



**ANNEX 8**

**to Commission Implementing Decision on the ENI East Regional Action Programme 2017 Part 2 (including two actions on budget 2018 and two actions on budget 2018 & 2019), to be financed from the general budget of the European Union**

**Action Document for ENI East Global Allocation 2017-2019**

**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 section 5.3.1 concerning calls for proposals.

<b>1. Title/basic act/ CRIS number</b>	ENI East Global Allocation 2017-2019 CRIS number: - ENI/2017/040-637 - ENI/2018/040-652 - ENI/2019/040-653 financed under European Neighbourhood Instrument
<b>2. Zone benefiting from the action/location</b>	ENI East countries, including the Russian Federation The action shall be carried out in the following locations: ENI East countries including Russian Federation and EU Member States
<b>3. Programming document</b>	Programming of the European Neighbourhood Instrument (ENI) - 2014-2020 - Regional East Strategy Paper (2014-2020) and Multiannual Indicative Programme (2017-2020).
<b>4. Sector of concentration/ thematic area</b>	Multisector aid
<b>5. Amounts concerned</b>	Total estimated cost: EUR 20 550 000 Total amount of EU budget contribution: EUR 7 500 000 The contribution is for an amount of: - EUR 7 500, 00 from the general budget of the European Union for 2017

	<ul style="list-style-type: none"> <li>- EUR 6 500 000 from the general budget of the European Union for 2018, subject to the availability of appropriations following the adoption of the relevant budget</li> <li>- EUR 6 500 000 from the general budget of the European Union for 2019, subject to the availability of appropriations following the adoption of the draft budget and the budget.</li> </ul> <p>This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 50 000</p>			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	<p>Project Modality</p> <p>Direct management:</p> <ul style="list-style-type: none"> <li>- grants – calls for proposals;</li> <li>- procurement of services and of supplies</li> </ul>			
<b>7 DAC code(s)</b>	43010 – Multi-sector aid			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	Not applicable			
<b>10. SDGs</b>	Not applicable			

#### SUMMARY

The ENI East Global Allocation for 2017-2019 is a support measure giving the European Commission a possibility to fund activities, including small-scale activities, in line with the objectives of the Eastern dimension of the European Neighbourhood Instrument (ENI) as well as its operational and policy priorities.

## 1 CONTEXT

### 1.1 Sector/Country/Regional context/Thematic area

Multisector aid: Support to the project cycle management and information and communication activities.

#### ***1.1.1 Public Policy Assessment and EU Policy Framework***

ENI East Global Allocation for 2017-2019 is in line with the **ENI Regional East Strategy** (2014-2020) and **Multiannual Indicative Programme** (2017-2020)<sup>1</sup>, which states in section 3.2 support measures:

*To enhance the visibility of the Eastern Partnership and ensure citizens properly perceive its activities, the EU will support communication and information activities aimed at disseminating its policies and achievements.*

*Support for identification and formulation of programmes as well as information and communication activities as defined in Article 3 of Regulation 236/2014 (Common Implementing Rules) which refers to support measures, will be provided".*

Regulation (EU) 236/2014<sup>2</sup> states under Article 3, Support measures:

1. *Union financing may cover expenditure for the implementation of the Instruments and for the achievement of their objectives, including administrative support associated with the preparation, follow-up, monitoring, audit and evaluation activities directly necessary for such implementation, as well as expenditure at Union delegations on the administrative support needed to manage operations financed under the Instruments.*

#### ***1.1.2 Stakeholder analysis***

The action is designed to support preparation, monitoring and follow-up of the EU cooperation programmes and activities in the field of information and communication by the EU Delegations in the Neighbourhood East countries and Russian Federation, and by the Commission headquarters. The end beneficiaries are citizens in the partner countries, as projects will be better prepared, monitored, followed up, and citizens will be informed about EU-funded initiatives and projects.

#### ***1.1.3 Priority areas for support/problem analysis***

Support for the project cycle management such as preparation, monitoring and follow-up of programmes, and activities in the field of information and communication.

The EU Delegations and the Commission services benefitting from the Global Allocation can utilise the funds for support activities for the project cycle management and information and communication purposes related to ENI and other EU funded/supported programmes and activities

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<sup>1</sup> Commission Implementing Decision C(2017)5408 of 4.8.2017.

<sup>2</sup> Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action. OJ L 77, 15.03.2014, p. 95.

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
N/A	N/A	N/A
<b>Assumptions</b>		
Given the experience from the Global Allocation funding under the former ENPI (2007-2013) and ENI (since 2014), it is confirmed that there is a genuine need for this flexible instrument supporting the project cycle management and information and communication activities		

## 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

### 3.1 Lessons learnt

Given the support nature of previous and current Global Allocations, past actions are assessed against the consumption level of committed funds in the previous years. This is one of the criteria, along with priorities and needs, taken into account in the initial programming, as well as in the planning exercise once the Commission Implementing Decision is adopted. The yearly high level of demand for the Global Allocation has proven that there is genuine need for this instrument as a flexible supporting tool.

The use of the Global Allocation for EU Delegation information activities in the region will be complementary to the activities financed from the same budget line (22 04 03 04 "*other multi-country cooperation in the neighbourhood – supporting measures*") used by Directorate-General for Communication for corporate communication.

### 3.2 Complementarity, synergy and donor coordination

The Global Allocation can be considered as a complementary action to the technical assistance allocations existing in the frame of the Single Support Frameworks.

Donor coordination is not relevant to an internal supporting tool for the Commission Services in Delegations and at Headquarters.

### 3.3 Cross-cutting issues

The cross-cutting issues of civil society and gender are not directly built into the Global Allocation. They are nevertheless built into the EU funded projects and other activities that the Global Allocation supports.

The cross-cutting theme of strategic communication is directly built into the Global Allocation's information and communication component. Activities under this component will focus on providing support on effectively communicating the positive impact of EU support across the Eastern Partnership region.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The objective of the ENI East Global Allocation 2017-2019 is to ensure a swift preparation of actions and projects, while enabling the European Commission to act with flexibility by means of an instrument which is capable of adapting itself to evolving circumstances and/or dealing with unforeseen situations.

The action will support project management cycle in the Eastern Neighbourhood such as preparation, follow-up and monitoring of programmes and Eastern Partnership thematic Platforms and related expert groups, and activities in the field of information and communication to achieve more understanding of and increased credibility for the EU among citizens across the EaP region. The Russian Federation may also benefit from the action.

### **4.2 Main activities**

The Global Allocation will be used as a framework for financing activities in the following fields:

#### Component 1 - Support to project cycle management and monitoring

- Identification and formulation of bilateral and regional projects that may result in funding from ENI East (e.g. sectoral/thematic studies, country or region studies, studies on horizontal and cross-cutting issues or specific cooperation areas, preparatory activities etc.) as well as their follow-up and monitoring;
- small projects and other small-scale activities to back up major bilateral, regional, ENI-wide and cross-border cooperation projects<sup>3</sup> during their implementation;
- Audits, evaluations and impact assessment of projects for which financing of such activities could not be foreseen due to the N+1 rule, or is no longer available.

#### Component 2 - Information and communication activities

- Information and communication activities to strengthen capacities for coherent communication initiatives based on the Eastern Partnership priority areas in order to raise awareness and visibility of the EU, the European Neighbourhood Policy and the Eastern Partnership;
- Information and communication activities to enhance the visibility of EU-funded activities and improve the understanding of EU cooperation policies in the ENI East region with the objective to ensure the coordination of a structured narrative for EU-funded programmes in the EaP.

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<sup>3</sup> Unless activities are specific to the EaP region, multi-region activities must combine different budgets specific to other regions (i.e. in combination with ENI Global Allocation South).

### **4.3 Intervention logic**

The utilisation of the Global Allocation funds by the EU Delegations in the ENI countries and the Russian Federation as well as the relevant Commission services depends on needs arising in the project cycle management, follow-up and monitoring needs, and information and communication activities arising throughout the year. Each beneficiary EU Delegation and Commission service makes its initial annual plan for using the Global Allocation funds in the beginning of the year, and the plan is updated throughout the year when needs occur.

## **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 2 will be carried out and the corresponding contracts and agreements implemented, is:

For actions financed under budgeted 2017	72 months from the date of adoption by the Commission of this Action Document
For actions financed under budgeted 2018	60 months from the date of adoption by the Commission of this Action Document
For actions financed under budgeted 2019	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.

### **5.4 Implementation modalities**

The programme will be implemented through direct management using both grants and procurement contracts.

Both in indirect and direct management, the Commission will ensure that EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures affecting the respective countries of operation.

The ENI East Global Allocation is a Support Measure in the meaning of Article 3 of Regulation (EU) No 236/2014. It is meant to react with flexibility to evolving circumstances and unforeseen situations. Therefore, the separation of amounts and number of contracts is provisional and indicative. Numbers are based on previous years' experience.

#### 5.4.1 Grants: call for proposals (direct management)

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

The objective of the grants is to ensure preparation and follow-up of actions and projects by giving support to project cycle management, communication and information activities.

##### (b) Eligibility conditions

As foreseen in Regulation (EU) No 236/2014.

##### (c) Essential selection and award criteria

The essential selection criteria are 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 grants under this call is 95%.

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 timing to launch the calls

For actions financed under budget 2017	Last trimester 2017, trimesters 1 and 2 in 2018.
For actions financed under budget 2018	Trimesters 3 and 4 in 2018, trimesters 1 and 2 in 2019.
For actions financed under budget 2019	Trimesters 3 and 4 in 2019, trimesters 1 and 2 in 2020.

#### 5.4.2 Procurement (direct management)

Subject	Type	Indicative number of contracts	Indicative trimester of launch of the procedure
Ensure preparation, implementation, monitoring and follow-up operations of	Supplies Services	Up to 50 per year	Between last trimester of 2017 and last trimester

actions and projects			of 2020
Information and communication activities			

### 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

Component	Amount (in EUR)	Indicative third party contribution (in EUR)
Support for project cycle management, monitoring and follow-up of projects	10 500 000	50 000
Information and communication activities	10 000 000	-
<b>Totals</b>	<b>20 500 000</b>	<b>50 000</b>

	Amount (in EUR)	Indicative third party contribution (in EUR)
5.3.1 – Grants (direct management)	1 000 000	50 000
5.3.2 – Procurement (direct management)	19 500 000	
<b>Totals</b>	<b>20 500 000</b>	<b>50 000</b>

### 5.7 Organisational set-up and responsibilities

The EU Delegations and Commission services benefiting from the Global Allocation will prepare after the approval of this Commission Decision an initial plan for the utilisation of the Global Allocation funds. They are responsible for the contracting of the funds.



## **5.8 Performance monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) or the list of result indicators (for budget support). 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).

Mid-year and other periodical updates will be carried out to assess the level of contracting of funds as well as to update the planned needs, if necessary. In addition, regular exchange of information between headquarters and EU Delegations will be assured.

## **5.9 Evaluation**

The Commission may, during implementation, decide to undertake an evaluation of this action or its components for duly justified reasons either on its own decision or on the initiative of the partner(s).

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 evaluation 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 and supported with the budget indicated in section 5.5 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 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 shall be included in the financing agreements or delegation agreements.

With regards to the Neighbourhood East, all EU-supported actions shall be aimed at increasing the awareness level of the target audiences on the connections, the outcome, and the final practical benefits for citizens of EU assistance provided in the framework of this action. Visibility actions should also promote transparency and accountability on the use of funds.

Outreaching/awareness raising activities will play a crucial part in the implementation of the action, in the case of budget support the national government shall ensure that the visibility of the EU contribution is given appropriate media coverage. The implementation of the communication activities shall be the responsibility of the implementing organisations, and shall be funded from the amounts allocated to the Action.

All necessary measures will be taken to publicise the fact that the action has received funding from the EU in line with the Communication and Visibility Manual for EU External Actions. Additional Visibility Guidelines developed by the Commission (European Neighbourhood Policy and Enlargement Negotiations) will be strictly adhered to.

Where relevant, the provisions of the Financial and Administrative Framework Agreement concluded between the European Union and the selected international organisations shall apply.

It is the responsibility of the implementing organisation to keep the EU Delegations and, where relevant, DG NEAR, fully informed of the planning and implementation of the appropriate milestones specific visibility and communication activities.

The implementing organisation shall report on its visibility and communication actions, as well as the results of the overall action to the relevant monitoring committees.

Moreover, communication and information activities are an integral part of the present action, aiming at an enhanced visibility and better understanding of EU-funded activities in the Eastern neighbourhood.

This action will be communicated externally as part of a wider context of EU support to the country, and where relevant to the Eastern Partnership region in order to enhance the effectiveness of communication activities and to reduce fragmentation in the area of EU communication.

The implementing organisation shall coordinate all communication activities with EU Delegations as well as regional communication initiatives funded by the European Commission to the extent possible. All communication strategies developed as part of this action shall ensure they are in line with the priorities and objectives of regional

communication initiatives supported by the European Commission and in line with the relevant EU Delegation's communication strategy under the "EU4Country" umbrella initiative.

**[APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY) <sup>4</sup>]**

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, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	<b>Intervention logic</b>	<b>Indicators</b>	<b>Baselines</b>	<b>Targets</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Overall objective: Impact</b>	Project management cycle in the Eastern Neighbourhood such as preparation, monitoring and follow-up of programmes, and activities in the field of information and communication supported.	<p>EU Delegations and benefitting Commission services report on positive support their activities have received from the Global Allocation funding.</p> <p>Better quality of newly prepared programme documents, higher quality of evaluation and appraisal of projects and programmes.</p> <p>Better monitoring and follow-up of programmes.</p> <p>Better visibility of EU funded programmes and EU policies in partner countries.</p>	N/A	N/A	Reporting from the EU Delegations and Commission services.	N/A

<sup>4</sup> Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'.

<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Specific objectives: outcomes</b></p>	<p>Projects funded from ENI East (e.g. sector studies, country or region studies, studies on horizontal and cross-cutting issues or in specialised areas, preparatory activities, etc.) identified and formulated. Monitoring and follow-up of the projects undertaken.</p> <p>Other small-scale activities to back up or complement major projects during their implementation undertaken.</p> <p>Audits, evaluations and impact assessment of projects for which financing of such activities could not be foreseen due to the N+1 rule, or is no longer available funded.</p> <p>Information and communication activities to strengthen capacities for coherent communication initiatives based on the Eastern Partnership priority areas in order to raise awareness and visibility of the EU, the European Neighbourhood Policy and the Eastern Partnership</p> <p>Information and communication activities to enhance the visibility of EU-funded activities and improve the understanding of EU cooperation policies in the ENI East region with the objective to ensure the coordination of a structured narrative for EU-funded programmes in the EaP.</p>	<p>Number of ENI projects whose project cycle management is supported by the Global Allocation funds.</p> <p>Number of projects monitored and followed-up.</p> <p>Number of information and communication activities organised.</p>	<p>N/A</p>	<p>N/A</p>	<p>CRIS, EAMR reports of EU Delegations, mid-year budget reporting from Global Allocation beneficiaries.</p>	<p>N/A</p>
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<b>Outputs</b>	<p>Project cycle management of ENI projects supported</p> <p>Information and communication activities undertaken.</p>		N/A.	Up to 50 contracts committed and implemented.	Number of contracts committed and finalised until the end of the implementation period of the decision.	N/A.
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