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ANNEX

of Commission Implementing Decision on the financing of the support measures in 2023 for crisis response actions undertaken under the Rapid Response Pillar of the Neighbourhood, Development and International Cooperation Instrument

SUPPORT MEASURES

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation, and support measures in the sense of Article 24 of the NDICI-Global Europe Regulation.

1. SYNOPSIS

1.1. Action Summary Table

1. Title	Support measures in 2023 for crisis response actions undertaken under the Rapid Response Pillar of the Neighbourhood, Development and International Cooperation Instrument
OPSYS business reference	OPSYS number: ACT-62103
Basic Act	Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
2. Team Europe Initiative	No
3. Zone benefiting from the action	Global
4. Programming document	N/A
5. Link with relevant MIP(s) objectives/expected results	N/A
PRIORITY AREAS AND SECTOR INFORMATION	
6. Priority Area(s), sectors	152
7. Sustainable Development Goals (SDGs)	Main SDG (1 only): 16 Other significant SDGs (up to 9) and where appropriate, targets: N/A
8 a) DAC code(s)	15220 - Civilian peace building, conflict prevention and resolution (100%)
8 b) Main Delivery Channel @	52000 - Other (includes 'for profit', consultants and consultancy firms)

9. Targets	<input type="checkbox"/> Migration <input type="checkbox"/> Climate <input type="checkbox"/> Social inclusion and Human Development <input type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input checked="" type="checkbox"/> Human Rights, Democracy and Governance			
10. Markers (from DAC form)	General policy objective @	Not targeted	Significant objective	Principal 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 and women's and girl's empowerment	<input type="checkbox"/>	<input checked="" 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"/>
	Disaster Risk Reduction @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition @	<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"/>
11. Internal markers and Tags:	Policy objectives	Not targeted	Significant objective	Principal objective
	Digitalisation @ Tags: digital connectivity digital governance digital entrepreneurship job creation digital skills/literacy digital services	<input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Connectivity @ Tags: transport people2people energy digital connectivity	<input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Migration @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	(methodology for tagging under development)			
	Reduction of Inequalities (methodology for marker and tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BUDGET INFORMATION				
12. Amounts concerned	Budget line(s) (article, item): 14 02 03 10 Total estimated cost: EUR 2 000 000 Total amount of EU budget contribution EUR 2 000 000			
MANAGEMENT AND IMPLEMENTATION				
13. Type of financing¹	Direct management through: - Grants - Procurement Indirect management with the entities to be selected in accordance with the criteria set out in section 4.1.3			

1.2. Summary of the Action

The support measures for crisis response actions undertaken under the Rapid Response Pillar of the Neighbourhood, Development and International Cooperation Instrument – Global Europe, are designed to cover expenditures associated with the preparation, follow up, monitoring, and evaluation activities related to the implementation of crisis response action under the Rapid Response Pillar of NDICI – Global Europe. Such activities (third party monitoring, evaluations, project identifications, studies, meetings, information sessions, special events for awareness-raising, publications, training activities and any other technical assistance expenditure, including interests for late payments, etc.) contribute to the sound management of rapid response actions, to the achievement of the expected results and objectives and to the measurement, analysis and reporting of outcomes and impacts.

2. RATIONALE

2.1. Context

Interventions under the Rapid Response Pillar of the Neighbourhood, Development and International Cooperation Instrument – Global Europe are implemented in fragile contexts often under difficult security conditions which requires access to alternatives for traditional monitoring, e.g. third party monitoring. Support Measures will include know-how transfer, the exchange of information and best practices (including the use and development of methodologies and/or knowledge products), risk/threat assessment, research and analysis, as well as technical assistance for the implementation of crisis response.

2.2. Problem Analysis

A problem analysis cannot be undertaken on the support measures as such given their nature as support measures to crisis response actions undertaken under the Rapid Response Pillar of the Neighbourhood, Development and International Cooperation Instrument which are developed within a very short timeframe and are not yet identified.

3. DESCRIPTION OF THE ACTION

3.1. Objectives and Expected Outputs

The overall objective of the support measures is to contribute to the objectives of the crisis response actions undertaken under the NDICI – Global Europe rapid response pillar by ensuring the best use of the resources in terms

¹ Art. 27 NDICI

of the priorities to be addressed and the impact of responses.

The specific objective is to establish the support measures as a flexible structure aiming at the provision of reliable and effective technical assistance to beneficiaries in the areas covered by the rapid response pillar.

3.2. Indicative Activities

Activities to be undertaken under the support measures may include:

- a) Programmes and projects implemented in/with beneficiary countries are monitored and evaluated:
 - Third party monitoring in areas difficult to access and with concerning security conditions;
 - Monitoring the ongoing programmes and projects financed under the rapid response pillar and providing recommendations on necessary corrective measures;
 - Carrying out evaluations of programmes and projects including the assessment of outputs, outcomes and impacts.
- b) The development of policy orientations through advice, through access to studies undertaken by appropriate experts, and through stakeholder engagement:
 - Organising and facilitating workshops/seminars/conferences/study visit programmes with specialists;
 - Undertaking studies covering e.g. risk analysis, gender analysis, assessments, identification/definition of needs, feasibility, analysis;
 - Identifying synergies within actions and with other EU actions.
- c) Support is provided in the identification and formulation of projects and programmes in support to and taking into account the real needs and priorities of beneficiary countries:
 - Conducting needs-assessment missions;
 - Drafting project proposals, terms of references, etc.
- d) The capacity to support and to assist beneficiary countries (e.g. conflict analysis, short-term capacity-building, national security strategy support, etc.) with activities that in some cases might be followed-up through separate crisis response actions.

3.3. Mainstreaming

Gender and empowerment of women and girls

The action will be implemented with attention to gender equality and inclusion.

Conflict sensitivity, peace and resilience

The action will be implemented with emphasis on a conflict sensitive approach.

3.4. Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
Risk of inefficient management: (Responsiveness)	Risk 1	Medium	High	Due to the nature of crisis response actions, it is essential that the activities implemented under the support measures are swift and able to adapt. While there is an inherent risk that contracting and mobilisation could be delayed due to

				administrative or practical constraints, the established procedures are expected to continue to facilitate timely responses.
Risk of ineffective management: non-achievement of political, strategic or operational performance objectives (policy or control)	Risk 2	Medium	High	Due to the high sensitivity and political importance of many of the crisis response measures, attention to quality is of particular importance. The results of the implementation of the actions will be regularly monitored and reviewed according to the needs identified.
Risk of non-compliance	Risk 3	Medium	High	To avoid irregularities, due attention will be paid to transparency and to the fair treatment of the potential implementers of the action. The interventions under this action will be performed according to the procedures for the EU external actions, in particular through framework contracts (FWC).

Lessons Learnt:

The lessons learnt stem from previous experiences of support measures under the Instrument contributing to Stability and Peace. The experience from the seven years of IcSP support measures has been positive. The support measures play a crucial role in the definition of crisis response measures, as well as for their implementation and evaluation. The support measures are quick and flexible tools that require light administration. For that reason, service contracts, and in particular framework contracts (FWC), have shown to be adept in terms of relevance, effectiveness, efficiency and impact. In order to increase flexibility under the support measures, provisions for grants as well as indirect management were added to allow for an even greater pool of potential implementing partners. This is in line with the recommendation in the external Mid-Term Evaluation of the IcSP that “*Small actions (e.g. conflict analyses, feasibility studies, etc.) undertaken to enhance efficiency, should not require the same processes to be followed as large decisions*”.² The first support measure package under the Rapid Response Pillar of the Neighbourhood, Development and International Cooperation Instrument was adopted in 2021 and enabled three third party monitoring contracts to be awarded. These are managed by the FPI Regional teams in Beirut, Nairobi and Bangkok respectively.

4. IMPLEMENTATION ARRANGEMENTS

4.1 Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement.

4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is 60 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 Financing Decision and the relevant contracts and agreements.

² <http://ec.europa.eu/dgs/fpi/documents/key-documents/icsp-mte-final-report.pdf> (page 25).

4.3 Implementation Modalities

4.3.1 Direct Management (Grants)

Grants: (direct management)

(a) Purpose of the grant(s)

The overall objective of the grants is to provide reliable and effective assistance to beneficiaries in the areas covered by NDICI – Global Europe Rapid Response Pillar as mentioned in section 3.2 above.

(b) Type of applicants targeted

Potential applicants for funding will include civil society actors, local authorities, public bodies, and national and international NGOs.

(c) Justification of a direct grant

Under the responsibility of the Commission's authorising officer in charge, the grants may be awarded without a call for proposals to the entities mentioned under point (b) above selected using the following criteria: proven knowledge and expertise in the given area of intervention, as well as very good working relations with government partners and a demonstrated capacity to deliver work in a conflict sensitive manner. In addition, demonstrated operational and technical capacities required to implement the activities listed under the specific objectives.

Under the responsibility of the Commission's authorising officer in charge, the recourse to an award of a grant without a call for proposals can be justified because the action entails crisis management aid as referred to in Article 195(a) and as defined in Article 2(21) of the Financial Regulation at the date of the Financing Decision, or, depending on the case, because the entity has a de jure or de facto monopoly, or eventually for actions with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative power, as referred to in Article 195(b), (c) and (f) and as defined in Article 2(21) of the Financial Regulation at the date of the Financing Decision.

Article 195(a), (b) and (c) of the Financial Regulation would apply to actions such as third-party monitoring in crisis areas where there are limited operators.

Article 195(f) would apply to specific actions such as research where specific technical competence would be required.

4.3.2 Direct Management (Procurement)

The procurement may contribute to achieving all objectives and actions from sections 3.1 and 3.2.

4.3.3 Indirect Management with a pillar assessed organisation

A part of this action may be implemented in indirect management with a pillar assessed entity, which will be selected by the Commission's services using the following criteria: operational capacity, value added and experience in a specific field and/or country. This modality will contribute to achieving activities mentioned in section 3.2 such as: organising and facilitating workshops etc., undertaking studies, conducting needs-assessment missions and support to beneficiary countries with activities that may be followed up through separate crisis response actions.

If negotiations with a pillar assessed organisation fail, this part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 4.3.1.

4.3.4 Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances (one alternative second option)

If indirect management with a pillar assessed organisation is not possible due to circumstances outside of the Commission's control, implementation via a direct grant may be used instead as per section 4.3.1.

4.4. Indicative Budget

	EU contribution (amount in EUR)	Third-party contribution, in currency identified
Grants (direct management)	300 000	N.A.
Procurement (direct management)	1 400 000	N.A.
Indirect management	300 000	N.A.
Totals	2 000 000	N.A.

4.5. Organisational Set-up and Responsibilities

The action is managed by the European Commission's Service for Foreign Policy Instruments (FPI) as contracting authority.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the governance structures set up for governing the implementation of the action.

5. PERFORMANCE MEASUREMENT

5.1 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 report. Each 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 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).

5.2. Evaluation

Having regard to the nature of the action, an evaluation will not be carried out for this action or its components.

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

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

5.3. Audit and Verifications

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 audit or verification assignments for one or several contracts or agreements.

6. COMMUNICATION AND VISIBILITY

The 2021-2027 programming cycle has adopted a new approach to pooling, programming and deploying strategic communication and public diplomacy resources.

It will remain a contractual obligation for all entities implementing EU-funded external actions to inform the relevant audiences of the Union's support for their work by displaying the EU emblem and a short funding statement as appropriate on all communication materials related to the actions concerned. This obligation will continue to apply equally, regardless of whether the actions concerned are implemented by the Commission, partner countries, service providers, grant beneficiaries or entrusted or delegated entities such as UN agencies, international financial institutions and agencies of EU member states.

The 2022 "Communicating and Raising EU Visibility: Guidance for external actions" reference document shall be used to establish the appropriate contractual obligations.