusive development and human security. Among the inter-mediate beneficiaries, the state authorities will have their capacity enhanced to build trust with the slum communities through participatory planning, responsive service delivery and conflict-sensitive community-policing.

2.2. Context

2.2.1. Country context

Uganda has a hybrid political system, democratic in form but heavily centralized, offering real but limited space for dissenting voices. At the same time, the judiciary and legislature remain too weak to hold the executive to account and to offer effective redress against the misuse of public office. Despite the inherently rising cost of patronage, the incumbent regime has over the last three decades been able to accommodate diverging interests of a society that is still predominantly rural. In view of the persisting demographic trends, this is very likely to change in the coming years.

With a growth rate of 3.24% per annum (p.a.), the population size has been projected to increase from currently 39 million to 130 million by 2050. If present trends continue, Uganda would become the tenth most populous country in the world by the end of the 21st century with 205 million people. Without a matching increase in rural employment opportunities, the onset of rapid and unplanned urbanization is inevitable.

Because of its progressive refugee policy, Uganda is a refuge of choice for refugees and asylum seekers in East and Central Africa. Uganda currently hosts the third largest refugee population in Africa¹ at over 485 000 registered in the Refugee Information Management system (RIMS)². According to the 2014 national census, 18% of Ugandans live in urban areas (one-third of them in Kampala) and this proportion is currently increasing by 4.5% p.a. More than 60% of the urban population are estimated to live in slums, where Ugandans of different faiths and ethnicity live side by side with migrants and refugees from neighbouring countries and the Horn of Africa. In October 2015, the United Nations High Commissioner for Refugees (UNHCR) reported a cumulated figure of 75,586 registered refugees and asylum seekers in Kampala, mostly originating from the Democratic Republic of Congo, Somalia,

¹ United Nations High Commissioner for Refugees (UNHCR). 2015. Refugee and Host Population empowerment. Strategic Framework. Figures as mid-2015

² United Nations High Commissioner for Refugees (UNHCR) update, 4 September 2015.

Eritrea and South Sudan. Compared to the 485,000 registered countrywide, and to the estimated metropolitan population of 3.5 million, this figure appears miniscule but poses an additional challenge to social cohesion and weak public services in Kampala slums. While no reliable aggregate statistics exist, the urban poor also include many internal migrants and a high proportion of Ugandan Muslims.

Some Kampala slums are formed along ethnic lines. On Kisenyi Road, a slum also known as "Little Mogadishu" consists 85% of Somalis of whom roughly 95% are refugees. According to the Somali Community Association of Uganda, roughly 65% of Kisenyi residents live on less than USD 100 per month and household. In urban areas, the visible signs include an inadequate or non-existent provision of infrastructure, health and education services, marginalisation coupled with weak social accountability of local government and widespread petty corruption, especially in the police service.

2.2.2. Sector context: policies and challenges

The decentralisation policy of 1992 devolved substantial government powers and functions to local government. The 2010 Physical Planning Act puts local government (including the Kampala Capital City Authority - KCCA) in charge of urban planning. This responsibility is not matched by adequate budgetary allocations, e.g. to attract and retain sufficiently qualified and motivated personnel. The National Urban Situation Analysis Report, 2010 identifies an inadequate capacity of urban councils to exercise their mandate, including a staff shortfall of more than 30 per cent. The Uganda Vision 2040 projects the country reaching middle income status by 2017 and a per capita income of USD 9 500 by 2040. The matching drastic improvement in human development indicators requires substantial urban planning investments, which are spelt out in the National Development Plan 2015-2020 (NDP-2). The required budgetary resources were based on petroleum revenue projections in 2014, when oil prices were more than twice as high as currently. The rehabilitation of urban slums is therefore very unlikely to proceed at the planned rate. The counter-terrorism legal framework is the 2002 Anti-Terrorism Act and its Amendment on the financing of terrorism. In 2014, Uganda established an embryonic Financial Intelligence Authority, in order to prevent and investigate money-laundering and the financing of terrorism. The Anti-Terrorism (Amendment) Bill, presented to the Parliament of Uganda in 2015, covers indirect involvement in acts of terrorism, such as the provision of weapons to terrorist organisations, terrorist financing, the seizure of suspicious assets and empowers the Minister of the Interior to issue implementing regulations.

The Uganda Vision 2040 also recognizes the need to cooperate with neighbouring states in regulating labour migration. It endorses the protocols on movement of people within the region, concluded i.a. under the auspices of the East African Community (EAC), the African Union and the Common Market for Eastern and Southern Africa (COMESA). The migration sector policy framework is defined by the (draft) National Migration Policy, the (draft) National Diaspora Policy, and the National Policy for Internally Displaced Persons. The labour market is guided by the National Employment Policy for Uganda and the National Youth Policy. The two draft policies have been in gestation since three years, while for others an implementation gap has been noted even after ten years. The IOM maintains a continuous dialogue with the Government on policy implementation and development.

2.3. Lessons learnt

While studies on the drivers of violent conflict in Uganda have been scant, empirical research on the Somali diaspora in Kenya suggest that low-quality formal education, the lack of vocational skills and employment opportunities all contribute to a sense of alienation among marginalised groups from wider society and the state. This perceived relative deprivation is compounded by preconceptions of the dominant ethnic majority and discriminatory treatment by law enforcement and other government agencies.³

Respondents in Kenya and Uganda also suggest that the focus of countering violent extremism (CVE) projects on a single ethnic group tends to stigmatise it, reinforce marginalisation and contribute to social prejudices among the ethnic majority. Commonly established principles of conflict-sensitive development therefore suggest that donor-funded interventions should cut across communal lines.

2.4. Complementary actions

Interventions on similar themes are few in the Kampala area, and none that target marginalised communities. There are small programmes supporting community activities of, for example, women's groups, and youth employment programmes, funded by EU (European Development Fund – EDF - and budget lines), EU Member States (e.g. through the Democratic Governance Facility - DGF) as well as the United States Agency for International Development (USAID) and international agencies. Under DGF, the EU has supported the work of faith-based organisation on social accountability issues and on inter-religious dialogue. The project activities were not focussed on Kampala slums, however.

The Uganda National Indicative Programme (NIP) proposes interventions in three focal areas (Rural Development, Infrastructure, Good Governance) all of which should have a positive impact for the issues highlighted above. Nevertheless, none of the envisaged NIP programmes focus on Kampala, nor on the highlighted target groups. Proposed interventions in the Justice Law and Order Sector could provide valuable synergies over the medium term.

2.5. Donor co-ordination

The proposed Action builds on an ongoing intervention implemented by the non-governmental organisation (NGO) Action for Fundamental Change and Development (AFFCAD) through its Youth Employment Centre in the Bwaise slum of Kampala, with funds from USAID and subsequently the Government of Poland, granted through the Cultures of the World Foundation. With the exception of an earlier EU-funded Participatory Slum Upgrading Programme (PSUP) with UN Habitat in 18 African, Caribbean and Pacific (ACP) countries, which compiled an urban profile of four locations in Uganda, there have been very few interventions on similar themes in the Kampala area. The IOM has, in close consultation with the Government of Uganda, developed a concept note for a comprehensive project, which integrates a comprehensive CVE strategy and integrated border management (IBM). The IOM Mission to Uganda has expressed its willingness to sharpen the focus of the proposed project in order to match the EU priorities, in particular under this action.

³ The USAID Guide to the Drivers of Violent Extremism identifies social, political and economic exclusion, government repression, corruption, protracted conflicts and historic legacies of victimisation among the causes of violent extremism. (G. Denoeux and L. Carter, *Guide to the Drivers of Violent Extremism*, Washington D.C., 2009)

3. DETAILED DESCRIPTION

3.1. Objectives

The **overall objective** of the programme and the **specific objectives** are as follows:

The overall objective of the proposed project addresses **the root causes of inter-communal conflict in slum populations by addressing sources of grievance and by strengthening community cohesion around shared development assets..**

The specific objective ties in with the first, second and fourth objectives of the European Union Emergency Trust Fund, that is to provide employment opportunities and basic local services, as well as preventing conflict in marginalised communities in urban slums of Uganda.

3.2. Expected results and main activities

The **expected results** are:

In order to mitigate the social disruption resulting from urbanization, increased competition for scarce resources and a spill-over of conflicts from neighbouring countries, the following result and activities are proposed.

1. Research, monitoring and evaluation:

A comprehensive baseline study will analyse the social composition of different slum populations in Kampala, taking into account divergent development needs of different groups in order to assess the best means of ensuring social cohesion, inclusive economic and development prospects. The study should analyse the political, cultural and economic drivers of conflict as well as those emanating from the policy framework. Based on its findings, the baseline survey will determine concretely what activities are most relevant and propose a detailed monitoring and evaluation framework.

2. Community mobilisation and co-operation with security agencies:

This component will engage at the interface between the state and society to address grievances, strengthen inclusive development and human security.

a) Mobilise communities.

The activities will include the following: foster inter-community dialogue with respected religious leaders and scholars as well as state security services to strengthen understanding of needs and build trust; assist communities in developing counter-narratives to the violent extremism narrative; promote tolerance, diversity and civic sense among youth through radio, bill boards, internet and social media; create and train women's support groups to monitor and to respond to early symptoms of radicalisation and intercommunal tensions; engage with other community structures, such as psycho-social support groups, youth groups and schools.

b) Engage the Ugandan security agencies constructively on CVE policies to ensure the needs, and drivers of conflict, within communities are understood and addressed in line with international best practices, in particular those developed through the Global Counter-Terrorism Forum (GCTF).

The activities will include the following: create an early warning system (EWS) which identifies conflict risks which lead to early action to prevent intercommunal tensions and sources of grievances which can lead to violent extremism. This will be achieved through a structured consultation between civil society organisations and security agencies; develop a community policing strategy, to build trust and co-operation with security agencies; human rights monitoring of counter-terrorist activities in order to strengthen the confidence of the target community in the rule of law.

3. Public service delivery and economic empowerment:

- a) The project will address sources of grievance including exclusion which can lead to intercommunal tensions and violence and raise awareness among Ugandan authorities of conflict-sensitive and non-discriminatory resource allocation and service provision, especially in primary education, vocational training, primary health care including reproductive health, urban infrastructure and the Justice, Law and Order Sector (JLOS).
- b) The project will contribute to economic empowerment through the establishment of co-operative societies, micro-credit and micro-grant schemes. It will support skills development, vocational training, job placements and the creation of micro-enterprises. It will also support non-formal primary education.

3.3. Risks and assumptions

While the IOM is confident to have government backing, there is a residual risk that line Ministries, departments and agencies (MDA) will not endorse its proposed methodology, especially in the security sector. Repressive police tactics and the misuse of project resources for excessive surveillance may undermine community trust and compromise the integrity of the implementing partner, Action for Fundamental Change and Development (AFFCAD). EU advocacy with the Interior Minister and Inspector-General of the Police from project inception should minimise this risk.

The risk of stigmatising religious or ethnic communities, such as Muslims or Somalis in particular will be minimised by not targeting them explicitly and by including other groups among the beneficiaries. Beside Bwaise in the Kawempe Division of Kampala, the proposed IOM project design would include Kisenyi in the Central Division, Kabalagala and Katwe in the Makindye Division and Kasubi in the Rubaga Division of the capital city. The action would therefore target a range of different ethnic and religious communities among the final beneficiaries.

Evidence-gaps will be mitigated by a thorough baseline study during the inception period, with support from the Research and Evidence Facility under the Trust Fund. There is a residual risk that violent extremism may originate from other, e.g. remote rural or peri-urban areas of Uganda. In view of the greater likelihood and impact of radicalisation in the slums of Kampala and the lack of donor interventions, it is proposed to accept this risk.

The intervention logic rests on the assumption that the IOM and Action for Fundamental Change and Development (AFFCAD) are capable and committed implementation partners, whose institutional and policy goals are compatible with those of the EU, and EU Trust Fund in particular. It is also assumed that the project will have the continuous political support of government.

3.4. Cross-cutting issues

In line with best practice recommendations for conflict-sensitive development, the project will include members of different religious and ethnic communities, both as final beneficiaries and members of implementing partner organisations. Project resources will be allocated in such a way that they encourage co-operation between different communities, and do not visibly exclude adjacent areas. This principle also applies to the procurement of goods and services. The project will use a rights-based approach and promote the entitlement to non-discriminatory access to public services, the rights of women, children and disabled persons in line with the corresponding UN Conventions. All result indicators and technical reports will be gender-disaggregated. The project will promote HIV/AIDS awareness, support the rights of women in reproductive health, promote family planning and aim at preventing female genital mutilation (FGM).

All interventions, as with our NIP programme, will highlight the importance of gender equality and women's Empowerment, recognising (i) the pivotal role that positive female/maternal engagement can have on combating extremism, (ii) women's crucial role in economic development, and (iii) their particular vulnerability in terms of human rights abuse and inadequate social delivery.

3.5. Stakeholders

The IOM has a successful track-record of working with vulnerable populations and ex-combatants in Uganda. It also provided technical assistance to the Government in integrated border management (IBM). For the past three years, IOM in partnership with the International Labour Organisation (ILO) has been working with the Ministry of Gender, Labour and Social Development to develop a labour market information and analysis system. The outcomes included strengthened public employment services at district level, a job-matching database, with a positive impact on Government policies to combat youth unemployment.

The EU has been monitoring the work of the AFFCAD in the Bwaise slum for some time. Based on the findings, the Delegation promoted a partnership between the IOM and the AFFCAD. Building on its established cooperation with the Government, the IOM will work closely with the Ministry of Local Government (MoLG), the Kampala City Council Administration (KCCA), its subsidiary local government bodies, the Ministry of Internal Affairs and the Ugandan Police Force (UPF), The Ministry of Gender, Labour and Social Development Welfare (MGLSD), The Ministries of Health and Education, the Uganda Muslim Supreme Council (UMSC), Christian Churches, the Uganda Human Rights Commission, the Office of the Prime Minister, grassroots' organisations and private sector organisations.

4. IMPLEMENTATION ISSUES

4.1. Financing agreement, if relevant

No Financing Agreement is foreseen.

4.2. Indicative operational implementation period

The implementation period will be 48 months , whilst the overall execution period (including a closure phase of no more than 12 months) will not exceed 60 months from the date of approval of this Action Document by the Operational Committee of the EU Trust Fund.

4.3. Implementation components and modules

The proposed action will be implemented through the conclusion of a PAGODA grant agreement between the EU and the IOM, in consortium with the Action for Fundamental Change and Development AFFCD. The IOM alone will carry out result 1 (research) and sub-component 2.b (capacity-building of security forces, establishment of EWS). The IOM will also be in charge of monitoring, evaluation, audit, communication and visibility. All other results and activities will be implemented jointly by the IOM and the AFFCAD.

Throughout its implementation, the action will be continuously monitored by the monitoring team of the IOM Mission to Uganda and a full-time EU Trust Fund programme manager. A Steering Committee will provide oversight and include representatives of the EU Delegation, the IOM, the AFFCD and the Government authorities.

4.4. Indicative budget

| Component | EU contribution in EUR | IOM contribution in EUR | Total in EUR |
|---|------------------------|-------------------------|--------------|
| 1) Research (Baseline study) | 180 512 | 0 | 180 512 |
| 2) Capacity building for communities (community mobilization) | 648 639 | | 648 639 |
| 3) Capacity building for security agencies | 27908 | 441 423 | 469 331 |
| 4) Strengthening Public service delivery | 358 888 | 0 | 358 888 |
| 5) Economic empowerment | 2 497 081 | 0 | 2 497 081 |
| 6) M&E and audit | 180 512 | 0 | 180 512 |
| 7) Communication and Visibility | 96 273 | 0 | 96 273 |
| Total direct costs | 3 989 813 | | 4 431 236 |
| 8) Indirect costs (7%) | 310 187 | 0 | 310 187 |
| Total | 4 300 000 | 441 423 | 4 741 423 |

4.5. Evaluation and audit

If necessary, ad hoc audits or expenditure verification assignments could be contracted by the European Commission for one or several contracts or agreements.

Audits and expenditure verification assignments will be carried out in conformity with the risk analysis in the frame of the yearly Audit Plan exercise conducted by the European Commission. The amount allocated for external evaluation and audit purposes should be shown in the budget at section 4.4. Evaluation and audit assignments will be implemented through service contracts, making use of one of the Commission's dedicated framework contracts or alternatively through the competitive negotiated procedure or the single tender procedure.

4.6. 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. Appropriate contractual obligations shall be included in the procurement contracts. The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan and the appropriate contractual obligations.

A **logical framework** showing targets and indicators is attached.

LOGFRAME MATRIX – COUNTERING RADICALISATION IN SLUM POPULATIONS (CRISP) PROJECT

| | Intervention logic | Indicators | Baseline (incl. reference year) | Current value Reference date | Targets (incl. reference year) | Sources and means of verification | Assumptions |
|--------------------------|---|---|--|-------------------------------------|--|---|--|
| Overall Objective | Strengthen social cohesion and urban governance in order to prevent Uganda becoming a country of origin or transit for irregular migration and displacement in consequence of a weakened social contract. | GINI, HDI | | | 01/2020 | UNHCR and EU Member states statistics | |
| Specific Purpose | Youth in Kampala are economically empowered; host communities and relevant government authorities are able to combat radicalization and violent extremism. | % increase in number of youth engaged in gainful employment % increase in cases of human rights abuse cases that get justice | | | 30% by project end 20% by project end | Project monitoring visits and monitoring reports. Baseline study reports and project reports. Uganda Bureau of Statistics household survey reports. | |
| Result | 1. Increased knowledge of radicalization and violent extremism in Uganda, among relevant stakeholders. | Baseline survey reports on radicalization and violent extremism in Uganda disseminated. | 00 in 2015 | | 01 by 2016 | Reports dissemination records, meeting minutes. Knowledge, Attitudes and Practices (KAP) surveys | Relevant stakeholders actively participate in the dissemination meetings and read the published reports. |

| | | | | | | | |
|---------------|---|---|--|-------------------------------------|--|---|--|
| Result | 2. Increased capacity and resilience of most at risk communities to resist radicalization and combat violent extremism. | % of target population that is aware of the recruitment techniques of terrorist groups. % of target population that is able to identify signs of radicalization and appropriately respond. | 10% in 2015 5% in 2015 | | 80% by 2018 60% by project end | Pre and post Knowledge surveys Police reports Reports from Partners | Targeted communities are willing and able to take proactive steps to combat radicalization and violent extremism |
| | Intervention logic | Indicators | Baseline (incl. reference year) | Current value Reference date | Targets (incl. reference year) | Sources and means of verification | Assumptions |
| Result | 3. Increased capacity among relevant security agencies in Kampala to combat radicalization and violent extremism and to respond to human rights abuses in line with international best practices. | Proportion of security officials able to respond to cases of human rights abuses and violent extremism | 10% in 2015 | | 70% by project end | Uganda Human rights commission reports | Relevant authorities report objectively about human rights situation. |
| Result | 4. Relevant Government authorities in the education, health, urban, infrastructure and JLOS sectors have the capacity to provide conflict sensitive and non-discriminatory public services. | % of sector plans and budgets that are conflict-sensitive and non-discriminatory | 20% in 2015 | | 60% by 2018 | Sector development plans and budgets | Authorities have the willingness and capacity to make conflict sensitive and non-discriminatory plans and budgets. |
| Result | 5. Vulnerable youth in target communities access employment opportunities and financial services | % of men who are in gainful employment % women who are in gainful employment | 0% in 2015 0% in 2015 | | 60% by project end 60% by project end | Project reports | Youth have the required skills. |

Strengthening Social Cohesion and Stability in Slum Populations
RISKS AND ASSUMPTIONS MATRIX

| The main risks are: | The assumption for the success of the project and its implementation include: | Mitigating measures have been considered, including: |
|---|---|---|
| The project may be misunderstood by Government authorities and the public | High likelihood. Delays in project implementation | Proactively engage with relevant authorities before and during project implementation. |
| Targeting of some individuals by security agencies due to their association and participation in the project. | Low likelihood. Reduction in numbers and levels of participation in the project | Due diligence will be exercised and High degree of confidentiality will be exercised. Continuous engagement and sensitization. |
| Some communities/ individuals feeling like they are being profiled. | Likelihood is Medium. Can lead to low participation and resistance towards the project | Identification of beneficiaries will be conducted across all the slums of Kampala without regard to religious, ethnic or political affiliation. |
| Civil disruption before and after elections | Likelihood is high. Can cause delays in project implementation and low participation | That period will be used to carry out inception activities such as consultative meetings, recruitment of staff and conducting baseline survey. |
| Lack of funds due to changes in funding priorities | Likelihood is Low. Continuous/increased rates of crime and violence due to high numbers of unemployed and idle youth yielding fertile grounds for radicalization to violent extremism | Emphasize the benefits of implementing the proposed project. |
| Targeting of some entities/ individuals by terrorist organizations | Low likelihood. Can lead to loss of life and property | Apply high degree of confidentiality of personal/organization information and enhance security measures. |
| Assumptions | | |
| <ol style="list-style-type: none"> 1. Government of Uganda will support the implementation of the project 2. Target communities are willing and actively participate in the project 3. There will be adequate funding for the project 4. Peace and security prevails. | | |