



ANNEX 2

of the Commission Implementing Decision on the ENI East Regional Action Programme
2020 Part II, to be financed from the general budget of the European Union

Action Document for ENI East Global Allocation 2020

ANNUAL PROGRAMME

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation and action programme in the sense of Articles 2 and 3 of Regulation N° 236/2014.

1. Title/basic act/ CRIS number	ENI East Global Allocation 2020 CRIS number:ENI/2020/042-675 financed under the 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 Russian Federation and EU Member States	
3. Programming document	Programming of the European Neighbourhood Instrument (ENI) - 2014-2020 - Regional East Strategy Paper (2014-2020) and Multiannual Indicative Programme (2017-2020).	
4. Sustainable Development Goals (SDGs)	Not applicable	
5. Sector of intervention/ thematic area	Multisector aid	DEV. Assistance: YES
6. Amounts concerned	Total estimated cost: EUR 6 500 000 Total amount of European Union (EU) contribution EUR 6 500 000 from the general budget of the European Union for 2020.	
7. Aid modality(ies) and implementation modality(ies)	Project Modality Direct management through: – Grants – Procurement Indirect management with the entrusted entity(ies) to be selected in	

	accordance with the criteria set out in section 5.3.3			
8 a) DAC code(s)	43010 – Multi-sector aid			
b) Main Delivery Channel	Not applicable			
9. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Principal 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 and Women's and Girl's Empowerment	<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	Principal 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"/>	
10. Global Public Goods and Challenges (GPGC) thematic flagships	Not applicable			

SUMMARY

The ENI East Global Allocation for 2020 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 ANALYSIS

1.1 Context Description

Multisector aid: support to the project cycle management and studies, and information and communication activities.

1.2 Policy Framework (Global, EU)

Based on the Common rules and procedures for the implementation of the Union's instruments for external action (CIR)¹, in particular Article 3 on support measures, the ENI East Global Allocation for 2020 provides funding to cover expenditure for the implementation of the ENI and for the achievement of its objectives².

ENI East Global Allocation for 2020 is in line with the ENI Regional East Strategy (2014-2020) and Multiannual Indicative Programme (2017-2020)³, 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".

The action will in particular support the new long-term policy objectives set out in the Joint Communication of the European Commission and the High Representative of the Union for Foreign Affairs and Security Policy “Eastern Partnership policy beyond 2020 - Reinforcing Resilience - an Eastern Partnership that delivers for all”⁴ with the aim to strengthen resilience, foster sustainable development and deliver tangible results for society as well as promoting a stronger and more strategic approach to communication and visibility.

Regulation (EU) 236/2014⁵ 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 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 Article 2 of the ENI Regulation (EU) No 232/2014

³ Commission Implementing Decision C(2017)5408 of 4.8.2017.

⁴ JOIN(2020) 7 of 18.03.2020

⁵ 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.

1.3 Public Policy Analysis of the region

The main specific objective is to support activities funded from ENI East with the aim to promote socio-economic and political stability across the Eastern Partnership (EaP) region.

1.4 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.

1.5 Problem analysis/priority areas for support

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

- studies, meetings, 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;
- information, communication and awareness-raising actions, including the development of communication strategies and corporate communication of the political priorities of the EU.

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Not applicable	Not applicable	Not applicable
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 confirmed that there is a genuine need for this instrument that allows Commission headquarters and delegations to plan co-operation related activities in a flexible way.		

3 LESSONS LEARNT AND COMPLEMENTARITY

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 co-ordination

The global allocation is a complementary action to the Technical Assistance allocations existing in the frame of the Single Support Frameworks. Donor co-ordination is not relevant to an internal supporting tool for the Commission services in delegations and at headquarters.

4 DESCRIPTION OF THE ACTION

4.1 Overall objective, specific objective(s), expected outputs and indicative activities

The objective of the ENI East Global Allocation 2020 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 EaP 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 action may also address activities related to the thematic priorities, including in the field of information and communication, of other two policies at regional level of the ENI East, namely the Black Sea Synergy (BSS) and the Northern Dimension (ND). The ENI East countries, which for the purpose of this action may include the regions of the Russian Federation⁶.

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 projects⁷ 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.
- Inter alia studies on relevant issues, data collection and processing and the dissemination thereof.

⁶ Regulation (EU) No 232/2014 of the European Parliament and of the Council of 11 March 2014 establishing a European Neighbourhood Instrument (<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32014R0232>)

⁷ 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).

Component 2 - Information and communication activities

- Information and communication activities to strengthen capacities for coherent communication initiatives based on the EaP priority areas, and also on the BSS and ND, in order to raise awareness and visibility of the EU, the European Neighbourhood Policy (ENP) and the EaP;
- 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, and also in the regional cooperation of the BSS and ND.

4.2 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.

4.3 Mainstreaming

Cross-cutting issues 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.

4.4 Contribution to Sustainable Development Goals (SDGs)

The global allocation contributes indirectly to the United Nations 2030 Agenda for Sustainable Development via the EU-funded projects and activities it supports.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the territory.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Decision and the relevant contracts and agreements.

5.3 Implementation modalities

The Commission will ensure that the 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 measures⁸.

5.3.1 Grants: (direct management)

(a) Purpose of the grants

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) Type of applicants targeted

Target applicants are public bodies and local authorities, non-governmental organisations as well as legal persons established in the EaP region or in EU member states.

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.

5.3.2 Procurement (direct management)

The procurement will contribute to the achievement of the objectives in section 4.

5.3.3 Indirect management with entrusted entities

A part of this action may be implemented in indirect management with entities selected by the Commission's services using the following criteria: substantial experience in preparation, follow-up, monitoring, audit and/or evaluation activities that are directly necessary for the implementation of the action,

The implementation by this entity entails activities related to the specific objectives of the programme.

5.3.4 Changes from indirect to direct management mode due to exceptional circumstances

In case the above-described implementation modality under indirect management cannot be used due to circumstances outside of the Commission's control, the alternative implementation modality of grant (direct management) will be used.

⁸

www.sanctionsmap.eu Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

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 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)	Indicative third party contribution
Support for project cycle management, monitoring and follow-up of projects	4 000 000	n/a
Information and communication activities	2 500 000	n/a
Totals	6 500 000	n/a

	Amount (in EUR)	Indicative third party contribution
5.3.1 – Grants (direct management)	1 500 000	n/a
5.3.2 – Procurement (direct management)	4 500 000	n/a
5.3.3 – Indirect management with entrusted entities	500 000	n/a
Totals	6 500 000	n/a

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. They are responsible for the contracting of the funds.

5.7 Performance and results 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 partner's strategy, policy or reform action plan list (for budget support).

SDGs indicators and, if applicable, any jointly agreed indicators as for instance per Joint Programming document should be taken into account.

Reports 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.

5.8 Evaluation

Having regard to the nature of the action, a final evaluation will not be carried out for this action or its components contracted by the Commission.

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

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.

5.9 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.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country (for instance, concerning the reforms supported through budget support), 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 Requirements for European Union External Action (or any succeeding document) shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

This action already includes activities meant for supporting communication of the Delegations and the Commission Headquarters and in particular visibility of EU's activities in the Eastern Neighbourhood. Action plans will be devised at country level through respective communication contracts, wherever relevant.

APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

	Results chain: Main expected results	Indicators	Baselines	Targets	Sources of data	Assumptions
Impact (Overall Objective)	<p>To ensure swift preparation, monitoring and follow-up of actions and projects, and activities in the field of information and communication. 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.</p> <p><i>As per section 4 of the Action Document</i></p>	<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.	<i>Not applicable</i>
Outcomes (Specific Objectives)	<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</p>	<p>Commitments rate of available budget to finance programmes through the ENI in the EaP region.</p> <p>Awareness and understanding of the EU and of the ENP, in particular in partner countries (institutions, organisations, citizens, etc.).</p>	n/a	n/a	<p>CRIS/Opsys</p> <p>Budget execution and amount of <i>Reste à contracter</i> (RAC)</p> <p>External assistance management reports (EAMR) and other yearly reports.</p> <p>Participation of partner countries institutions, organisations and citizens in events organised by the EU Delegations.</p>	<p>Socio-economic and political stability of the partner countries.</p> <p>Quality of the political dialogue with partner governments.</p> <p>Quality of the dialogue with citizens and non-governmental organisations.</p> <p>Quality of the past support provided to partner countries.</p>

	<p>longer available funded.</p> <p>Information and communication activities to strengthen capacities for coherent communication initiatives based on the EaP priority areas, and also in the regional cooperation of the BSS and ND, in order to raise awareness and visibility of the EU, the ENP and the EaP.</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, and also in the regional cooperation of the BSS and ND.</p> <p><i>As per section 4 of the Action Document</i></p>				<p>Minutes of the meetings with the counterparts on the implementation of the programmes.</p> <p>Programmes implementation reports.</p> <p>Media monitoring, views and interaction on social media</p> <p>Result-oriented monitoring (ROM) reports.</p> <p>Programmes evaluation reports.</p> <p>Feedback from stakeholders.</p>	<p>Relevance of the activities in the socio-economic and political context of the partner countries.</p>
<p>Outputs</p>	<p>Projects funded from ENI identified and formulated.</p> <p>Monitoring and follow-up of the projects undertaken.</p> <p>Other small-scale activities to back up 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</p>	<p>Number of identification and feasibility studies.</p> <p>Number of projects identified and prepared in co-operation with institutions and organisations in the partner countries</p> <p>Design and formulation of good quality programmes.</p> <p>Number of studies, audits and evaluations carried out.</p> <p>Number of communication activities launched.</p> <p>Number of people and media reached.</p>	<p>n/a</p>	<p>n/a</p>	<p>Idem as above</p>	<p>Socio-economic and political stability of the partner countries.</p> <p>Good quality of dialogue and co-operation between delegations and counterparts in partner countries.</p> <p>Good quality of terms of reference and work of experts in charge of studies and technical assistance.</p>

	<p>activities to (i) raise awareness and visibility of the EU and the ENP; (ii) to enhance the visibility of EU-funded activities; and (iii) to improve the understanding of the EaP implemented.</p> <p>Increased communication and dissemination of the outputs.</p> <p>Policy recommendations concerning key regional economic, political and governance/ reform issues are produced.</p> <p>Organisation of meetings and training activities, thematic workshops and working groups, civil fora, sectoral preparatory meetings, etc.</p> <p><i>As per section 4 of the Action Document</i></p>	<p>Number of visibility events.</p> <p>Number and quality of policy briefs produced and number of policy dialogues supported.</p> <p>Number of meetings, trainings, workshops, seminars, conferences, etc. organised and number of participants.</p>				<p>Capacity of constructive and substantial participation of counterparts in dialogues, meetings, events, training, etc.</p> <p>Communication treated as priority by the delegations.</p> <p>Communication and Visibility Plans created at the start of a project or action in accordance with the contractual obligations.</p>
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