



This action is funded by the European Union

ANNEX 3

of the Commission Implementing Decision on the ENI East Regional Action Programme
2016 and 2017, Part I

Action Document for ENI East Global Allocation 2016

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	ENI East Global Allocation 2016 CRIS number: ENI/2016/038-775 financed under European Neighbourhood Instrument
2. Zone benefiting from the action/location	ENI East countries, including the Russian Federation. The action shall be carried out at the following location: ENI East countries, including Russia, and in Commission Headquarters in Brussels.
3. Programming document	Programming of the European Neighbourhood Instrument (ENI) - 2014-2020 - Regional East Strategy Paper (2014-2020) and Multiannual Indicative Programme (2014-2017).
4. Sector of concentration/ thematic area	Multisector aid
5. Amounts concerned	Total estimated cost: EUR 6 550 000 Total amount of EU budget contribution EUR 6 500 000 This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 50 000
6. Aid modality(ies) and implementation modality(ies)	Project Modality Direct management: grants – call for proposal; procurement of services and supplies
7. DAC code(s)	43010 – multisector aid

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"/>	<input checked="" 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	N/A.			

SUMMARY

The ENI East Global Allocation 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 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

The Global Allocation programme is in line with the **ENI Regional East Strategy** (2014-2020) and **Multiannual Indicative Programme** (2014-2017)¹, which states in paragraph 7.4. Horizontal and sectoral support:

"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, may be provided."

The Regulation 236/2014 laying down common rules and procedures for the Union's instruments for financing external action (CIR)² states under Article 3, Support measures:

¹ C(2014) 5200 28.7.2014.

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.

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
N/A	N/A	N/A
Assumptions		
Given the experience from the ENPI and ENI Global Allocation funding of the previous years, it is confirmed that there is a genuine need for this flexible instrument supporting the project cycle management and information and communication activities.		

² 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.

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

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 Decision is adopted. The yearly recurrent need for the Global Allocation has proven that there is genuine need for this instrument as a flexible supporting tool.

The Global Allocation can be considered as a complementary action to the technical assistance allocations existing in the frame of the Single Support Frameworks. Global Allocation for EU Delegation information activities in the region will be complementary to the activities financed from the budget line 19 06 01 - “Information outreach on the Union's external relations”.

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.

3.1 Lessons learnt

See above.

3.2 Complementarity, synergy and donor coordination

As regards complementarity and synergy, see above. Donor coordination is not relevant to an internal supporting tool for the Commission Services in EU Delegations and the Headquarters.

3.3 Cross-cutting issues

See above.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The objective of the ENI East Global Allocation is to support the project management cycle in the Eastern Neighbourhood such as preparation, follow-up and monitoring of programmes, Eastern Partnership flagships, and activities in the field of information and communication. The Russian Federation may also benefit from the action.

4.2 Main activities

The ENI East Global Allocation will be used to finance activities in the following two fields:

Component 1 - Support to project cycle management and monitoring:

- Identification and formulation of projects that may result in funding 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.) as well as their follow-up and monitoring;

- Other small-scale activities to back up or complement major projects 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 (i) raise awareness and visibility of the EU, the European Neighbourhood Policy and the Eastern Partnership; (ii) to enhance the visibility of EU-funded activities; and (iii) to improve the understanding of EU cooperation policies in the ENI East region.

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 unit 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 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 section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 60 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 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.

5.3.1 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, studies and information activities and organisation of meetings and training 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 up to 95%.

In accordance with Article 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 call

4th quarter of 2016 / 1st quarter of 2017.

5.3.2 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 actions and projects Information and communication activities	services supplies	Up to 50	Throughout 2016 and 2017

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.

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	Amount in EUR
Support for project cycle management, monitoring and follow-up of projects	3 800 000
Information and communication activities	2 700 000
TOTAL	6 500 000

Module	Amount in EUR	Indicative third party contribution
5.3.1. – Grants (direct management)	200 000	50 000
5.3.2. – Procurement (direct management)	6 300 000	
Totals	6 500 000	50 000

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 Global Allocation funds for 2016-2017. They are responsible for the contracting of the funds.

5.7 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 partners' responsibilities. To this aim, the implementing partners 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. 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).

A 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.

5.8 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(s).

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

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 5.55 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner countries, contractors and/or grant beneficiaries. Appropriate contractual obligations shall be included in the procurement and grant contracts.

The Communication and Visibility Manual for European Union External Action³ shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

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.

³ https://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en

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	Indicators	Baselines	Targets	Sources and means of verification	Assumptions
Overall objective: Impact	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

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Specific objectives: outcomes</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 (i) raise awareness and visibility of the EU, the European Neighbourhood Policy and the Eastern Partnership; (ii) to enhance the visibility of EU-funded activities; and (iii) to improve the understanding of EU cooperation policies in the ENI East region implemented.</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>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Outputs</p>	<p>Project cycle management of ENI projects supported</p> <p>Information and communication activities undertaken.</p>		<p>N/A.</p>	<p>Up to 50 contracts committed and implemented.</p>	<p>Number of contracts committed and finalised until the end of the implementation period of the decision.</p>	<p>N/A.</p>