



This action is funded by the European Union

ANNEX 8

of the Commission Implementing Decision on the Annual Action Programme 2015 in favour of the ENI South countries

Action Document for Southern Neighbourhood global allocation for 2015-2017

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.

1. Title/basic act/ CRIS number	Southern Neighbourhood global allocation for 2015-2017 CRIS number: ENI/2015/038-309 financed under the European Neighbourhood Instrument
2. Zone benefiting from the action/location	Neighbourhood south countries: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine ¹ , Syria and Tunisia. Countries from the Union for the Mediterranean and the League of Arab States partner countries other than Neighbourhood south partner countries: Albania, Bahrain, Bosnia and Herzegovina, Comoros, Djibouti, Iraq, Kuwait, Mauritania, Montenegro, Oman, Qatar, Saudi Arabia, Somalia, Sudan, Turkey, United Arab Emirates and Yemen. The action shall be carried out at the following location: countries as listed above.
3. Programming document	Programming of the European Neighbourhood Instrument (ENI) - 2014-2020. Regional South Strategy Paper (2014-2020) and Multiannual Indicative Programme (2014-2017)
4. Sector of concentration/ thematic area	Complementary support/Multi-sector aid
5. Amounts concerned	Total estimated cost: EUR 36,250,000 Total amount of EU budget contribution EUR 35,000,000.

¹ This designation shall not be construed as recognition of a State of Palestine and is without prejudice to the individual positions of the Member States on this issue

	<p>The contribution is for an amount of EUR 10,000,000 from the general budget of the European Union for 2015, for an amount of EUR 12,000,000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget, and for an amount of EUR 13,000,000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.</p> <p>Budget line: 21.03.03.03</p> <p>This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 1,250,000.</p>			
6. Aid modality(ies) and implementation modality(ies)	<p>Project Modality</p> <p>Direct management:</p> <ul style="list-style-type: none"> – grants – calls for proposals; – procurement of services and supplies. 			
7. DAC code(s)	43010 – Multi-sector			
8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	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"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	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"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	Not applicable			

SUMMARY

The Southern Neighbourhood global allocation for 2015-2017 is a support measure giving the European Commission the possibility to finance small-scale measures that are needed for the achievement of the objectives of the Southern dimension of the European Neighbourhood Policy and its operational and policy priorities.

1 CONTEXT

1.1 Thematic area

Multisector aid: support to the project cycle management, information and communication activities and organisation of meetings and training activities.

1.1.1 *Public Policy Assessment and EU Policy Framework*

Based on the “Common rules and procedures for the implementation of the Union's instruments for external action” (CIR)², in particular Article 3 on “Support measures”, the Southern Neighbourhood global allocation for 2015-2017 provides funding to cover expenditure for the implementation of the ENI and for the achievement of its objectives³, including inter alia administrative support associated with the preparation, follow-up, monitoring, audit and evaluation activities directly necessary for such implementation, as well as expenditure at EU delegations on the administrative support needed to manage operations financed under the Instrument.

The EU financing may also cover:

- a) studies, meetings, information, awareness-raising, training, exchanges of lessons learned and best practices, publication activities and any other administrative or technical assistance expenditure necessary for the management of the actions;
- b) research activities and studies on relevant cooperation-related issues and the dissemination thereof;
- c) expenditures related to the provision of information and communication actions, including the development of communication strategies and corporate communication of the political priorities of the EU.

The Strategy Paper 2014-2020 and Multiannual Indicative Programme 2014-2017 for Regional South⁴ recognises the global allocation as one of its key tools to cover expenditures associated with the activities necessary for the implementation of the indicative programme, the organisation of regional ministerial meetings, working groups and related conferences as well as pilot activities in new areas of cooperation.

1.1.2 *Stakeholder analysis*

The main stakeholders are the ENI Southern Partner countries, namely: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine, Syria, and Tunisia. Therefore and if relevant, countries from the Union for the Mediterranean and the League of Arab States partner countries other than Neighbourhood south partner countries⁵ (shall be associated to the activities foreseen by this action, in accordance with Article 16(1) of Regulation (EU) No 232/2014.

The action is designed to support preparation, monitoring and follow-up of the EU cooperation programmes by the EU Delegations in the Southern Neighbourhood countries and by the Commission Headquarters. The end beneficiaries are citizens in the partner countries, as projects will be better prepared, monitored and followed-up.

² Regulation (EU) No 236/2014.

³ See Article 2 of the ENI Regulation (EU) No 232/2014.

⁴ C(2014) 5242 of 30 July 2014.

⁵ Albania, Bahrain, Bosnia and Herzegovina, Comoros, Djibouti, Iraq, Kuwait, Albania, Mauritania, Montenegro, Turkey, Bahrain, Comoros, Djibouti, Iraq, Kuwait, Oman, Qatar, Saudi Arabia, Somalia, Sudan, Turkey, United Arab Emirates and Yemen.

1.1.3 *Priority areas for support/problem analysis*

The EU Delegations and the Commission services can use the global allocation for support activities for the project cycle management such as preparation, monitoring and follow-up of programmes, for information and communication purposes and organisation of meetings and training activities related to ENI and other EU funded/supported programmes and activities.

2 **RISKS AND ASSUMPTIONS**

Risks	Risk level (H/M/L)	Mitigating measures
N/A	N/A	N/A
Assumptions		
Given the experience from the global allocation funding under the former European Neighbourhood and Partnership Instrument (2007-2013) and the European Neighbourhood Instrument (since 2014), it is assumed that there is a genuine need for this instrument that allows Commission Headquarters and Delegations to plan cooperation related activities in a flexible way.		

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.

3.2 **Complementarity, synergy and donor coordination**

The global allocation is 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**

Cross-cutting issues as such 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.

4 **DESCRIPTION OF THE ACTION**

4.1 **Objectives/results**

The objective of this global allocation 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.

4.2 Main activities

The global allocation will be used as a framework for financing activities in the following fields:

(1) Support for project cycle management

This component includes activities linked to:

- a) identification and formulation of bilateral and regional projects which may result in funding from ENI (e.g. sectoral/thematic studies, country or region studies, studies on cross-cutting issues or specific cooperation areas, preparatory activities, etc.);
- b) small projects and other small-scale activities to back up major bilateral, regional, ENI-wide and cross-border cooperation projects during their implementation;
- c) audit, evaluation 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.

(2) Studies and information activities

This component supports activities in the following areas:

- a) information: publications, communication and awareness-raising activities to promote the European Neighbourhood Policy (ENP) and enhance in particular the visibility of EU's activities in the Southern Neighbourhood countries;
- b) studies: inter alia studies on relevant issues, data collection and processing and the dissemination thereof.

(3) Organisation of meetings and training activities

This component covers the following activities:

- a) organisation of different kinds of meetings in the framework of the ENP South region, including ministerial conferences conducted in cooperation with the EU presidency, thematic workshops and working groups, civil fora, sectoral preparatory meetings, etc.;
- b) training activities organised in the framework of the ENP South region, inter alia:
 - i. Training seminars for League of Arab States (LAS) representatives and other joint activities in the priority sectors of cooperation between the EU and the LAS following the Declaration of the EU-LAS Ministerial meeting held in Athens, in June 2014.
 - ii. Information and training seminars for diplomats coming from Union for the Mediterranean (UfM) countries.

If relevant, countries from the UfM and LAS⁶ shall be associated to the activities foreseen by this action, in accordance with Article 16(1) of Regulation (EU) No 232/2014.

4.3 Intervention logic

The utilisation of the global allocation funds by the EU Delegations in the Southern Neighbourhood countries as well as Commission services depends on needs arising in the project cycle management, follow-up and monitoring needs, information and communication activities and organisation of meetings and training activities arising throughout the year. Each beneficiary Delegation and Commission service makes its initial annual plan for using the global allocation funds in the beginning of each year, and the plan is updated throughout the year when need occurs.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner countries, 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 sections 4.2 will be carried out and the corresponding contracts and agreements implemented, is as follows:

For actions financed under budget 2015	48 months from the date of adoption by the Commission of this Action Document
For actions financed under budget 2016	60 months from the date of adoption by the Commission of this Action Document
For actions financed under budget 2017	72 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 modalities

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

The Southern Neighbourhood global allocation is meant to react with flexibility to evolving circumstances and unforeseen situations. Therefore, the separation of

⁶ Albania, Bahrain, Bosnia and Herzegovina, Comoros, Djibouti, Iraq, Kuwait, Mauritania, Montenegro, Oman, Qatar, Saudi Arabia, Somalia, Sudan, Turkey, United Arab Emirates and Yemen.

amounts and number of contracts is provisional and indicative. Numbers are based on previous years' experience.

5.3.1 *Grants: calls 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 of actions and projects by giving support to project cycle management, studies and information activities and organisation of meetings and training activities.

(b) Eligibility conditions

As foreseen in the ENI basic act.

(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 80%.

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 2015	Last trimester 2015, trimesters 1 and 2 in 2016.
For actions financed under budget 2016	Trimesters 3 and 4 in 2016, trimesters 1 and 2 in 2017.
For actions financed under budget 2017	Trimesters 3 and 4 in 2017, trimesters 1 and 2 in 2018.

5.3.2 *Procurement (direct management)*

<i>Subject</i>	<i>Type</i>	<i>Indicative number of contracts</i>	<i>Indicative trimester of launch of the procedure</i>
Ensure preparation of actions and projects	Services Supplies	Up to 270	Between last trimester 2015 and 2 nd trimester 2018

5.4 **Scope of geographical eligibility for procurement and grants**

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased

as established in the basic act and set out in the relevant contractual documents shall apply, subject to the following provision.

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.

5.5 Indicative budget

Component/Module	EU contribution (in EUR)	Indicative third party contribution (in EUR)
<i>Component “Support for project cycle management” composed of:</i>	25,000,000	
5.3.1 – Calls for proposals (direct management)	1,000,000	250,000
5.3.2 – Procurement (direct management)	24,000,000	N.A.
<i>Component “Studies and information activities” composed of:</i>	5,000,000	
5.3.1 – Calls for proposals (direct management)	3,000,000	750,000
5.3.2 – Procurement (direct management)	2,000,000	N.A.
<i>Component “Organisation of meetings and training activities” composed of:</i>	5,000,000	
5.3.1 – Calls for proposals (direct management)	1,000,000	250,000
5.3.2 – Procurement (direct management)	4,000,000	N.A.
TOTALS	35,000,000	1,250,000

5.6 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 funds and they are responsible for their contracting.

5.7 Performance monitoring and reporting

The monitoring of the implementation will be carried out, including periodic assessment of progress and delivery of the project results.

5.8 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.

Where relevant, evaluation reports shall be shared with the partner countries 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 action.

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

5.9 Audit

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

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

5.10 Communication and visibility

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget 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 Action⁷ shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

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https://ec.europa.eu/europeaid/sites/devco/files/communication_and_visibility_manual_en.pdf.

APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

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.

	<i>Intervention logic</i>	<i>Indicators</i>	<i>Sources and means of verification</i>	<i>Assumptions</i>
Overall objective	<i>To ensure a swift preparation of actions and projects, while enabling the European Commission to act with flexibility by means of an instrument capable of adapting itself to evolving circumstances and/or dealing with unforeseen situations.</i>			
Programme purpose	<p><i>To provide:</i></p> <p><i>1) Support for project cycle management (including identification, formulation, audit, evaluation, impact assessment of projects and small-scale projects/activities to back up major ENI programmes, etc.)</i></p> <p><i>2) Studies and information activities (including publications, awareness-raising, visibility, data collection and processing, etc.)</i></p> <p><i>3) Organisation of meetings and training activities in the framework of the ENP South Region (also including activities for LAS and UfM countries representatives)</i></p>	<p><i>Commitments rate of available budget to finance programmes through the ENI in the ENP South.</i></p> <p><i>Knowledge of the EU and of the European Neighbourhood Policy (ENP) in particular in partner countries (institutions, organisations, citizens, etc.).</i></p>	<p><i>CRIS</i></p> <p><i>Budget execution and amount of RAC (Reste à contracter).</i></p> <p><i>External Assistance Management Reports (EAMR) as well as other yearly reports at HQ level.</i></p> <p><i>Mid-term evaluations of the programming documents.</i></p> <p><i>Number of publications sold and visits to EU Delegations websites.</i></p> <p><i>Participation of partner countries institutions, organisations and citizens in events organised by the EU Delegations.</i></p>	<p><i>Socio-economic and political stability of the partner countries.</i></p> <p><i>Quality of the political dialogue with partner governments.</i></p> <p><i>Quality of the dialogue with citizens and non-governmental organisations.</i></p> <p><i>Quality of the past support provided to partner countries.</i></p> <p><i>Relevance of the activities in the socio-economic and political context of the partner countries.</i></p>

			<i>Feedback from participants in meetings and training activities.</i>	
Expected results	<p><i>Projects funded from ENI South (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.</i></p> <p><i>Other small-scale activities to back up major projects during their implementation undertaken.</i></p> <p><i>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.</i></p> <p><i>Information and communication activities to (i) raise awareness and visibility of the EU and the European Neighbourhood Policy; (ii) to enhance the visibility of EU-funded activities; and (iii) to improve the understanding of EU cooperation policies in the Southern Neighbourhood region implemented.</i></p> <p><i>Organisation of meetings and training activities, thematic workshops and working groups, civil fora, sectoral preparatory meetings, etc.</i></p>	<p><i>Number of identification and feasibility studies.</i></p> <p><i>Number of projects identified and prepared in cooperation with institutions and organisations in the partner countries</i></p> <p><i>Design and formulation of good quality programmes within the set deadlines.</i></p> <p><i>Number of studies, audits and evaluations carried out and that cannot be financed with the allocated budget of the programmes.</i></p> <p><i>Number of publications</i></p> <p><i>Number of events promoting visibility of the ENP.</i></p> <p><i>Number of meetings, workshops, seminars, conferences, etc. organised and number of participants.</i></p> <p><i>Number of trainings and number of participants.</i></p>	<p><i>CRIS</i></p> <p><i>Budget execution and amount of RAC (Reste à contracter).</i></p> <p><i>External Assistance Management Reports (EAMR) as well as other yearly reports at HQ level.</i></p> <p><i>Delay for the approval and comments by HQ on the action documents going through quality review.</i></p> <p><i>Minutes of the meetings with the counterparts on the implementation of the programmes.</i></p> <p><i>Programmes implementation reports.</i></p> <p><i>Result-oriented monitoring (ROM) reports.</i></p> <p><i>Programmes evaluation reports.</i></p> <p><i>Feedback from participants in meetings and training activities.</i></p>	<p><i>Socio-economic and political stability of the partner countries.</i></p> <p><i>Good quality of dialogue and cooperation between Delegations and counterparts in partner countries.</i></p> <p><i>Good quality of terms of reference and work of experts in charge of the studies and of the technical assistance.</i></p> <p><i>Capacity and willingness of a constructive and substantial participation of the counterparts in dialogues, meetings, events, training, etc.</i></p>