



Brussels, 22.6.2015  
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**COMMISSION IMPLEMENTING DECISION**

**of 22.6.2015**

**on the 2015 Partnership Instrument Annual Action Programme for cooperation with  
third countries to be financed from the general budget of the European Union**

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THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to the 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 and in particular Article 2 thereof<sup>1</sup>,

Having regard to the Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, and in particular Article 84 (2) thereof<sup>2</sup>,

Having regard to the Regulation (EU) N° 234/2014 of the European Parliament and of the Council of 11 March 2014 establishing a Partnership Instrument for cooperation with third countries<sup>3</sup>,

Whereas:

- (1) The Regulation (EU) N° 234/2014 of the European Parliament and of the Council of 11 March 2014 establishes a Partnership Instrument for cooperation with third countries to advance and promote Union and mutual interests;
- (2) The Commission shall adopt Annual Action Programmes, based on the Multi-annual Indicative Programmes referred to in the in Article 4 of the Regulation (EU) N° 234/2014 establishing a Partnership Instrument for cooperation with third countries;
- (3) The Annual Action Programmes shall specify for each action the objectives pursued, the expected results and main activities, the methods of implementation, the budget and an indicative timetable, any associated support measures and performance monitoring arrangements;
- (4) The Commission has adopted an Implementing Decision on the first Multiannual Indicative Programme for the period 2014-2017 under the Partnership Instrument for cooperation with third countries<sup>4</sup>;
- (5) In line with the Multiannual Indicative Programme for the period 2014-2017, this Annual Action Programme includes measures in the following areas: support for the Union's cooperation partnership strategies, cooperation on global challenges, implementation of the international dimension of the "Europe 2020" strategy and promotion of the Unions internal policies abroad, support for economic and trade relations as well as promotion of the Union's values and interests;

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<sup>1</sup> OJ L 77, 15.3.2014, p. 95

<sup>2</sup> OJ L 298, 26.10.2012, p. 1

<sup>3</sup> OJ L 77, 15.3.2014, p 77

<sup>4</sup> C(2014) 4453 final of 3 July 2014

- (6) Budget-implementation tasks under indirect management may be entrusted to the entity identified in the attached Annex 11, subject to the conclusion of the relevant agreement.
- (7) Grants may be awarded without a call for proposal by the authorising officer responsible in accordance with Article 190 of Delegated Regulation (EU) no 1268/2012;
- (8) This Decision constitutes a financing decision within the meaning of Article 84 of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council;
- (9) The Commission is required to define the term "non-substantial change" in the sense of Article 94(4) of Delegated Regulation (EU) No 1268/2012 to ensure that any such changes can be adopted by the authorising officer by delegation, or under his or her responsibility, by sub-delegation (hereinafter referred to as the 'responsible authorising officer');
- (10) The measures provided for in this Decision are in accordance with the opinion of the Partnership Instrument Committee.

HAS DECIDED AS FOLLOWS:

#### *Article 1*

The Annual Action Programme, constituted by the actions identified in the second paragraph and laid down in the Annex to this Decision, is adopted: 2015 Partnership Instrument Annual Action Programme for cooperation with third countries.

The actions constituting this Annual Action Programme are:

Annex 1: Action Fiche International Urban Cooperation;

Annex 2: Action Fiche Natural Capital Accounting and Valuation of Ecosystem services;

Annex 3: Action Fiche India Resource Efficiency Initiative;

Annex 4: Action Fiche Advancing the EU's role in multilateral fora in Asia;

Annex 5: Action Fiche Policy Support Facility (PSF);

Annex 6: Action Fiche Technical Assistance and Information Exchange (TAIEX);

Annex 7: Action Fiche Support to Project Cycle Management

Annex 8: Action Fiche Schuman Fulbright Fellowships;

Annex 9: Action Fiche EU-Australia Leadership Forum;

Annex 10: Action Fiche Green Gateway to Japan;

Annex 11: Action Fiche EU-South Asia aviation cooperation;

Annex 12: Action Fiche Canada Mineral Investment Facility;

Annex 13: Action Fiche Support to the implementation of the EU-Canada Comprehensive Economic and Trade Agreement (CETA);

Annex 14: Action Fiche Public Diplomacy and cultural diplomacy.

### *Article 2*

The maximum contribution of the European Union authorised by this Decision for the implementation of the 2015 Partnership Instrument Annual Action Programme for cooperation with third countries is at EUR 91.470.000 to be financed from budget line 19.0501 of the general budget of the European Union for 2015.

The financial contribution referred to in Article 2 shall also cover any possible interests due for late payment.

### *Article 3*

Increases or decreases of up to EUR 10 million not exceeding 20% of the contribution set by the first paragraph of Article 2, or cumulated changes to the allocations of specific actions not exceeding 20% of that contribution, as well as extensions of the implementation period shall not be considered substantial within the meaning of Article 94 (4) of Delegated Regulation (EU) No 1268/2012, provided that they do not significantly affect the nature and objectives of the action. The authorising officer responsible may adopt such non-substantial changes in accordance with the principles of sound financial management and proportionality.

Done at Brussels, 22.6.2015

*For the Commission*  
*Federica MOGHERINI*  
*Vice-President*

## ANNEX 1

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for International Urban Cooperation**

#### **1. IDENTIFICATION**

Title of the action	International Urban Cooperation: Sustainable and Innovative Cities and Regions – Asia and the Americas			
Country(ies)/ Region	Asia: China, Hong-Kong, India, Indonesia, Japan, Malaysia, Singapore, South Korea and Vietnam  Americas: Mainly Argentina, Brazil, Canada, Chile, Colombia, Mexico, Peru and the United States.			
Total cost	Total estimated cost: € 20.200.000  Total amount of the EU budget contribution: € 20.200.000			
Total duration	78 months <sup>1</sup>			
Method of implementation	Direct Management – Grants - direct award – Procurement – Services			
Markers (from CRIS DAC form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The programme will develop and lead international urban cooperation with key partner countries in Asia and the Americas. Reflecting the EU model of integrated territorial development, the programme develops and builds on existing cooperation in three areas:

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (48 months); (iii) the closure phase (indicatively 12 months)

- City-to-city cooperation on sustainable urban development (component 1);
- City-to-city cooperation on climate change action through a focus on sustainable energy, building upon the EU Covenant of Mayors initiative (component 2); and
- Region-to-region cooperation on innovation for local and regional development in Latin America and the Caribbean (component 3).

The programme will be embedded in the context of the EU's policy dialogues with partner countries or regions. It will further the exchange of experience and know how while promoting EU business interests in the growing market of sustainable urbanisation and innovation. The programme will support the EU climate change action agenda and the UN Framework Convention on Climate Change process and offer a European contribution to the discussion on a new urban agenda for the 21<sup>st</sup> century.

In response to EU interest and opportunity, the programme will be implemented in a differentiated manner in the various partner countries.<sup>2</sup>

The programme should be considered as the first phase of a long-term strategy of fostering urban diplomacy as a vehicle of EU's external relations.

## **2.2. Context**

The urbanisation process constitutes a clear global trend. More than 50% of the global population is urban. 60% of the global GDP is generated by 600 urban centres. The economic growth of partners such as China and India is occurring in tandem with rapid urbanisation and there is a large demand for expertise in urban policy and development.

It is recognised that cities play a key role as contributors to smart, green and inclusive growth. Cities are also at the heart of climate change action. Globally cities are responsible for about two third of the national energy consumption and their carbon footprint is substantial. Cooperation between cities for the transfer of best practice and, if relevant, deployment of innovative solutions is an important element in furthering sustainable urbanisation. The EU Covenant of Mayors initiative which opens cooperation opportunities for cities who want to reduce CO2 emissions from non-competitive sectors is rapidly attracting interest beyond the EU.

Innovation has become a key factor for sustainable competitiveness and growth of cities and regions. The EU experience shows that regional level actors play a major role in the generation of growth and innovation. EU regions' experience in policy setting, implementation and management with respect to clusters, Small and Medium Enterprise innovation inducing policies and Smart Specialisation Strategies is particularly appreciated in Latin America where countries aim to diversify through innovation their commodities-driven economies. Where appropriate, actions to stimulate innovation will build upon and push

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<sup>2</sup> Component 1 will be implemented in Canada, China, India, Japan and the United States. While all Latin American and Caribbean countries are in principle eligible to take part in this cooperation, the focus will be on Argentina, Brazil, Chile, Colombia, Mexico and Peru. Component 2 will be implemented in the same countries as component 1 as well as in Hong Kong, Indonesia, Malaysia, Singapore, South Korea and Vietnam. Component 3 will be implemented in Argentina, Brazil, Chile, Colombia, Mexico and Peru.

further the innovation process supported under the Union's research and Innovation programme Horizon 2020.

### **2.3. Lessons learnt**

Important lessons have been learnt from the EU Covenant of Mayors initiative and exchange and cooperation programmes on sustainable urban development and innovation carried out in recent years. The programme will ensure that lessons learnt and good practices are reflected and built upon in programme implementation.

More generally, experience highlights the need to approach the cooperation with non EU countries in the sectors targeted by this programme, through a multidisciplinary and multi-stakeholder approach involving public authorities at various levels. The project will ensure the coordinated participation of all relevant stakeholders including public authorities, private sector, universities and research centres.

### **2.4. Complementary actions**

The programme will seek synergies to the maximum extent possible with other relevant initiatives. There are a number of complementary EU actions that the programme will closely coordinate with.

Complementarity will be ensured with DG DEVCO funded programmes on urbanisation, climate change and innovation in Asia and the Americas. These include the Urban Low Emissions Development Strategy (LEDS) programme which aims to develop Climate Change Action Plans in selected cities in pilot countries including India, Indonesia and Brazil. The results of Urban LEDS are likely to provide added value to this programme. Complementarity with the SWITCH-Asia programme to promote sustainable consumption and production will be sought in India and China. There is also potential for synergies in China with the EC Link programme and in India with the European Business and Technology Centre as well as in Latin America with the European and Latin American Business Services Innovation Network (ELAN) and ALINVEST 5.0.

DG CLIMA is leading an initiative on climate change adaptation in cities, inspired by the EU Covenant of Mayors.

DG RTD has an Innovation Dialogue with China which this programme will aim as far as possible to complement and build upon.

Close coordination with DG GROW business promotion initiatives as well as with the Green Digital Charter managed by DG C'NECT will be ensured.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The general objective is to develop and lead international urban diplomacy and cooperation through actions on sustainable urban development, climate change through a focus on sustainable energy and innovation in key partner countries in line with the external dimension of "Europe 2020" and the climate change policy.

This cooperation will be achieved through developing three specific objectives: city-to-city cooperation on sustainable urban development (component 1), a Covenant of Mayors initiative to key climate change actors (component 2) and region-to region cooperation on innovation (component 3). The cooperation will increase the reach of EU policies and actions in the relevant areas as well as multiply urban diplomacy.

The programme will be embedded in the EU's political dialogue with partner countries and includes an important element of EU economic growth through promotion of business opportunities.

### **3.2. Expected results and main activities**

Result 1: EU programme on innovative and sustainable cities established and promoted

Result 2: Cooperation on local action plans developed and implemented

Result 3: Peer-level information sharing and exchange of best practice enhanced

Result 4: EU business opportunities promoted (components 1 and 3)

#### Main indicative activities<sup>3</sup>:

- Design and set-up programme structures, including on-line platforms
- Map stakeholders, frameworks and policies relevant to the programme
- Develop and implement criteria for participation and establish governance arrangements for twinning and/or partnerships
- Design and deliver communication and outreach activities
- Engage with national level authorities to bring urban dimension into national urban and climate plans
- Support action planning on common themes and the validation of results. For cities involved in city-to-city cooperation on climate change action through a focus on sustainable energy (component 2), the action plans will at a later stage include vertically integrated reporting and monitoring
- Identify pilot projects and sources of funding
- Enable, facilitate and promote peer-level knowledge management, exchange and sharing through on-line platform and networking events
- Gather and provide business and expert data and promote match-making, joint ventures and other business cooperation including through participation in fairs showcasing EU technology innovations
- Promote international clusters cooperation, technology transfer and international values chains
- Provide thematic support for programme delivery including through the provision of information and updates, the organisation of technical meetings/workshops/study visits and benchmarking support
- Promote EU climate change agenda and EU contribution to new urban agenda

The overall performance of the programme will be supported by a horizontal central support function (component 4 of the programme).

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<sup>3</sup> Activities will be implemented in a differentiated manner depending on the component of the programme and the action location.



### **3.3. Risks and assumptions**

Programme implementation is based on the assumption of continued political will and support of the partner countries and the EU to advance cooperation between cities.

The risk of unwillingness or poor collaboration of regional and local stakeholders will be mitigated through an appropriate selection process and intensification of efforts to support the regions and cities during implementation.

In order to guarantee smooth implementation of the action, cooperation with the local authorities shall be sought and encouraged through the EU Delegations. In addition, the EU Delegations will make sure that all relevant stakeholders are associated as appropriate to the implementation process.

### **3.4. Stakeholders**

Indicative stakeholders are:

Cities and their associations and networks; local, regional and national authorities; research institutes, universities and technology transfer agencies; European business; International Financial Institutions including the European Investment Bank (EIB); UN.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Method of implementation**

The programme will be implemented through service contracts and a direct grant awarded to UN Habitat.

#### ***4.1.1. Procurement (direct management)***

(a) The programme will be implemented via service contract(s). An indicative total of six service contracts are expected to be concluded for the implementation of the programme.

(b) Indicative timing: call(s) for tender launched 3<sup>rd</sup> Quarter 2015.

#### ***4.1.2. Grants - direct award (direct management)***

##### **(a) Objectives of the grant**

The objective of the grant is to provide to the programme advisory and specialist support of an institutional nature.

##### **(b) Justification of a direct grant**

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to UN Habitat.

In accordance with the provisions of article 190(1)(f) of the RAP, characteristics of this action require a particular type of body, notably UN Habitat, on account of its technical competence, its high degree of specialisation and administrative power. UN Habitat is an international

organisation mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities. It is the focal point for all urbanization and human settlement matters within the UN system and possesses the technical and institutional competence required for the provision of the specialist support envisaged under the programme. UN Habitat also has a proven track record of working with the EU on urbanisation and is thus uniquely positioned to provide the support requested.

(c) Essential selection and award criteria

Selection criteria: UN Habitat shall have sufficient sources of funding and the technical competencies and qualifications to carry out the action. The verification of the financial capacity shall not apply and the obligation to verify the operational capacity is waived in accordance with Article 131 (3) of the Financial Regulation.

Award criteria: The essential award criteria are relevance of the proposed action to the objectives of the programme: design, effectiveness, feasibility, cost-effectiveness and expected impact, as well as the European added value, including with regard to visibility.

(d) Maximum rate of co-financing

The grant will cover 100% of the eligible costs of the action.

The maximum possible rate of co-financing may be up to 100 % 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 essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

The grant agreement will be concluded indicatively during the 3<sup>rd</sup> quarter of 2015.

**4.2. Indicative budget**

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1 – Procurement of services (direct management)	19.7
4.1.2 - Grant- Direct award (direct management)	0.50
<b>Total</b>	<b>20.2</b>

**4.3. Performance monitoring**

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 and final reports.

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.

At the inception phase, detailed performance indicators will be proposed by the implementing partners.

The programme will be steered by a steering committee representing at least the European Commission, the European External Action Service and the Committee of Regions. UN Habitat will be engaged in an advisory role to the steering committee.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Communication will be a key element of the programme. A communication plan which will ensure EU visibility will be prepared in line with relevant guidelines. The contractors will be tasked with conducting activities such as media monitoring around key events of relevance to the programme. Annual networking events will provide opportunities for programme visibility. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.

## ANNEX 2

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for Natural Capital Accounting and Valuation of Ecosystem Services**

#### **1. IDENTIFICATION**

Title of the action	Natural Capital Accounting and Valuation of Ecosystem Services			
Countries/ Regions	Brazil, China, India, Mexico, South Africa			
Total cost	Total estimated cost: € 7.000.000 Total amount of the EU budget contribution: € 7.000.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct management Grants – direct award			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input type="checkbox"/>	<input type="checkbox"/>	<b>X</b>
	Combat desertification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

Biodiversity – the variety of ecosystems<sup>2</sup>, species and genes – is the world’s natural capital, delivering ecosystem services<sup>3</sup> that underpin our economy and well-being supports directly or indirectly our survival and quality of life. As an example, climate regulation is one of the most important ecosystem services both globally and on a European scale. European ecosystems play a major role in climate regulation<sup>4</sup>. Another example is water purification, as

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)

<sup>2</sup> A dynamic complex of plant, animal, and micro-organism communities and their non-living environment interacting as a functional unit, e.g. ecosystems include deserts, coral reefs, wetlands or rainforests.

<sup>3</sup> The benefits, closely dependent on biodiversity, that human beings obtain from ecosystems.

<sup>4</sup> As an example, Europe’s terrestrial ecosystems represent a net carbon sink of some 7-12% of the 1995 human generated emissions of carbon.

forests, wetlands and protected areas with dedicated management actions often provide clean water at a much lower cost than man-made substitutes like water treatment plants.

The rationale behind Valuing<sup>5</sup> and Accounting<sup>6</sup> Natural Capital is that nations need to monitor the quality of their ecosystems and the state of nature just as they monitor GDP and other economic, social and demographic indicators. Under this project, the EU, with the United Nations Statistics Department (UNSD), will build on existing agreed methodology at UN level and develop new analyses, tools and operational approaches with a view to assessing the benefits that ecosystems and biodiversity can provide to the economy. As a result, it is expected to ensure and demonstrate that the output is used by policy makers in partner countries to make better-informed decisions in relation to policies impacting biodiversity and the environment more broadly.

With this project, the EU is taking concrete actions to engage strategic partners on reducing biodiversity loss by transferring EU know-how. Supporting such a large project with strategic partners would result in supporting the mainstreaming of biodiversity in policy decisions internationally.

## **2.2. Context**

The EU is a member of the Convention of Biological Diversity (CBD<sup>7</sup>), whose overarching objective is the reduction of biodiversity loss.

The EU has decided to engage with Brazil, China, India, Mexico, and South Africa (which have ratified the CBD) on making progress on Experimental Ecosystem Accounting and valuation. It has selected these strategic partners because they are large countries, very rich in nature and biodiversity and very much suffering from the global biodiversity loss and damage to the environment. The EU is strongly committed to further strengthening the CBD as the key international instrument for achieving global biodiversity targets and to making sure that it is effectively implemented.

The project will test the methodology developed by SEEA<sup>8</sup> (System of Environmental and Economic Accounts). It will carry out valuation of ecosystem services using support from existing frameworks in the context of TEEB<sup>9</sup>.

## **2.3. Lessons learnt**

Parallel on-going projects have offered a number of lessons:

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<sup>5</sup> Ecosystem "valuation" aims at assigning an economic value to an ecosystem or its ecosystem services.

<sup>6</sup> Ecosystem "accounting" is an approach to the assessment of the environment through the measurement of ecosystems, and measurement of the flows of services from ecosystems into economic and other human activity. [http://unstats.un.org/unsd/envaccounting/seearev/Chapters/SEEA\\_EEA\\_v1.pdf](http://unstats.un.org/unsd/envaccounting/seearev/Chapters/SEEA_EEA_v1.pdf)

<sup>7</sup> The Convention on Biological Diversity (CBD), known informally as the Biodiversity Convention, is a multilateral treaty, has three main goals:

- a. conservation of biological diversity (or biodiversity);
- b. sustainable use of its components; and
- c. fair and equitable sharing of benefits arising from genetic resources

The Convention was opened for signature at the Earth Summit in Rio de Janeiro on 5 June 1992 and entered into force on 29 December 1993. One hundred and ninety-five states and the European Union are parties to the convention.

<sup>8</sup> The System of Environmental-Economic Accounting (SEEA) contains the internationally agreed standard concepts, definitions, classifications, accounting rules and tables for producing internationally comparable statistics on the environment and its relationship with the economy. <http://unstats.un.org/unsd/envaccounting/seea.asp>

<sup>9</sup> The Economics of Ecosystems and Biodiversity (TEEB) is a global initiative focused on drawing attention to the economic benefits of biodiversity. Its objective is to highlight the growing cost of biodiversity loss and ecosystem degradation. TEEB presents an approach that can help decision-makers recognize, demonstrate and capture the values of ecosystems & biodiversity, including how to incorporate these values into decision-making. (<http://www.teebweb.org/about/>)

- It is crucial that this project funds national experts in the countries of implementation in order firstly to ensure their buy-in and secondly to develop capacity and know-how of EU-accepted methodologies in these countries. In terms of sustainability, each country will explore the possibility to continue to finance these positions after the end of the project.
- It is important to involve all major funding entities (e.g. through dedicated funding for relevant events) in order to get the lessons learnt and identify synergies.
- There is an international divide on the right methodological approach for valuation in the framework of NCA. Some experts argue in favour of exchange values (which are based on market prices and shadow prices<sup>10</sup>), others argue in favour of welfare values (which are based on benefits to society as a whole). Until the moment no unique approach is agreed upon internationally, the Commission's view is that both approaches should be adopted as they are equally important.

#### 2.4. Complementary actions

The Commission has taken into account several complementary actions. Ongoing work on ecosystem accounting in the countries in scope is very limited. A one year project funded by Norway included Mexico and South Africa as pilot countries on advancing SEEA-Experimental Ecosystem Accounting. This presents opportunities for synergies as the Norway-funded project had a "scoping" focus in the relevant partner countries, on which this project can build. Other relevant initiatives at global level are: the World Bank WAVES<sup>11</sup> covering developing countries only (funded by the EU and several EU and non-EU donors). The TEEB programme<sup>12</sup> (funded by the Commission and implemented by UNEP); and BIOFIN<sup>13</sup> (funded by the Commission under ENRTP<sup>14</sup>, Germany and Switzerland):

As UNEP will be part of the implementation of this project, duplication of work will be avoided while potential synergies will be sought. Additionally, as the governments of Brazil, India, China and South Africa have started their own process of assessment, valuation and accounting, this project will complement them in order to add capacity and demonstrate to partner countries that EU and their agendas and priorities are aligned on the topic of natural capital assessment, valuation and accounting.

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10 Used to refer to monetary values assigned to currently unknowable or difficult to calculate costs (i.e. markets prices are distorted by subsidies or taxes).

<sup>11</sup> Wealth Accounting and the Valuation of Ecosystem Services (WAVES) is a global partnership that aims to promote sustainable development by ensuring that natural resources are mainstreamed in development planning and national economic accounts. Covering Botswana, Colombia, Costa Rica, Guatemala, Indonesia, Madagascar, the Philippines and Rwanda: <https://www.wavespartnership.org/en>

<sup>12</sup> Covering China, Georgia, Liberia, Tanzania, Bhutan, Philippines, Ecuador.

<sup>13</sup> The Biodiversity Finance Initiative (BIOFIN) aims to develop and pilot a new approach and methodology for leveraging increased biodiversity investment at the national level. It covers: Botswana, Chile, Colombia, Costa Rica, Ecuador, Fiji, Guatemala, India, Indonesia, Kazakhstan, Malaysia, Mexico, Peru, Philippines, Seychelles, South Africa, Thailand, Uganda and Zambia

<sup>14</sup> Environment and Sustainable Management of Natural Resources. [http://ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments/geographic-instruments/environment-and\\_en](http://ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments/geographic-instruments/environment-and_en)

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

The overall objective is to engage at national level with five EU strategic partners where biodiversity is at stake, so as to enhance their knowledge of valuation of ecosystems and their services. Building on an EU-agreed methodology and on the development of national competences, the project will initiate pilot testing in each country. The outputs are expected to influence policy-makers at national, regional and local level to take action in line with the EU's environmental priorities and international commitments. In addition, the project will ensure awareness-raising for the private sector and the civil society.

#### **3.2. Expected results and main activities**

- Result 1: By the end of the project, the partner countries are expected to have specific outputs on ecosystem accounting, describing the state of the various ecosystems in scope of each country, and providing a tested methodology that can be applied in other neighbouring countries;
- Result 2: By the end of the project, the partner countries will adopt the monitoring of the state of ecosystem services in their national accounts, as they do with GDP and other economic, social and demographic indicators;
- Result 3: The partner countries will generate case studies which will help finalise or contribute to the SEEA methodology for Ecosystem Accounting. It will have a positive impact on its wider acceptance as an international standard for environmental accounting.

#### Main indicative activities:

- Complement existing macroeconomic indicators and guide sustainable development and macro-economic monitoring. Ensure collective data gathering in complementarity with parallel projects and establish connections with national policy and statistical institutions.
- Carry out an analysis of the methodology of ecosystem and ecosystem services accounts used in the countries. It includes mapping of existing relevant projects related to NCA.
- Develop and implement biophysical data accounts<sup>15</sup>. It includes scoping, collection and compilation of data and resources for implementation of natural capital accounting in a priority region or in the whole territory.
- Carry out the necessary biophysical assessment and valuation of ecosystem services and create a valuation or pricing framework that could be utilised in line with biophysical ecosystem services data and indicators.
- Carry out an analysis of the situation and values of ecosystem services under different resources use scenarios. Demonstrate how and ensure that public authorities use

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<sup>15</sup> Biophysical measures of natural capital (i.e. nitrogen in rivers) are used to evaluate the price of ecosystem services.

ecosystems data for decision-making and planning through case studies of different ecosystems and that businesses and society have increased awareness of the topic.

- Create capacity building and produce communication materials. It will mainstream and disseminate the results and analyses to various stakeholders including national government departments, local authorities, NGOs, businesses, civil society and neighbouring countries.

### 3.3. Risks and assumptions

Assumptions:

- Continued political commitment on the side of partner countries (Brazil, China, India, Mexico, and South Africa)
- Commitment of partner countries that they will devote resources (including human resources) to improve the valuation of natural capital and ecosystems services.

<i>Risk</i>	<i>Mitigation</i>
Overlapping with other international initiatives	The Commission is involved in the major NCA-related international initiatives and is in regular contact with their project managers. This will allow mitigating risk of overlap.
Lack of experts on ecosystem valuation and accounting in the respective partner countries	The fact that the contractor is the international organisation specialised in the subject matter will help mitigate this risk.
Lack of access to resources and data in the respective partner countries	The project is implemented by international organisations (UNSD and UNEP) having regular dialogues at technical level with the five partner countries.
Delay in the implementation of the NCA project.	The Steering Group will ensure through regular meetings that the project deliverables are timely and that delays are minimised.

### 3.4. Stakeholders

Stakeholders include the Commission, EU Member States, especially those<sup>16</sup> involved in NCA-related projects, the World Bank, as well as the relevant Ministries of partner countries and respective regional authorities, as well civil society, including the private sector (i.e. businesses).

A broad consultative process with various stakeholders from national governments, international agencies, academia, NGOs and scientific and business community will be put in

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<sup>16</sup> The World Bank WAVES project is funded by **Denmark**, the European Commission, **France**, **Germany**, Japan, **the Netherlands**, Norway, Switzerland, and **the United Kingdom**.



place to discuss the proposed broad set of indicators before testing them in pilot countries and other interested countries. A national coordination mechanism consisting of the key stakeholders will be established to steer and manage the project. Experts from government, academia (bio-physical modellers, economists etc.), NGO and civil society will discuss progress of testing of the SEEA Experimental Ecosystem Accounting and the research agenda as agreed by the UN Committee of Experts on Environmental Economic Accounting (UNCEEA).

The ownership of the partner countries will be ensuring by directly funding at least one national expert per country for the 3 year duration of the project. The national expert will work full time on the SEEA experimental ecosystem accounting and valuation described above. The EU will ask the partner countries to commit to continue funding the national experts after the project ends in order to ensure continuity.

#### **4. IMPLEMENTATION ISSUES**

##### **4.1. Method of implementation**

###### **4.1.1. Grants: Direct award (direct management)**

###### **(a) Objectives of the grant**

The project will be implemented exclusively through the signature of a grant agreement. As a result, objectives, expected results and main activities are those defined above under section 3.1 and 3.2.

###### **(b) Justification of a direct grant**

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the UN Statistics Division (UNSD). Two UN entities (UNEP and the Secretariat for the Convention on Biological Diversity) are expected to be co-beneficiaries of the grant.

In accordance with the provisions of article 190(1)(f) of the RAP, characteristics of this action require a particular type of body, notably UNSD, on account of its technical competence, its high degree of specialisation and administrative power. The need for close contacts with the authorities of the five beneficiary partner countries require expertise at institutional level that can only be provided by UN, which combines both technical knowledge and institutional access.

Within UN, UNSD is officially responsible at international level for coordinating actions on Natural Capital Accounting. In fact, the UNCEEA has been mandated to implement the System of Environmental and Economic Accounts (SEEA) at global level. UNSD ensure the Secretariat of the UNCEEA and in this capacity it manages and coordinates UNCEEA's functions.<sup>17</sup>

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<sup>17</sup> The Terms of reference of the UN Committee of Experts on Environmental Economic Accounting (UNCEEA) ([http://unstats.un.org/unsd/envaccounting/ceea/documents/torunceea\\_final.pdf](http://unstats.un.org/unsd/envaccounting/ceea/documents/torunceea_final.pdf)) clearly stated that the UNCEEA has the mandate to implement the SEEA in countries. Also the UN Statistical Commission in 2013 adopted the SEEA implementation strategy and requested the UNCEEA to develop a programme of work on the SEEA implementation (See UNSC report of the 44th session 44/104, <http://unstats.un.org/unsd/statcom/doc13/2013-Report-E.pdf>). UNSD is the Secretariat of the UNCEEA and as such provides the management and coordination function for the UNCEEA.

(c) Essential selection and award criteria

The UNSD shall have sufficient sources of funding and the technical competencies and qualifications to carry out the action.

The verification of the financial capacity shall not apply to them and the obligation to verify their operational capacity is waived in accordance with Article 131 (3) of the Financial Regulation.

The essential award criteria are relevance of the proposed action to the objectives of the project: design, effectiveness, feasibility, sustainability, cost-effectiveness, as well as the added value for the EU, including with regard to visibility.

(d) Maximum rate of co-financing

The grant will cover 100% of the eligible costs of the action.

The maximum possible rate of co-financing may be up to 100 % 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 essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

The grant agreement will be concluded indicatively during Q1 of 2016.

**4.2. Indicative budget**

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1 Grant - Direct award (direct management)	7
<b>Total</b>	<b>7</b>

**4.3. Performance monitoring**

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 and final reports.

A Steering Committee will be established and will be composed of the Commission (mainly DG ENV and FPI but DG DEVCO and DG RTD as well), EU Delegations in the five respective countries of implementation, UNSD and UNEP.

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.

**4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Communication and visibility will be an integral part of the project. The implementing partner will establish a communication plan in line with relevant guidelines that, inter alia, will define the key messages and specific communication/EU visibility actions to be taken.

All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.

### ANNEX 3

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

#### **Action Fiche for Resources Efficiency Initiative in India**

##### **1. IDENTIFICATION**

Title of the action	Resources Efficiency Initiative			
Country(ies)/ Region	India			
Total cost	Total estimated cost: € 2.500.000 Total amount of the EU budget contribution: € 2.500.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct management Procurement - Services			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	<b>X</b>	<input type="checkbox"/>

##### **2. RATIONALE AND CONTEXT**

###### **2.1. Summary of the action and its objectives**

The proposed action will contribute to the promotion of EU standards and business best-practices in fostering an efficient and sustainable use of natural resources in India. It will facilitate the involvement of European stakeholders active in the resource efficiency sector (including designers, producers, recycling industries, farmers, sustainability experts, local and national authorities, NGOs and other stakeholders), thus helping boost jobs and growth in the EU through the export of green economy solutions to India.

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)

## **2.2. Context**

India is one of the fastest growing economies of the last decade. Although the country currently has one of the lowest material consumptions in the world, with an average of 4.2 tonnes per capita, the absolute materials consumption has increased sharply in recent times (from 2 billion tonnes in 1980 to almost 5 billion tonnes). With growing demand, India has changed from being a net material exporter to net importer, with imports' growth dominated by fossil fuels and metals.

Resource efficiency will be crucial for India's and Europe's further development to:

- ✓ Help mitigate climate change and environmental degradation, waste generation, social impacts of resource development and use;
- ✓ Increase economic performance and competitiveness across sectors while reducing resource use;
- ✓ Create new opportunities for economic growth by bringing about greater innovation in Europe and India, including through the promotion on increased cooperation on research and innovation (Horizon 2020);
- ✓ Ensure security of essential resources' supply in the EU and India;
- ✓ Reduce the risk of geopolitical imbalances at the global level by contributing to a better use of crucial resources for development, such as water, soil, land, and minerals.

This initiative follows up on the commitment made by the Commission President Barroso to the Indian authorities during the 12th EU-India Summit in 2012. The REI was discussed with the Indian authorities in the 8th Meeting of the EU-India Joint Working Group on Environment, which took place in Brussels, in April 2014, where the Commission presented the EU approach on the green economy and resource efficiency. It supports the implementation of the EU-India Joint Action Plan and therewith strengthens the EU-India Strategic Partnership.

## **2.3. Lessons learnt**

The project has been designed based on a pre-liminary screening study on resource efficiency carried out by GiZ. Activities will follow the recommendations of the study.

## **2.4. Complementary actions**

Synergies will be sought with on-going actions funded under the DCI and with the PI-funded action on Clean Energy Cooperation with India. This action, approved under the PI-Annual Action Programme 2014, aims inter alia to foster energy efficiency in the building sector. While this is a very specific niche in terms of resources efficiency, the proposed action will encompass it and follow a more comprehensive approach under which the results of the CECI will be taken into account.

EU Member States will be associated with the REI on the basis of their policy dialogues and development cooperation activities with India, and the REI will also provide the opportunity for them to promote the participation of their respective industries and other stakeholders through the Resource Efficiency Initiative.

The project will coordinate with all relevant activities funded by other instruments in India in the relevant sector.

### **3. DETAILED DESCRIPTION**

This project will support the EU's environment policy dialogues with India in order to promote convergence of positions in multilateral environmental negotiations and to facilitate the exchange of information and expertise on issues related to resource efficiency, such as environmental sustainability, protection and management of natural resources, soil fertility, water security, biodiversity protection, environmental elements of sustainable urban development etc). It will also help boost the greening of trade and businesses by promoting the effective and smooth implementation of relevant initiatives, such as the integration of sustainability criteria in business models, the sustainable production and consumption and the prevention, re-use and recycling of waste. Finally, the project will contribute to create enabling conditions for a better market access for EU companies, thus promoting the internationalisation of small and medium-sized enterprises (SMEs).

#### **3.1. Objectives**

The objective of this programme is to make resource consumption more efficient in India, so as to contribute to the global agenda on sustainable consumption and production, to promote green economy and to boost jobs and growth in Europe.

#### **3.2. Expected results and main activities**

Project's expected results are as follows:

1. A stock-taking of India's current and future needs for resources is carried out;
2. A strategy for a more efficient use of key resources is established with the responsible authorities and stakeholders;
3. An action plan for the implementation of the strategy is prepared;
4. Partnerships for the implementation of the strategy between key Indian and European stakeholders involved in resource efficiency initiatives are facilitated, so as to boost jobs and growth in the EU through the export of green economy solutions to India.

To achieve these expected results, the main indicative activities will be articulated around eight work packages, as follows:

Work package I: Resource Efficiency Partnership India, aiming to:

- introduce resource efficiency at a country level in India to ensure that resources, for which there is global competition to access, continue to be available for European growth;
- provide opportunities for European stakeholders by facilitating partnerships between key Indian and European stakeholders involved in resource efficiency initiatives.

This work package will build on the specific work conducted under Work Packages II-VI.

Work Package II: Mobility, aiming to:

- reduce the overall resource dependency of the transport sector;
- promote development and use of technologies to ensure that the same resource material is reused with least degradation/contamination through multiple product/life-cycles;
- identify and substitute resources with high environmental impact used in the production, use and end of life treatment of transport systems.

Work Package III: Buildings, aiming to:

- assess resource consumption for materials for wall and roof construction;

- bring together relevant stakeholders to promote informed choices on the use of low environmental impact materials;
- provide inputs for a policy framework for building materials.

Work Package IV: Renewable Energy, aiming to:

- understand costs and benefits (monetary and environmental) during the life span of renewable energy systems with a focus on two components (battery and module) of Solar Photo Voltaic systems in the urban and rural context and/or a few components of a wind power system;
- observe best practices followed in India to reduce adverse effects.

Work Package V: Resource Recovery from Waste, aiming to:

- identify gaps in technical innovation to improve recovery of materials from wastes;
- bring together relevant stakeholders to promote industrial symbiosis in India;
- create a roadmap for selected waste streams;
- provide inputs for a policy framework that will promote use of waste as resource.

Work Package VI: Resource Efficiency in Food production, aiming to:

- establish a policy dialogue among stakeholders and relevant Indian agencies and bodies, e.g. the Ministry of Agriculture and the Ministry of Environment and Forests, so as to identify the most pressing resource inefficiency aspects in agriculture to be addressed as a matter of priority, taking into account exiting initiatives;
- develop an implementation plan in cooperation with relevant Indian and European stakeholders, particularly organisations representing small farmers, family farming, and organic farming;
- assess the potential of resource savings and elaborate an action plan for implementation for reducing food waste generated at relevant stages of the food system;
- identify best practices delivering an optimum balance between productivity and resource efficiency and innovative approaches to reduce post-harvest loss with respect to harvesting techniques, storage, transportation and distribution systems to address sustainability of food production and supply systems.

Work Package VII: Outreach for Resource Efficiency, aiming to:

- create and sustain online and on-ground outreach platforms to promote resource efficiency;
- educate and sensitize youth;
- establish a tool-kit on resource efficiency from which stakeholders can be informed;
- popularize the relevance of a 'circular economy' through waste reduction and promotion of waste as a resource.

### **3.3. Risks and assumptions**

Main risk and assumption are closely linked together. In fact, while it is assumed that the partner country will fully support the project, a risk exists that government's support to the project be partly discontinued over time. However, risk level is to be regarded as low, given the widely recognised need for this initiative, the commitment previously expressed by the Indian authorities and the latest signals from the Government of India, which has emphasized the need for clean, green and inclusive growth. Nevertheless, to mitigate this risk further, the *Ministry of Environment and Forestry* and the *Ministry of New and Renewable Energy* will be fully and continuously associated with the conception and implementation of

the project and will be encouraged to define the organisational arrangements with the successful tenderer.

**3.4. Stakeholders**

Stakeholders include the European Commission (DG ENV, DEVCO, ENER), EU Member States, Indian Government agencies (Ministry of Urban Development, Ministry of Housing & Urban Poverty Alleviation, CSIR, BMTPC, TIFAC), Ministry of Environment, Forests and Climates Change (MoEF), Central and State Pollution Control Boards, Ministry of Mines, Ministry of Commerce and Industry, Ministry of Heavy Industries.), business representatives/associations (FICCI, CII, FISME, IIF, etc.), developers’ association (such as CREDAI), promoters of green building rating systems (IGBC and GRIHA), architect’s associations, Industries and SME associations/entrepreneurs engaged in materials production, and bodies such as the Council of EU Chambers of Commerce in India, the European Landscape Contractors Association (ELCA), and the European branch of the International Federation of Landscape Architects (IFLA-Europe), European Photovoltaic Industry Association (EPIA) and the European Wind Energy Association (EWEA), European Federation of Waste Management and Environmental Services (FEAD), the European Centre of Employers and Enterprises providing Public services (CEEP), and the European Composting Network (ECN); European branch of the International Federation of Organic Agriculture Movements (IFOAM-EU), the European Conservation Agriculture Federation (ECAAF), the European Environment Agency (EEA), civil society, and academia.

**4. IMPLEMENTATION ISSUES**

**4.1. Method of implementation**

**4.1.1. Procurement (direct management)**

- (a) The project will be implemented through the procurement of services. Indicatevely, one service contract will be signed.
- (b) Indicative timing: call(s) for tender launched during the 3rd Quarter 2015.

**4.2. Indicative budget**

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1 – Procurement (direct management)	2.5
<b>Total</b>	<b>2.5</b>

**4.3. Performance monitoring**

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 and final reports.



A steering committee will be established involving representatives of the main public and private actors listed above.

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.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

While an interim evaluation would help ensure that the project is on track, the decision on whether to carry out an interim and/or a final/ex-post evaluation will have to take into account other factors, such as complementarity with other initiatives and the opportunities those will offer for other identification / evaluation missions in the fields of energy, environment and climate change. This would better allow to exploit the synergies between them and the possibility of building on each other.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Communication and visibility will be an integral part of the project. Under Work Package VII, the project will work out a specific communication strategy and develop specific activities dedicated to communication and visibility in line with relevant guidelines. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU

## ANNEX 4

### of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

#### **Action Fiche for Advancing the EU's role in multilateral fora in Asian**

#### **1. IDENTIFICATION**

Title of the action	<b>Advancing the EU's role in multilateral fora in Asia</b>			
Country(ies)/ Region	Asia			
Total cost	Total estimated cost: € 6.680.000 Total amount of the EU budget contribution: € 6.680.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct management: – Grants - direct award – Procurement – Services			
Markers (from CRIS DAC form)	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"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The aim of the proposed PI action is to promote EU security, political and economic interests by strengthening the EU's engagement in different multilateral fora in Asia where the EU is present (ASEAN, ARF, ASEM, ASEF)<sup>2</sup> and to advocate for potential EU membership in fora

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)

<sup>2</sup> ASEAN: Association of South East Asian Nations (<http://www.asean.org/>)

ARF: ASEAN Regional Forum (<http://aseanregionalforum.asean.org/>)

ASEM: Asia-Europe Meeting (<http://www.aseminfoboard.org/>)

ASEF: Asia-Europe Foundation (<http://www.asef.org/>)

where the EU is not yet present, such as the East Asia Summit (EAS). These objectives will be pursued by targeting ASEAN, ARF and ASEM with a package of actions including, but not limited to, top level dialogues, trainings, technical assistance, political and media campaigns, as well as high profile conferences with partner organisations/countries in order to sensitise them to EU goals and contributions to multilateral fora in Asia.

## **2.2. Context**

In recent years, the need to enhance the EU's engagement in multilateral fora in Asia has been identified as a key priority for the EU at the highest political level (i.e. President of the European Council, President of the European Commission, the HR/VP and other Commissioners, as well as EU Foreign Ministers). The Multi-annual Indicative Programme of the Partnership Instrument for the period 2014-2017 refers to expanding EU-Asia relations.

## **2.3. Lessons learnt**

The proposed action builds on the experience and evaluations drawn from previous and ongoing projects that have provided funding to ASEM-related activities since 2008 under the DCI, such as the "ASEM Dialogue Facility". Also, following requests by the HR/VP and EU MS, in recent years the EU has stepped up its engagement in ASEAN/ARF by co-chairing meetings and organising/ participating in training activities (without, however, having any dedicated EU budget to fund these activities). Hence, many of the proposed actions are the continuation of activities that were run successfully in the past.

## **2.4. Complementary actions**

Though the scope/rational is different, the proposed action will be closely coordinated with existing EU funding for ASEAN (e.g. the second phase of the READI<sup>3</sup> and ARISE<sup>4</sup> projects for the period 2014-2020, under the DCI) and build on the ASEM IV Programme (ASEM Dialogue Facility IV and ASEF Support Phase IV under the DCI) managed by DG DEVCO and due to end in November 2015. Complementarity will also be sought with projects currently running in the region with the financial support of ICI+.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The **overall objective** of the proposed action is to advance the EU's role and promote the EU's relevance and influence in multilateral Asia by strengthening its engagement in different multilateral fora. More specifically, the project aims to promote EU's security, political and economic interests in multilateral fora in Asia (ASEAN/ARF, ASEM) in a context of expanding EU-Asia relations.

### **3.2. Expected results and main activities**

*Expected results*

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<sup>3</sup> Regional EU-ASEAN Dialogue Instrument (<http://readi.asean.org/>)

<sup>4</sup> ASEAN Regional Integration support from the EU 2013-2016 (<http://arise.asean.org/>)

The activities on the ASEAN/ARF side and on the ASEM/ASEF side are separate and independent from each other, given the different structure and membership of these fora. Nonetheless, they will all serve the overall and specific objectives outlined above and will pursue the following expected results:

**Result 1)** ASEAN, ARF and ASEM partners are informed about EU's activities relevant to the remit of the three multilateral fora.

**Result 2)** ASEAN, ARF and ASEM members are inspired by successful EU examples relevant to the remit of the three multilateral fora with the ultimate goal of influencing the **shaping of ASEAN/ARF and ASEM activities** in the future.

**Result 3)** ASEAN, ARF and ASEM Members start **contributing to and cooperating with** EU's activities in the domains relevant to ASEAN, ARF and ASEM.

#### *Main activities (indicative)*

- ASEAN/ARF-related **activities** will focus on promoting and organising dialogues on issues related to the EU's CSDP operations, preventive diplomacy, maritime security, counter-terrorism and transnational crime activities. These dialogues will take the form of conferences, study visits, high-level meetings and tailored trainings.

It is expected that these activities will, over time, influence Asian countries' decisions, for instance to consider contributing staff to CSDP missions, improving the division of labour in crisis theatres of common interest, such as the Horn of Africa and Afghanistan, increasing disaster preparedness through participation in crisis management exercises, etc.

- On the ASEM front, **activities** will include the organisation of several preparatory actions prior to the ASEM's 20<sup>th</sup> anniversary, the organisation of ASEM Senior Officials' meetings, as well as several Ministerial meetings, conferences and workshops.

Activities will contribute to cementing the EU's central place among the partners in setting the agenda and driving the process forward. In the absence of a formal structure and secretariat, the EU plays a crucial role as the permanent coordinator of the European side of ASEM. The proposed actions under this programme are a continuation of the ongoing activities as required by the EU's specific commitments.

ASEF, on its side, will continue the organisation of, inter alia, the Asia-Europe Environment Forum, the annual ASEM seminar on Human Rights and its statistical analysis of ASEM partners.

### **3.3. Risks and assumptions**

The principal assumption behind the overall objective is that the political and economic situation in Europe and Asia remain stable and the trend in relations between EU and Asia positive, so that the EU is able to operate in a cohesive and consistent way in its relations with multilateral Asia. Risks associated to this action are judged small in political/reputational terms and manageable through close coordination between the contractors and the EU/EEAS.

### **3.4. Stakeholders**

On the EU side, close coordination between the EEAS, the Commission and EU Member States will be required. The same applies to coordination with ASEAN/ARF and ASEM countries.

Stakeholders include countries' leaders, Government members, officials and civil society representatives. On the whole, they have a strong sense of ownership as reflected in the high-level political commitment and interest in ASEAN, ARF and ASEM, with regular participation in events.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Method of implementation**

#### ***4.1.1. Grants - direct award (direct management)***

##### **(a) Objectives of the grant**

Part of the project will be implemented through the signature of a grant agreement. The objective of the grant is to support ASEF activities.

##### **(b) Justification of a direct grant**

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the ASEF Foundation, in accordance with the provisions of article 190(1)(c) of the RAP.

ASEF is the only permanent ASEM institution. As per its constitutive charter, ASEF has *de jure* monopoly on the promotion of the non-governmental dialogue between Asia and Europe emanating from ASEM decisions. Its strategic importance was reaffirmed by EU and ASEM Leaders during the ASEM 10th Summit in Milan in October 2014.

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

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the project: design, effectiveness, feasibility, sustainability, cost-effectiveness, as well as the added value for the EU, including with regard to visibility.

##### **(d) Maximum rate of co-financing**

The grant will cover 100% of the eligible costs of the action.

The maximum possible rate of co-financing may be up to 100 % 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 essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

- (e) Indicative trimester to conclude the grant agreement

The grant agreement will be concluded indicatively during Q3 of 2015.

#### **4.1.2. Procurement (direct management)**

- (a) Part of the project will be implemented through the procurement of services. Indicatively, it is expected that one service contract will be signed.
- (b) Indicative timing: call(s) for tender launched 4th Quarter 2015..

#### **4.2. Indicative budget**

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1. – Grant – direct award (direct management)	2,4
4.1.2. – Procurement (direct management)	4,28
<b>TOTAL</b>	<b>6,68</b>

#### **4.3. Performance monitoring**

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. It will be based on indicators and means of verification laid down in the grant agreement and in the logical framework.

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.

#### **4.4. Evaluation and audit**

In addition to any possible evaluation included in the grant budget and to be commissioned by ASEF, for this action the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

In order to ensure that the proposed programme is reaching its objectives, the use of communication and visibility tools is crucial. A specific Communication and Visibility Plan in line with relevant guidelines shall be elaborated at the start of implementation of both the service contract and the grant.

Communication and visibility activities will create an integral part of each event organised in the framework of this programme, in particular ASEF activities ensure high EU visibility at the various events. Regular information will be sent to key stakeholders (including media, think tank representatives and, when appropriate, the EU Delegations in relevant countries) alerting on the outcomes of the events and diffusing background information on key issues. All communication activities will respect the relevant EU Visibility Guidelines. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.

## ANNEX 5

of the Commission Implementing Decision on the 2015 Annual Action programme for the  
Partnership Instrument

### **Action Fiche for Policy Support Facility (PSF)**

#### **1. IDENTIFICATION**

Title of the action	Policy Support Facility (PSF)			
Country(ies)/ Region	Global			
Total cost	Total estimated cost: € 13.500.000 Total amount of the EU budget contribution: € 13.500.000			
Total duration	54 months <sup>1</sup>			
Method of implementation	Direct management Procurement - Services			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	x	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The overall aim of the Policy Support Facility (PSF) is to support the EU's priorities and to influence the partner countries/regions' agenda positively, so that it aligns as much as possible with the EU's policies, objectives and values (especially when it relates to values, governance, standards, consumer protection including consumer product safety, climate change or the protection of the environment); an active and engaging policy dialogue will foster mutual understanding as well as common responses to global challenges.

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (24 months); (iii) the closure phase (indicatively 12 months)



## **2.2. Context**

The Partnership Instrument (PI) includes, amongst its thematic priorities support for the implementation of Partnership and Cooperation Agreements, Action Plans and similar bilateral instruments, strengthening the political and economic dialogue with third countries of particular relevance in world affairs, including in foreign policy; supporting engagement with relevant third countries on bilateral and global issues of common concern; enhancing policy dialogues and cooperation with relevant third countries, taking into consideration all areas within the scope of the Europe 2020 strategy; promoting the Union's internal policies with key partner countries and supporting regulatory convergence in this regard.

In order to address these priorities, a facility is being created through a multiple framework with four lots to respond to the dynamic and fast-changing global environment that European policies have been confronted with in terms of partner countries'/regions' approaches to these policies and to timely promote European interests.

The AAP 2014 already included an allocation for the PSF which allowed the launching of the tender procedure. The allocation for PSF in the AAP 2015 will top-up the funds of AAP 2014.

## **2.3. Lessons learnt**

The tender process of the PSF is currently ongoing, but the design of the PSF builds on and draws lessons from existing similar dialogue facilities. In all four countries, where policy dialogue facilities exist, the projects are either already in their second phase or restructuring/combinations of other projects, showing the continuous and growing demand for this type of facility.

However, several actions under the different facilities have not necessarily served the policy dialogue in the long-run due to their isolation, a lack of vision and/or work programme of the dialogue and/or the unwillingness of one of the partners to implement the activity.

## **2.4. Complementary actions**

There are currently four support facilities being implemented across the world: in Brazil, China, South Africa and Thailand (Brazil – EUR 5.5 Mio, China – EUR 12 Mio, South Africa EUR 7 Mio and Thailand – EUR 4 Mio – all EU contributions). Most of them are DCI-funded. The one in Brazil is financed under the ICI+ budget. Complementarity will be sought with projects currently running with the financial support of ICI+.

In 2014, DG ENV also created their own Framework Contract TAIEF that specialises in delivering short-term actions in the priority areas of DG ENV.

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

To support (existing) policy dialogues between the EU and partner countries through technical assistance in areas within the scope of “Europe 2020” and to facilitate economic and trade relations with partner countries.

It will complement/support the external dimension of internal policies conducted under the other EU political programmes and instruments.

#### **3.2. Expected results and main activities**

R1: More knowledge-based and consequently a strengthening of the policy dialogues of the EU with partner countries and the consequent improvement of the quality of cooperation with those partner countries, in particular strategic partners through exploring opportunities of mutual interest for a long-term agenda in priority areas.

R2: Policy commitments and guiding documents, such as Summit Declarations, MoUs (signed between Commission DGs and third country ministries), letters of intent etc. in different areas implemented actively.

R3: Platforms established and maintained to enhance dialogue and understanding on key priority issues focused on the external dimension of the "Europe 2020" agenda and areas highlighted in the MIP 2014-2017.

For the purpose of the PSF a Global Framework Contract is currently being tendered, consisting of the following four Lots:

- Lot 1 – Event organisation: logistics, travel and accommodation associated to conferences, forums, workshops, study visits, incl. logistical support for working sessions on policy dialogues (in Europe or partner country), etc.
- Lot 2 – Technical assistance, training and evaluation: technical studies, (feasibility studies, technical reports, baseline, benchmarking on issues that are relevant for the policy dialogues); provision of expertise on specific issues relevant to the policy dialogues incl. speakers, panellists, rapporteurs/ facilitators, moderators; monitoring, evaluation, secondment of experts, exchange of expertise.
- Lot 3 – Information and communication: information and communication actions of the EU.
- Lot 4 – Market Access and Trade & Investment Agreement Negotiation & Implementation: legal analysis and advice, expertise to support Delegations coordinating Market Access Teams, translations, statistics and collection of data and analysis, expert seminars, workshops, technical assistance to support partner countries implement necessary reforms, monitoring of trade agreements.

### 3.3. Risks and assumptions

- R.1. There is no interest from the partner country in the proposed activity.
- M.1. A written commitment and support from both partners should be provided before the approval of activities. Counterpart contributions could be envisaged.
- R.2. The activity is an isolated event and does not contribute to deepening the policy dialogue.
- M.2 A proposal has to be presented for approval of the activity and it should be made clear how this activity is embedded in the policy dialogue and/agenda.
- A1 Sufficient staff is available in FPI to manage this Global Framework Contract.

### 3.4. Stakeholders

Direct stakeholders and partners of the different activities within the facility are partner country administrations directly involved in the dialogues, together with the corresponding services of the European Commission, the EEAS and other partner country and European public and private institutions interested in the policy dialogues (regional and local governments, universities and research centres, business and socio-professional associations, NGOs, cultural institutions etc.).

Indirect stakeholders are EU Member States, all private and institutional/public stakeholders at different levels in Europe and partner countries that may be consulted or involved in the implementation of the different activities.

## 4. IMPLEMENTATION ISSUES

### 4.1. Method of implementation

#### 4.1.1. Procurement (direct management)

- (a) Contracts: A tender has been published for a multiple Global Framework Contract with reopening of competition, consisting of 4 Lots. Direct services contracts can be used in duly justified cases.
- (b) Indicative number of specific contracts to be signed under the Global Framework Contract : 120
- (c) Indicative number of direct contracts under calls for tenders: 10
- (d) Indicative timing: call for tender was launched 1<sup>st</sup> Quarter 2015 under the AAP 2014 Financing Decision.

### 4.2. Indicative budget

Method of Implementation	Amount in EUR million
4.1.1. – Procurement (direct management)	13,5

<b>Total</b>	<b>13,5</b>
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#### **4.3. Performance monitoring**

The FPI ensures a regular follow-up of the project, both through visits of its own staff where possible and regular contact with the different activities/ stakeholders. Concerned Commission DGs/ EEAS will be required to monitor activities that have been proposed by them closely. The Commission may undertake additional project monitoring visits through independent consultants recruited directly by the Commission for independent monitoring reviews.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Most of the activities (conferences, seminars, workshops, etc.) are in themselves visibility-related activities, but it will be important to publicise results and achievements in the appropriate forums to increase visibility.

All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.

## ANNEX 6

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for Technical Assistance and Information Exchange (TAIEX)**

#### **1. IDENTIFICATION**

Title of the action	TAIEX			
Country(ies)/ Region	Global			
Total cost	Total estimated cost: € 1.000.000 Total amount of the EU budget contribution: € 1.000.000			
Total duration	54 months <sup>1</sup>			
Method of implementation	<i>Direct management (Assistance for the Implementation of TAIEX Activities: Provision of Logistical Services and Financial Management Tasks" EUROPEAID/130779/C/SER/MULTI). Procurement – Service Contract</i>			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The expertise provided through TAIEX is mainly provided by EU Member States (EUMS) public administration experts, to assist in the legal harmonisation process and capacity building of implementing and enforcement bodies as well as in support to the implementation of the Partnership and Cooperation Agreements, Association Agreements and Agendas or other existing and future agreements and jointly agreed action plans.

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (24 months); (iii) the closure phase (indicatively 12 months)

TAIEX facilitates the transfer of know-how through workshops/seminars/conferences, experts' missions (practitioners-to-practitioners) to partner countries as well as through study visits to EUMS. It facilitates the delivery of tailor-made expertise to address issues at short notice. For the Partnership Instrument (PI), TAIEX will provide expertise in a different fashion, since the request will generally be issued from the EU rather than from the partner country in areas of common interest.

The requests for using TAIEX will be inter alia assessed on the basis of their relevance to the objectives of the PI.

## **2.2. Context**

The use of TAIEX under the PI is justified as it will allow the EU to push forward its legislations, norms and standards in the partner country or to align the country's agenda to its own and, therefore, promote the EU's interests abroad.

TAIEX is a tool that will be used primarily to exchange knowledge with strategic partners or any other interested country to coordinate practices and/or norms and regulatory frameworks that could benefit both sides.

## **2.3. Lessons learnt**

TAIEX was initially created for candidate countries but has been extended to and appreciated by ENI beneficiary countries. One of its main assets is its flexibility, tailoring services according to requirements and constraints, and speed to mobilise expertise at relative short notice. Level of interest in sending experts is variable depending on the area of expertise and the partner country concerned. The potential for cooperation with the main strategic partners could be considered as a great opportunity.

## **2.4. Complementary actions**

TAIEX is complementary to the Policy Support Facility (PSF) in that the PSF can provide technical assistance through Experts from the private sector, while TAIEX relies on public administration experts.

Consistency and complementarity between TAIEX and the PSF will be guaranteed through regular coordination across all actors, EU Delegations in the target countries, relevant Commission services and the EEAS.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The overall purpose is to facilitate, in all areas required, the implementation of EU bilateral Cooperation Agreements or similar agreements, with a focus on regulatory convergence in partner countries, to share with the partner countries experience, know-how and information on EU policies and legislation in the widest sense and to support the partner country in fulfilling their commitments under the Agreements (Association or Partnership and Cooperation Agreements or any other bilateral agreement or cooperation framework with the EU).

TAIEX coordinates requests for assistance and cooperation to Member States for the delivery of short-term, tailor-made public administration expertise to address specific requirements at short notice.

### **3.2. Expected results and main activities**

EU best practices and know-how are shared with partner countries through the provision of short term technical assistance delivered mainly by experts from Member States Public Administration.

Other expected results are: i) information and updates on EU legislation and policies are provided by experts from EUMS Public Administration; ii) cooperation to improve regulatory convergence and legislative approximation towards higher standards is intensified.

The indicators to measure those results are: numbers of events, participants and experts; number of assessment reports; changes to the national regulatory framework brought in line with the EU's in the target countries.

Activities: seminars, workshops, conferences, expert missions and study visits, etc.

### **3.3. Risks and assumptions**

One of the main risks could be the lack of engagement of the target countries. However, TAIEX is flexible and allows for timely mitigations in a difficult context. Operational difficulties could also occur in relation to visa regimes being applied. Advanced planning and specific attention in the early phases of an event preparation should help overcome these. The general assumption is that the Member States will support the scheme by facilitating the use of public sector expertise.

### **3.4. Stakeholders**

Potential stakeholders can include public (central or lower levels) administrations, national parliaments' administrations, judiciary bodies, social partners and, when appropriate, private sector associations (on the partner country side).

## **4. IMPLEMENTATION ISSUES**

### **4.1. Method of implementation**

#### ***4.1.1. Procurement (direct management)***

Direct management will apply. The implementation of the programme will be delegated by the Service for Foreign Policy Instruments (FPI) to the Directorate-General Neighbourhood and Enlargement Negotiations (DG NEAR).

The services will be provided through the contract "*Assistance for the Implementation of TAIEX Activities: Provision of Logistical Services and Financial Management Tasks*" (EUROPEAID/130779/C/SER/MULTI). The current contract ends on

31/07/2016. As from 01/08/2016 a new contract will enter into force which DG NEAR plans to launch still in 2015.

#### 4.2. Indicative budget

Method of Implementation	Amount in EUR million
4.1.1. –Procurement - Technical Assistance and Information Exchange (TAIEX) ( <i>direct management</i> )	1
<b>Total</b>	<b>1</b>

#### 4.3. Performance monitoring

The Commission may undertake any actions it deems necessary to monitor the programme. In particular, the procedure of evaluation and monitoring described in section 4.4 will apply.

#### 4.4. Evaluation and audit

The "Impact Feedback" gathers information on tangible impacts of TAIEX activities six months after their implementation. Before the organisation of the activity the partner administration at the receiving end is asked to identify a person to assess its impact. Six months later, this same person is asked to fill in a questionnaire. The results of the evaluation are taken into account in the programming and implementation cycle.

#### 4.5. Communication and visibility

This project will contain communication and visibility measures which will be based on a specific Communication and Visibility Plan of the Action, to be drawn up and submitted to NEAR.C.2 for approval before the launch of activities. It will be supported with the budget indicated under point 4.2.

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

The implementation of the communication activities shall be the responsibility of the contractor, and shall be funded from the amounts allocated to the Action.

All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.



## ANNEX 7

### of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

#### **Action Fiche for Support to project cycle management**

#### **1. IDENTIFICATION**

Title of the action	Support to project cycle management			
Country(ies)/ Region	Global			
Total cost	Total estimated cost: € 900.000 Total amount of the EU budget contribution: € 900.000			
Total duration <sup>1</sup>	36			
Method of implementation	<i>Direct management</i> <i>Procurement - Services</i>			
Markers (from CRIS Dac form)	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"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

This project will provide the European Commission with a flexible facility that will make available expert support for the identification, formulation, monitoring, evaluation and audit of actions under the Partnership Instrument.

##### **2.2. Context**

Article 3 of the "Common rules and procedures for the implementation of the Union's instruments for financing external action"<sup>2</sup> foresees the use of EU financing to cover "*administrative support associated with the preparation, follow-up, monitoring, audit and evaluation activities directly necessary [for the implementation of the instruments]*".

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<sup>1</sup> Contract duration should generally not exceed 36 months

<sup>2</sup> Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014

In addition, Article 4 of the Partnership Instrument Regulation<sup>3</sup> establishes that up to 5% of the total budget of the Multiannual Indicative Programme shall be committed, inter alia, for administrative support, as provided by the Common Implementing Rules<sup>4</sup>.

Furthermore, recital (22) of the Partnership Instrument Regulation stipulates that the results and efficiency of the instrument "*should be monitored and assessed on the basis of pre-defined, clear, transparent and, where applicable, country-specific and measurable indicators [...]*".

Despite these provisions, PI funding for activities in support of project cycle management (namely identification and formulation, monitoring, evaluation and audit of projects and programmes) under the administrative budget line is very limited compared to actual needs. At the same time, due to the "N+1" rule in the vast majority of cases it is not possible to contract evaluations and audits of projects before the final date for contracting of the financing decision.

The PI being an entirely new financial instrument it is important to ensure a correct gathering and application of lessons learnt, analysing the recommendations obtained through monitoring and evaluation and translating them into new projects. This is of particular relevance in view of the forthcoming Mid-Term Review, which will be conducted in 2017.

### **2.3. Lessons learnt**

The PI is an innovative financial instrument: it has a worldwide scope, reinforcing dialogue and cooperation with countries with which the Union has strategic interests, tackles issues pertaining to global challenges, supports the implementation of the external dimension of the Europe 2020 strategy and promotes the image and values of the European Union in the world.

Given the limited amount of resources available under the PI and the wide scope in terms of geographical coverage and objectives it is essential to ensure an appropriate identification and formulation of projects to be funded under this instrument, in order to avoid duplication with existing initiatives, identify complementarities and demonstrate an added value by promoting the interest of the European Union.

The programming exercises for the Annual Action Programmes 2014 and 2015 have clearly exposed this need, Line DGs often lack experience on project management under the EU external action, which is key to turn policy needs and priorities into viable projects, often of a complex nature. Hence, ad hoc expertise is needed for specific thematic areas or particularly complex interventions (e.g. programmes covering several regions and/or subjects or projects that require a high degree of technical expertise, etc.).

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<sup>3</sup> Regulation (EU) No 234/2014 of the European Parliament and of the Council of 11 March 2014 establishing a Partnership Instrument for cooperation with third countries

<sup>4</sup> Ibid (footnote #2)

## 2.4. Complementary actions

This component will complement not only the budget allocations foreseen for administrative expenditure (BA budget line) but also the Policy Support Facility (PSF, Annex 5 to the current AAP 2015), which aims at supporting (existing) policy dialogues between the EU and partner countries through technical assistance in areas within the scope of “Europe 2020” and to facilitate economic and trade relations with partner countries, and in particular lot 2 (Technical assistance, training and evaluation). It will also complement the technical assistance provided through TAIEX.

## 3. DETAILED DESCRIPTION

### 3.1. Objectives

The objective of this action is to maximise the relevance, efficiency, effectiveness, sustainability and impact of the projects and programmes carried out under the Partnership Instrument. More specifically, this project shall provide ad hoc expertise for the identification, formulation, monitoring, evaluation and audit of projects and programmes.

### 3.2. Expected results and main activities

**Result 1:** Ad hoc expertise able to provide high-quality support for project cycle management is made available to the European Commission in a timely and flexible manner.

Activities envisaged under this facility will include, inter alia:

#### i. Identification and formulation of PI projects/programmes

The **identification** phase is to provide an analysis of the context including the problem areas, public policies, stakeholders and the institutional capacity. This analysis provides the basis for the definition of specific objectives and expected results of the project/programme, also proposing the implementation approach and modality.

The **formulation** stage is to make up the detailed design of the intervention, including the main activities, and how they contribute to outputs and outcomes, what indicators, benchmarks and systems will be used to measure progress, and how risks will be identified and mitigated. Formulation may include drafting of terms of reference, technical specifications and guidelines for applicants in view of the launching of calls for tender/calls for proposals.

#### ii. Monitoring and evaluation of ongoing/completed projects<sup>5</sup> according to the Evaluation Plan of the PI<sup>6</sup>

**Monitoring** is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going intervention

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<sup>5</sup> Guidelines for Project Cycle Management [https://myintracomm.ec.europa.eu/dg/devco/quality-impact/Documents/New%20intranet/Project%20and%20Programme%20Cycle%20Management/europeaid\\_admin\\_pcm\\_guidelines\\_2004\\_en.pdf](https://myintracomm.ec.europa.eu/dg/devco/quality-impact/Documents/New%20intranet/Project%20and%20Programme%20Cycle%20Management/europeaid_admin_pcm_guidelines_2004_en.pdf)

<sup>6</sup> In preparation, to be adopted tentatively in April 2015

with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

**Evaluation** is the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. Evaluations are usually performed by independent, external experts who scrutinize an intervention against defined criteria such as relevance, efficiency, effectiveness, impact and sustainability (OECD-DAC evaluation criteria).

iii. Financial verification and/or audit of projects, according to the Annual Audit Plan of the service for Foreign Policy Instruments (FPI)

**Audits** are carried out to provide assurance on the legality and regularity of operations funded by the EU. Assurance is essentially related to compliance with the applicable regulations and rules and takes as a basis the principles of sound financial management, economy, efficiency and effectiveness.

**3.3. Risks and assumptions**

N/A

**3.4. Stakeholders**

N/A

**4. IMPLEMENTATION ISSUES**

**4.1. Method of implementation**

**4.1.1. Procurement (direct management)**

It is expected that expertise required for the identification, formulation, monitoring, evaluation and audit of actions under the PI will be mostly contracted through several individual requests for services via existing framework contracts managed by DG DEVCO or other DGs, upon agreement of the responsible service. However, services may be tendered/negotiated outside existing framework contracts in duly justified cases or when no appropriate framework contract is available.

**4.2. Indicative budget**

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1. Procurement (direct management)	0,9
<b>Total</b>	<b>0,9</b>

### **4.3. Performance monitoring**

Monitoring of the implementation will be carried out by the Commission (FPI in headquarters and, where applicable, the relevant Delegations) on the basis of quality and timeliness of deliverables and services provided by the contractor/s. 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.

### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

### **4.5. Communication and visibility**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU. However, given the nature of the services to be provided in the framework of this action, the Contracting Authority will assess the need and scope of the visibility and communication activities to be linked to each of the specific actions and will specify them in the related request for services.

## ANNEX 8

of the Commission Implementing Decision on the 2015 Annual Action programme for the  
Partnership Instrument

### **Action Fiche for Schuman Fulbright Fellowships**

#### **1. IDENTIFICATION**

Title of the action	Schuman Fulbright Fellowships			
Country(ies)/ Region	United States of America			
Total cost	Total estimated cost: € 590.000 Total amount of the EU budget contribution: € 350.000			
Total duration	54 months <sup>1</sup>			
Method of implementation	Direct management Grants – direct award			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

A fellowship scheme, co-funded by the European Commission and the US Department of State to allow mid-career professionals the opportunity to research or lecture for 3 to 9 months in any area of EU-US relations.

##### **2.2. Context**

The action contributes and supports the Europe 2020 strategy in its initiative called Agenda for new skills and jobs. The Agenda for new skills and jobs is one of the 7 flagship initiative of Europe 2020. It also supports the Youth on the Move initiative in the Strategy

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (24 months); (iii) the closure phase (indicatively 12 months)

### **2.3. Lessons learnt**

The Schuman-Fulbright programme has been running since 2002 and was one of the actions run under the renewed Agreement between the EC and the US for cooperation in higher education and vocational educational training signed in 2006. Since then, several evaluations of the programme took place, always very positive. The budget has been steadily increased as has the number of participants.

### **2.4. Complementary actions**

Some MS have scholarship programmes with the US but this specific action benefits from the "Fulbright" experience and reputation which benefits the participants and open doors for them in larger companies in Europe and in the world. Fellows can also benefit from the large network of former Fulbright alumni. There is a complementarity also with Erasmus + Programme which supports mobility and joint degrees on wider subjects but which does not specifically at developing EU-US relations.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The Schuman-Fulbright programme supports the EU agenda for new skills and jobs under Europe 2020, through the exchange of mid-career professionals using the framework of the US Fulbright programme. Grants fund fellowships for research and lecturing in the fields of US-EU relations, EU policy, or EU institutions.

The scheme is intended to create a cohort of high quality Europeans who have the chance to investigate policy areas of interest to the transatlantic relationship and act as ambassadors for European values while in the US, and then as ambassadors for EU-US relations upon their return.

### **3.2. Expected results and main activities**

After a selection process taking place in all EU Member States, EU professionals receive fellowships from 3-9 months to spend in the United States. Grantees must arrange their own placement at an independent research centre, vocational training/professional institution or accredited university in the USA. The scheme funds up to 20 EU nationals per year to spend 3-9 months in the US, from the EU contribution. The size of the EU contribution amounts to a maximum of 29.000 € per grantee.

The US State Department pays for the reciprocal scheme whereby American, mid-career professionals receive fellowships to come to Europe and undertake lecturing or research, funding up to 15 US nationals to spend 3-9 months in the EU, paid for by the US contribution.

### **3.3. Risks and assumptions**

Main assumption and risk are closely linked together. In fact, while it is assumed that high quality candidates willing to undertake the secondment will be found, a risk exists that not all of them will match the expected profile. However, risk seems limited in light of

experience over the last two years, where the number of EU applicants has doubled and quality of EU candidates has been very high. At the moment, the numbers of US applicants to come to Europe are less impressive and the US Dept. of State is undertaking promotional activities to publicise the fellowships.

### **3.4. Stakeholders**

European young professionals in the field of EU-US transatlantic relations. Academic institutions and EU institutions could directly benefit from the results of the activities carried through this action.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Method of implementation**

#### ***4.1.1 Grant - Direct award (direct management)***

##### **(a) Objectives of the grant**

To provide grants to fund fellowships for research, and lecturing in the fields of US-EU relations, EU policy, or EU institutions (Schuman-Fulbright Fellowship).

##### **(b) Justification of a direct grant**

Under the responsibility of the Commission's authorising officer responsible (DG EAC based on the co-delegation in force between FPI and EAC), the grant may be awarded without a call for proposals to the Belgium-Luxembourg Fulbright Commission, in accordance with the provisions of article 190(1)(f) of the RAP.

The EU and US authorities have jointly designated the Belgium-Luxembourg Fulbright Commission with this task since 1995 for the reason that actions carried out under the Schuman-Fulbright scheme have very specific characteristics as part of the wider Fulbright programme. This programme is only implemented through the network of national Fulbright commissions in Europe. EU grants are subject to the Financial Regulation and Rules of Application of the EU. Belgium-Luxembourg Fulbright Commission is therefore the only organisation combining expertise in implementing the Fulbright Programme and following the FR and its implementing rules as set out in the Schuman-Fulbright Scheme.

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

The selection criteria is given by Annex I of Council Decision of 4/12/2006 on the conclusion of the Agreement between the European Union and the United States of America renewing the co-operation programme in higher education and vocational education and training (2006/964/EC) provides that for the purpose of promoting "Schuman-Fulbright" grants and supporting grantees, the Parties may provide financial support to an organisation that they shall jointly designate.

The essential award criterion is the capacity and competence to fulfil the provisions set out in the above mentioned agreement with the US.



(d) Maximum rate of co-financing

Financing via this agreement is based on matching funds between the Parties following the laws and regulations, policies and programmes of the European Union and the United States. Maximum possible rate of co-financing<sup>2</sup> for this grant to the Belgium-Luxembourg Fulbright Commission is 60% of the eligible costs of the action.

The maximum possible rate of co-financing may be up to 100 % 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 essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

The grant agreement will be concluded indicatively during Q4 of 2015. The contracting authority will be DG EAC based on the co-delegation in force between FPI and EAC.

***4.1.2 Grants provided to fund fellowships for research and lecturing in the fields of US-EU relations, EU policy, and/or EU institutions (Schuman-Fulbright Fellowship)***

- (a) The objectives of the grants are to create a cohort of high quality European professionals who have the opportunity to investigate policy areas of interest to the transatlantic relationship in the US. Grantees should have the skills to represent the EU as ambassadors for the programme and the energy and enthusiasm to promote the results of their work/research during the secondment to relevant stakeholders. This will benefit the EU-US relationship via mobility of mid-career professionals undertaking short research and outreach secondments. Successful proposals will address an issue of common concern from a comparative perspective and will bear significance for more than one EU member state. The intended area of research or study must deal with US-EU relations or current particular EU-related priorities.

Results should enhance the knowledge of the young professional participants on the EU-US relationship; increase their employability and their job attractiveness; and, finally, expand their network. Funding concerns around 15-20 EU nationals per year spending 3-9 months in the US.

- (b) Eligibility conditions of grantees

Preference will be given to candidates with two years of relevant professional or academic experience beyond the Bachelor's degree. EU professionals and professionals in training (decision-makers, policy-makers, individuals in industry, the media, politics, academia, and public administration) are encouraged to apply. Proficiency in English and a minimum of three months experience in two or more Member States is preferred.

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<sup>2</sup> Article 192 FR – full financing of an external action

Candidates with permanent positions at the European Commission are ineligible to apply.

(c) Selection and award criteria of grantees

The selection committee consists of the European Commission, US Mission to the EU representatives and Fulbright alumni.

-Selection criteria: details of the educational and professional qualifications of the candidate; knowledge of public policy issues relevant to the substance of the proposal; and, where appropriate, knowledge of EU policies and of the relationship between the EU and the US in that policy area.

-Award criteria : relevance, quality and impact of the project proposed in terms of value-added input to the EU-US relationship, EU policy, as EU institutions. The results must be relevant to at least two Member States.

(d) EU contribution amounts to a maximum of 29.000 € per grantee (A unit contribution of EUR 3.000,00 per EU student per month to cover the mobility grants for the beneficiary and EUR 2.000,00 per EU student for travel costs)

(e) Indicative timing: September to December 2015

#### 4.2. Indicative budget

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1 - Grant – direct award (direct management)	0.35
<b>Total</b>	<b>0.35</b>

#### 4.3. Performance monitoring

The programme is run by the Commission for Educational Exchange between the United States and Belgium based in Brussels, who undertake pre-departure briefing and post-fellowship monitoring of the grantees are also obliged to final reports to Belgian Fulbright Commission. The European alumni are then called upon to help promote the benefits of the transatlantic relationship and the Schuman Fulbright programme around Europe.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants.

#### 4.4. Evaluation and audit

The Commission for Educational Exchange between the United States and Belgium produce an interim report after 12 months to check the progress of scholarship selection as well as a final report after 24 months when all the grantees have finished their secondments.

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Promotion of the fellowship scheme is organised via a network of national Fulbright Commissions around Europe and via the Fulbright network in US higher education institutions. Grantees are actively encouraged to blog about their fellowships and are invited to make video testimonials on [www.youtube.com/fulbrightbe](http://www.youtube.com/fulbrightbe).

All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is co-financed by the EU.

## ANNEX 9

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for EU-Australia Leadership Forum**

#### **1. IDENTIFICATION**

Title of the action	EU-Australia Leadership Forum			
Country(ies)/ Region	Australia			
Total cost	Total estimated cost: € 2.000.000 Total amount of the EU budget contribution: € 2.000.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct management Procurement – Services			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	×	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	×	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	×	<input type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The EU-Australia Leadership Forum Project is designed to enhance the understanding of the benefits and opportunities of the EU-Australia relationship and the EU's role as a global player amongst key decision makers in Australia and Europe. The core of the project will be the organisation of two High Level events - the EU-Australia Senior Leaders Dialogue and the EU-Australia Emerging Leaders Dialogue). These events, run together, will be held once in Australia and once in Europe. The Senior Leaders Dialogue will bring together selected European and Australian Leaders from Government, Opposition, Enterprise, Media, Education and the Civil Society to examine opportunities, expand mechanisms and enhance the benefit of the EU-Australia relationship. It could also provide input and ideas on how to deepen the economic, trade and investment relationship and may feed into the formal consultations/dialogues. This input will focus on the possible evolution of this relationship over the coming decades.

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)

The Emerging Leaders Dialogue will bring together young professionals, academics, and policy makers to engage with their counterparts in Europe & Australia to ensure the future of the relationship. The Emerging Leaders Dialogue will present a communique to the Senior Leaders Dialogue with their ideas and suggestions.

The Project will also run regular Expert Policy Workshops in the margins of existing formal executive-to-executive dialogues (eg; Security; Economy, Trade, Environment; Energy, Migration & Asylum, and other regulatory issues).

A dedicated outreach strategy will be implemented throughout the programme (incl. appropriate digital media presence, publications, Media Monitoring). Dedicated programs for media representatives in the margins of the Senior Leaders Dialogue meetings will also be part of the project to ensure that the work of the Forum is well informed and widely published. An alumni group will also be formed to ensure sustainability of networking opportunities.

The results of the project will be measured on the basis of a thorough baseline study establishing the key parameters of the EU-AUS relationship at the beginning of the project.

## **2.2. Context**

Australia is a 'like-minded' EU partner in many fields, playing a pivotal role not least in SE Asia (and in ASEM) and the Pacific, where it is a leader in terms of development. AUS also plays a leadership role at global level (through its recent chairmanship of the G20 and other key economic fora, its recent membership in the UN Security Council, as an important NATO partner, as an active participant in international missions, etc.). It is also an influential player in the Indo-Pacific region through the extended ASEAN architecture, the East Asia Summit, ADMM+<sup>2</sup>, the Bali Process, etc. as a current chair of the Indian Ocean Rim Association (IORA), as well as through growing partnerships with key players such as Japan, South Korea, China, Indonesia and the US.

The time is right to capitalise on the blossoming EU-AUS relationship and to shift it to a new level. Australia and the EU have finalised negotiations on a legally binding Framework Agreement which will further consolidate and strengthen the EU-Australia relationship. It is thus a very good moment to widen the debate on how to progress the EU/AUS relationship and to engage a wide range of key decision makers and upcoming leaders in politics, civil society, private sector and the media.

## **2.3. Lessons learnt**

Experience has shown that unless there is ownership of the relationship, it is impossible to gain understanding and increase opportunities. The Leadership Forum Project will build on and widen the scope of the nascent Leadership Dialogue commenced by the European Australian Business Council. This Dialogue included the participation of the Governor General and the then Council President Herman Van Rompuy and Commission President Jose Manuel Barroso, as well as the EEAS Managing Director for Asia & Pacific and the Directors General from DG Enterprise and Competition. The themes were "Opportunities and Challenges for Australia and the EU in the Asian Century" and "Securing Jobs and Growth". The Leadership Forum's Dialogue events will be modelled on the highly successful Australian American Leadership Dialogue (AALD). The AALD was founded in 1992 and is a bipartisan private diplomatic initiative whose objective is to deepen mutual understanding between Australian and American Leaders. The AALD is a high profile activity attracting support from government and private sector leaders. The AALD holds an Annual Dialogue with seven themes of dialogue (economics and trade, defence and security, foreign policy, domestic politics, innovation & technology, energy and climate and education,

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<sup>2</sup> ADMM+ : ASEAN Defence Minister's Meeting + US, Russia, Australia and East Asia countries Defence Ministers

health and social inclusion) The AALD also holds smaller dialogues on an irregular basis and a Young Leadership Dialogue to facilitate long term mutual understanding. The AALD Events involve Ministers and Shadow Ministers as well as key private sector figures.

## **2.4. Complementary actions**

Some Member States have high level meetings in some sectors but there is no overarching EU action that can bring together leaders from all sectors. The project will consist of a unique series of events, the success of which will be crucial for it to become a self- sustaining annual event.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The overall objective is to deepen the understanding of the overall EU-Australia relationship using the EU-Australia Framework Agreement as the basis and ensuring that other opportunities for engagement are open to discussion, including the further deepening of economic and trade relationship.

The specific objective is to enhance and expand the understanding of the potential of the EU-AUS relations in specific sectors and explore possible future avenues for cooperation in the political, security, economy, trade, environmental, and other regulatory issues, scientific and private sector areas in such a way as to mutually ensure the economic, social and environmental prosperity for Australian and European citizens.

#### **Expected results are:**

- Greater awareness of the EU-Australia relationship amongst key decision makers in politics, civil society, private sectors and media.
- Greater media awareness of the benefits and opportunities of the EU-Australia relationship, as well as of the place and role of the EU in the region and in the world.
- Greater interest in and knowledge of the concept, benefits and consequences of deeper economic, trade and investment relationship
- Greater interest and involvement of the private sector in EU-Australia relations.
- Increased level of engagement and contacts between civil society and think tanks from Europe and Australia.

#### **Main indicative activities** include the following:

- Baseline study setting out parameters of EU-Australia relationship against which the project can be monitored and evaluated.
- Organisation of 2 EU-Australia Senior Leaders Dialogues and 2 EU-Australia Emerging Leaders Dialogues run together and held once in Europe and once in Australia
- Development and implementation of a comprehensive media strategy (with a focus on digital media), including public awareness raising events in margins of existing events, Opinion Pieces in major newspapers and respected journals, regular press releases, as well as media workshops both in Australia and in Europe
- Organisation of regular Expert Policy Workshops throughout the duration of the project in margins of current EU-Australia Official Dialogues
- Creation of a dedicated network of Alumni for the EU-Australia Relationship
- At the end of the project, publication of two books on "EU-Australia Relations by Sector" taking into account the results of the various Events and regular Expert Policy Workshops.

They will also be made available as e-books to be downloaded as a whole or by individual chapters.

For all the meetings above, the focus would be decided by the Multi-Stakeholder Steering Committee (MSSC) and relate to key issues contained with the EU-Australia Framework Agreement. There will be plenary sessions and thematic roundtables including economic, regulatory and trade components. Each Leaders Event will produce a communique (chairs/ hosts summary or similar) with a potential list of recommendations. The Media strategy and all events will produce a series of papers and Opinion pieces on the EU-Australia relationship for the European and Australian Press as well as digital platforms. The Regular Expert Policy Workshops will include participation by the EU Centres and their partners and each will produce an Outcomes Paper which will feed into the Official Dialogue.

### 3.2. Risks and assumptions

The main risk revolves around political buy in. The most important assumption is that the project will have political backing at the highest level – both from the Australian and the EU side. The AALD has proved to be successful because it is supported at the highest level, in a bi-partisan fashion, both in Australia and in the US which assures it has media coverage, credibility and sustainability.

In order to mitigate this risk, the need for high level contacts will be stressed and tenderers will have to clearly demonstrate their experience and skills in organising events of this calibre. As well, having the EU Head of Delegation to Australia as chair of the MSSC will ensure access to high level political contacts, including through Member States present in country.

### 3.3. Stakeholders

- The National Government and Parliamentarians, the relevant Government Departments (Foreign Affairs & Trade, Environment, Attorney Generals, Prime Minister and Cabinet, Agriculture, Treasury etc.)
- European Commissioners and Senior officials of EU Institutions as well as representatives from EU Member States and relevant international organisations (UN, World Bank etc.)
- Private Sector – preferably those with EU/Australia interests and subsidiaries
- Civil Society incl. think tanks, academics, advocacy groups
- Senior Media representation from major media outlets in Europe and Australia

## 4. IMPLEMENTATION ISSUES

### 4.1. Method of implementation

#### 4.1.1. Procurement (direct management)

- (a) The project will be implemented through the procurement of services. Indicatively, it is expected that one service contract will be signed. .
- (b) Indicative timing: call(s) for tender launched 3rd Quarter 2015.

### 4.2. Indicative budget

Method of Implementation	Amount in EUR million
4.1.1. – Procurement (direct management)	2

<b>Total</b>	<b>2</b>
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### **4.3. Performance monitoring**

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, as defined in the service contract.

A project steering committee (MSSC) will be established and will be chaired by the EU Delegation in Canberra. The MSSC will inter alia make it possible to adapt the agenda of activities and their topics to the bilateral EU-Australia political agenda.

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).

### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

### **4.5. Communication and visibility**

Communication and visibility will be an integral part of the project. The implementing partner will establish a communication plan that, inter alia, will define the key messages and specific communication/EU visibility actions to be taken in line with the relevant EU visibility guidelines.

All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.



## ANNEX 10

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### Action Fiche for EU Green Gateway to Japan

#### 1. IDENTIFICATION

Title of the action	EU Green Gateway to Japan			
Country(ies)/ Region	Japan			
Total cost	Total estimated cost: € 10.000.000 Total amount of the EU budget contribution: € 10.000.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct management Procurement - Services			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>

#### 2. RATIONALE AND CONTEXT

##### 2.1. Summary of the action and its objectives

The EU's Green Gateway to Japan Programme (Green Gateway) aims to provide assistance to European SMEs' willing to access the Japanese market. The proposed new phase will include two new features vis-à-vis earlier editions of the Gateway Programme, namely;

- (a) The promotion of European green technologies<sup>2</sup> and,
- (b) The search for business opportunities in Japan's public procurement markets in collaboration with the EU-Japan Centre for Industrial Cooperation (CIC).

Green Gateway will consist of market scoping missions to Japan for carefully selected EU companies that trade and invest in green technologies in the following industries: (i) construction, (ii) energy, (iii) environment, (iv) medical devices and (v) railway components & parts. The market scoping missions will serve to introduce companies

<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)

<sup>2</sup> Green technology is understood broadly and can include green products, services, technology solutions, etc.

to Japan by providing a first contact with the market, including the public procurement market.

## 2.2. Context

Japan is a highly attractive and thriving market with vast business opportunities for European companies. However, Japan is considered to be a relatively closed and difficult market to penetrate. Cultural, linguistic and regulatory differences pose many challenges to European companies, including in sectors where tariffs are relatively low or where the EU demonstrates competitive advantage.

In the area of the public procurement market, European firms report serious difficulties. Access is severely restricted; in 2011, just 0.5% of goods and services tendered in Japan were awarded to EU companies.

In view of these challenging realities of doing business on the ground in Japan, the EU is currently negotiating with Japan a Strategic Partnership Agreement (SPA) and a comprehensive Free-Trade Agreement (FTA), which will provide an overarching framework for EU and Japan commercial relations that promises to lead to a more open, transparent and harmonised business environment.

## 2.3. Lessons learnt

The EU Gateway Programme to Japan has been in operation for almost 20 years. To date, more than 100 missions<sup>3</sup> benefitting over 3,000 European companies from all EU Member States (EUMS). An internal review<sup>4</sup> shows that 87% of participating companies were either satisfied or highly satisfied with the missions organised. Such successes led to the expansion of the Programme to Korea in 2009 and to China in 2014. Notwithstanding the above, improvements can be made:

*Efficiency:* Around 40 European companies shall participate in each of the estimated 13 missions (no less than 10 missions shall be organised). A substantially greater number of companies per mission would make the programme too difficult to manage and would risk lowering quality of results. Where justified, market scoping missions might be shorter than the usual five days and where appropriate, exhibitions will take place in EU Pavilions in the framework of larger trade fairs – as opposed to the stand-alone events that have been organised to date.

*Effectiveness:* To date, participating companies have developed their knowledge of the Japanese market through (i) industry briefings, (ii) study tours, (iii) product exhibitions and (iv) match-making. This core operational methodology will be retained. However, Green Gateway will enhance programme effectiveness including by:

- (a) improving the quality of match-making.
- (b) expanding the Programme scope by including public procurement markets.
- (c) enhancing communication through more targeted campaigns.

As before, companies will be able to participate in up to three missions as there is a positive correlation between company satisfaction and company participations.

*Impact:* Close collaboration with EU Member States (MS) will enhance programme impact. MS will be able to provide more tailor-made business services, and

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<sup>3</sup> Construction, Environment/Energy, Fashion, ICT, Interior Design, Healthcare & Medical Technologies.

<sup>4</sup> EU- Gateway Programme: Cycles 1-3 Review (August 2013).

consolidate emerging business opportunities. In effect, Green Gateway provides a first step for European companies; subsequent steps and assistance can be provided by the EUMS.

#### **2.4. Complementary actions**

Green Gateway and the CIC will closely collaborate through the "Tax and Public Procurement Helpdesk", whereby the HelpDesk will provide briefings on public procurement in Japan as well as identify specific market opportunities for EU companies participating in Green Gateway.

Greater efforts shall be made to create synergies with the EUMS. Green Gateway is conceived to provide European companies with their *first* contact of the Japanese market and the EUMS in situ, Embassies, Trade Councils, Business Councils, Chambers of Commerce, etc., are best placed to provide more value added, tailor-made business services.

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

Green Gateway responds to Objective III of the Partnership Instrument Regulation, namely to facilitate market access, trade, investment and business opportunities. The focus on green business and public procurement opportunities demonstrates the EU's interest in expanding, and indeed modernising, its commercial relations with Japan, in line with the ambitious and comprehensive nature of the FTA.

The specific objective of the project is to provide EU companies offering green technologies with awareness of the Japanese market, including public procurement opportunities, in the five prioritised sectors.

#### **3.2. Expected results and main activities**

**R1:** European companies' knowledge of the Japanese market, including public procurement opportunities, is enhanced.

**R2:** EU-Japan trade and investment relations in green technologies are enhanced.

**R3:** EU SME access to Japan's procurement market is enhanced.

**R4:** Partnerships developed with relevant business organisations, trade associations and green economy advocates.

The main activities include promotion of the Programme, the selection of "green" EU companies, the organisation of market scoping missions and impact evaluation.

Companies participating in the market scoping missions will be informed of the state of play in Japan in their sectors through industry and procurement briefings, product exhibitions, study tours as well as matchmaking with Japanese companies. An estimated 13 missions<sup>5</sup> over 3 years, will contribute to creating a global green economy, boost EU-Japan trade and enhance access to Japan's public procurement market for EU SMEs. A maximum of 520 companies will participate in the Programme.

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<sup>5</sup> A *minimum* of 10 missions shall be implemented, two missions per priority sector.

### 3.3. Risks and assumptions

Even with a future FTA, Japanese standards for environmental technologies, tariffs and/or other non-tariff barriers that restrict trade and investment may change over time. To help mitigate such risks, strong advocacy by the EU Delegation will be required in the framework of sectoral dialogues and other channels, including in cooperation with strategic partners.

### 3.4. Stakeholders

The stakeholders include trade associations that operate in the five prioritised sectors, business organisations, trade promotion agencies and the EUMS.

## 4. IMPLEMENTATION ISSUES

### 4.1. Method of implementation

#### 4.1.1. Procurement (direct management)

(a) The project will be implemented through services contracts, for establishing and running the central management unit and for the core activities of recruitment, coaching network, logistics and operational support. Indicatively, two calls for tenders will be launched.

(b) Indicative timing: call(s) for tender launched 3rd Quarter 2015.

### 4.2. Indicative budget

Method of Implementation	Amount in EUR million
4.1.1 - Procurement (direct management)	10
i. Central management unit	1
ii. Recruitment & Coaching Network, Logistics & Operational Unit	9
<b>Total</b>	<b>10</b>

### 4.3. Performance monitoring

The day-to-day technical and financial monitoring of the implementation of this programme 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 and final reports.

Indicators to be monitored include: number of applicant and selected companies and programme participations; number of missions organised; number of business organisations and trade associations targeted; number of industry briefings, study tours and exhibitions; number of Japanese visitors to exhibitions and business meetings organised; number and value of commercial transactions concluded; value-added services provided by the EUMS.

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.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

Evaluations will be particularly important in light of the two new dimensions of Green Gateway, namely the exclusive promotion of green technologies and the inclusion of public procurement.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

The Programme will be made more visible to key ministries including of Economy Trade & Industry, Environment, Finance, Land Infrastructure & Transport, Agriculture, Forestry & Fisheries and Foreign Affairs as well as to business organisations such as Keidanren (Japan Business Federation) and specialised magazines. A Communication Strategy in line with relevant guidelines will be formulated with clear messages to be communicated to distinct target groups located both in Europe and Japan. Communication in Japanese will be of critical importance.

## ANNEX 11

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for the EU-South Asia Civil Aviation Project**

#### **1. IDENTIFICATION**

Title of the action	EU-South Asia Civil Aviation Project			
Country(ies)/ Region	India and other member states of the South Asian Association for Regional Cooperation (SAARC): Afghanistan <sup>1</sup> , Bangladesh, Bhutan, Maldives, Nepal, Pakistan and Sri Lanka			
Total cost	Total estimated cost: € 7.500.000 Total amount of the EU budget contribution: € 7.500.000			
Total duration	78 months <sup>2</sup>			
Method of implementation	Indirect management			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	✓	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	✓	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	✓	<input type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The project will develop and support European aviation interests in South Asia in line with the Europe 2020 strategy through enhanced dialogue with authorities, technical exchange with industry and regulatory harmonisation in the field of civil aviation. It will promote European policy, standards and technology in order to provide a more compatible and open market for the European aviation industry in this region.

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<sup>1</sup> Afghanistan will be invited to take part in regional activities under the project but will not benefit from national level support.

<sup>2</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (48 months); (iii) the closure phase (indicatively 12 months)

## **2.2. Context**

Traffic forecasts for South Asia over the next 20 years are among the highest in global aviation and the Indian government expects becoming the third largest aviation market by 2020 and the largest by 2030. Important aircraft manufacturing assets exist in India and discussions are ongoing with European companies about joint ventures and other industrial cooperation. However, in this key market, the EU aviation industry is facing barriers for its expansion, as well as strong competition.

## **2.3. Lessons learnt**

Aviation market opportunities reach beyond intra-India traffic to the overall South Asia region, which underscores the importance of a regional dimension to this project. In addition, most states in the region<sup>3</sup> follow EU airworthiness regulations implemented through the European Aviation Safety Agency (EASA) sponsored South Asia Regional Initiative (SARI), set up following a past EU-South Asia Civil Aviation Cooperation Project that ended in 2006. SARI provides a regional framework enabling the South Asian aviation authorities to work together on regulatory harmonisation, based on EU rules.

Important lessons have been learnt from other EU funded programmes such as the recent EU-India Civil Aviation Project and an on-going ASEAN Air Transport Integration Project (AATIP)<sup>4</sup>. The project will ensure that such lessons learnt and good practices are reflected and built upon in project implementation. More generally, the implementation of technical aviation projects through commercial contractors has delivered mixed results. This is why EASA shall play a leading role in the management of this project. Offering South Asian states a single point of entry to the EU's aviation expertise is at the heart of the EU's long term strategy to reinforce its aviation interests and to boost the EU's visibility. This approach also requires close cooperation between aviation authorities both at European and Member State level. Taking into account important Member State competences in aviation, it is foreseen that national aviation authorities will play an important role in project activities which are related to economic regulation.

## **2.4. Complementary actions**

The United Nations International Civil Aviation Organisation (ICAO) supports regional cooperation in South Asia through the Co-operative Development of Operational Safety and Continuing Airworthiness Programme (COSCAP-SA).

The US has a strong presence in the region which includes comprehensive representation at government level and technical assistance support to India following the US Federal Aviation Administration Category 2 downgrade of India's civil aviation authority. China's presence in the region is also growing.

The French civil aviation authority (DGAC France) is implementing a support project to improve the safety oversight capacity of the Indian authorities. DGAC

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<sup>3</sup> Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan and Sri Lanka are part of SARI.

<sup>4</sup> AATIP runs from 2012-2016 with a budget of €4.7 million.

France also provides technical assistance to Bhutan and Nepal. The UK Civil Aviation Authority has supported the SARI initiative and provides licencing examinations in Bangladesh, India and Nepal. The UK Air Accident Investigation Branch (AAIB) is also providing targeted assistance to Nepal. Airbus pursues industrial cooperation with India.

In this framework, the project will seek synergies to the maximum extent possible with other relevant initiatives implemented in the region.

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

The overall objective of the project is to contribute to the development of European aviation interests in South Asia in order to provide a more compatible and open market for the European aviation industry. This should be done by promoting European aviation policies, standards and technology which will also foster a higher level of aviation safety and environmental standards in the region.

#### **3.2. Expected results and main activities**

Result 1: Enhanced dialogue and institutional relations between South Asian and European Authorities in the field of civil aviation.

Result 2: Increased technical exchanges between the South Asian and European aviation industries.

Result 3: Reduction of barriers that impede market access and development for the European aviation industry in South Asia.

Result 4: Improved environmental performance of the South Asian aviation sector.

##### Main indicative activities:

- Explore and develop new bilateral and regional aviation policy related fora and political summits.
- Engage in partner country aviation policy development with a perspective towards harmonisation.
- Support the conclusion of aviation agreements and Memorandum of Understanding which are fully in line with relevant EU legislation.
- Promote and prepare discussions with India on a comprehensive EU air transport and bilateral aviation safety agreement.
- Establish platforms for European industry to promote their products and services.



- Generate and share business intelligence.
- Facilitate industrial partnership for design, production, maintenance, repair and overhaul (MRO), air traffic management (ATM) and operations.
- Provide information on financing mechanisms for industrial capital investment, aircraft and components acquisition.
- Support the SARI regulatory harmonisation process in implementing EU regulations on airworthiness, personnel licensing, flight operations, air traffic management and airports.
- Contribute with analysis of South Asian airport and ATM capacity.
- Support the development of roadmaps for improvement of aviation products, systems and infrastructure.
- Promote EU aviation products and processes in support of roadmap implementation and improved aerodrome infrastructure.
- Develop partnerships between European and South Asian aviation education institutions.
- Develop a policy dialogue on environmental protection with a particular focus on CO2 emissions from the aviation sector.
- Provide capacity building on market-based measures that support low carbon air transport.
- Contribute to the update of the Indian Action Plan on climate change.

### 3.3. Risks and assumptions

Assumptions:

- Continued political will and support on both sides to deepen the EU-South Asia aviation partnership.
- Commitment of South Asian states to improve the environmental performance of their aviation sectors.

<i>Risk</i>	<i>Mitigation</i>
Political instability or conflict in the region might lead to reduced demand for regional cooperation or ability to execute activities on-site.	Focus on the technical level (in line with the success of SARI), monitor the overall political context and adjust the regional / national focus of the project if need be.

<i>Risk</i>	<i>Mitigation</i>
Political factors and/or an EU air safety ban may lead to reduced desire for a particular country to cooperate with EASA and the EU	Adopt a regional approach, monitor the overall political context and communicate and adapt the project accordingly together with the stakeholders, DG MOVE and EU Delegations.
Slowdown of economic growth resulting in reduced demand in aviation transport services and products.	Monitor overall economic development, consider adjusting focus of project activities to continue strong support for European market share in South Asia.
Increased market access obstacles for European companies trading with or investing in South Asia.	Monitor industrial developments with European industry. Increase dialogue and technical project activities addressing market access obstacles.
Unequal regional capacity and needs resulting in limited possibilities for common regional approaches.	Adjust regional/national focus of activities and seek complementarity with development oriented assistance projects in the region.

### 3.4. Stakeholders

Indicative stakeholders are:

European Commission, EEAS, EASA, EU National Aviation Authorities (e.g. Direction Générale de l'Aviation Civile de France, UK Civil Aviation Authority), South Asian Association for Regional Cooperation, SARI, Ministries of Transport, Environment and Finance, COSCAP-SA, ICAO, South Asian National Aviation Authorities, Accident Investigation Bodies (e.g. UK Air Accident Investigation Branch), Air Navigation Service Providers, Eurocontrol, EU aviation industry and its associations (e.g. The AeroSpace and Defence Industries Association of Europe (ASD) and Association of European Airlines (AEA)), South Asian aviation industry, airlines, manufacturing industry, airlines, educational institutions, passenger protection groups, environmental protection groups and trade bodies.

## 4. IMPLEMENTATION ISSUES

### 4.1. Method of implementation

#### 4.1.1. Indirect management

The project will be implemented in indirect management through the conclusion of a Delegation Agreement with EASA. This Delegation Agreement is justified on the basis of Article 60 of the Financial Regulation<sup>5</sup>.

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<sup>5</sup> Regulation 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union.

EASA is a key player in the European Union’s aviation safety system established by Regulation (EC) No 1592/2002. Its mission is to promote the highest common standards of safety and environmental protection in civil aviation. The Agency develops common safety and environmental rules, carries out standardisation checks and provides technical expertise and training. In accordance with Regulation (EC) 216/2008 (the EASA Basic Regulation) it assists the Union and the Member States in their relations with third countries and cooperates with their aeronautical authorities.

EASA is already engaged with South Asian authorities, mainly through the South Asia Regional Initiative (SARI) which aims to foster safety regulation convergence. The scope of the project will require exchanges on an authority to authority level between EASA and the South Asia national aviation authorities on a scale which is significantly broader than the Agency's core tasks.

EASA is the logical choice for managing and coordinating an EU aviation project in South Asia due to its specialised role within the European aviation safety system and its technical competence. It is the sole organisation at European level working on aviation safety based on a total system approach, covering all major aviation domains. EASA's administrative power and its reputation will allow this project to offer South Asian partners a single point of entry to all the EU's aviation experience. Apart from the management and coordination of the action, EASA will maintain an authority to authority level dialogue and directly implement project work relating to safety and environment in line with its mandate.

Reflecting the regional dimension of the European aviation system and the objective to involve European industry in this action, the main part of the project work will be implemented by third parties, i.e. EU Member States National Aviation Authorities, European industry (associations) and other European partners where appropriate. EASA will channel funding to these third parties in support of the project objectives. The detailed activities will be tailored during the inception phase of the project based on considerations such as industry priority and the evolving aviation market in the South Asia region.

#### 4.2. Indicative budget

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1 - Indirect management - Delegation Agreement with EASA	7,5
<b>Total</b>	<b>7,5</b>

#### 4.3. Performance monitoring

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 and final reports.

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.

A project steering committee is envisaged, consisting of at least the project implementation partners, South Asian Partner States, services of the European Commission and the European External Action Service.

#### **4.4. Evaluation and audit**

The project leader, EASA, is an EU agency which is subject to scrutiny by multiple actors including the EASA internal audit section, the Commission's Internal Audit Service, the Court of Auditors and other external auditors such as those in the scope of its ISO9001 certification.

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Communication and visibility will be an integral part of the project. A communication plan shall be prepared by the implementing partner and implemented in line with relevant guidelines. This shall, inter alia, define the key messages and specific communication actions to be taken. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.

The implementation of the project by EASA, an agency of the European Union, will multiply the EU's overall visibility.

## ANNEX 12

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for EU-Canada mineral investment facility**

#### **1. IDENTIFICATION**

Title of the action	Feasibility Study for an EU-Canada mineral investment facility			
Country(ies)/ Region	Canada			
Total cost	Total estimated cost: € 1.000.000 Total amount of the EU budget contribution: € 1.000.000			
Total duration	48 months <sup>1</sup>			
Method of implementation	Direct management Procurement – Services			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

This feasibility study will aim at mapping and analysing the state of play of exploration and mining investments from Canada in the EU and vice versa. Against the overarching objective of guaranteeing and improving access to a secure and sustainable supply of Raw Materials for the EU industry, the study will notably analyse the need for and feasibility of an EU-Canada mineral investment facility (MIF). The study should provide conclusion as to whether an EU-Canada MIF would contribute to a more reliable investment environment (covering exploration and mining permits, mining legislation, public awareness and trust, good governance), by ensuring the sound economic development of the sector through increased

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (18 months); (iii) the closure phase (indicatively 12 months)

investments flows, boosted exploration and the opening of new mining sites, which would result in increased the competitiveness of the EU downstream industry thanks to the reliable, secure and sustainable supply of needed raw materials. With such an impact, the MIF would also contribute to jobs creation and growth of the EU economy. If the appropriateness and value added of an EU-Canada MIF were to be confirmed, the study will also contain relevant proposals on the best design for a MIF. Otherwise, it will identify alternative (to physical centres) ways of co-operation between the EU and Canada to promote inward and outward industrial investment in the extractive and exploration industry. The action (including specific events and stakeholders' dialogue) will actively contribute to supporting and reinforcing the existing raw materials cooperation between Canada and the EU in a structured way, by engaging with stakeholders (including suppliers of mining services and technology) and organizing workshops and events open to them and the Canadian and EU authorities.

## **2.2. Context**

The EU is highly dependent on imports of raw materials that are crucial for a strong European industrial base, an essential component of EU's growth and competitiveness. The general strategy of the EU in its Raw Materials policy is to guarantee access to secure and sustainable supply of Raw Materials for the EU industry, as well as to boost inward production/supply, as stated in the EU Raw Materials initiative (RMI) presented in 2008<sup>2</sup> and reinforced in 2011<sup>3</sup>. With regard to Canada, a MIF would have the potential to contribute to the implementation of the international dimension of "Europe 2020 – A strategy for smart, sustainable and inclusive growth", by promoting a raw materials diplomacy based on strategic partnerships, policy dialogues and structured relations with key partners and stakeholders.

## **2.3. Lessons learnt**

While the action would be the first of its kind at EU level, it is possible to take advantage of the experience of similar ones performed by MSs. In particular, the Competence Centre for Mining & Mineral Resources (established as part of the Canadian German Chamber of Industry and Commerce; [www.canadian-german-mining.com](http://www.canadian-german-mining.com)) offers many lessons, including about how best to involve stakeholders and ensure the long-term self-sustainability of the facility. During an exchange of views with the German officers running the Competence Centre, it was understood that the German authorities would be interested in establishing a similar facility for benefit of the whole of the EU, and to collaborate with the European Commission on defining its design options.

## **2.4. Complementary actions**

The action is to be framed in the context of the strategically important EU-Canada relations; Canada is one of the four EU's strategic partners in the Western Hemisphere considered in the Strategic Outlook for the Partnership Instrument, period 2014-2020. Recently Canada has been a priority for cooperation within the context of the EU Raw Materials Diplomacy dialogues with advanced mining countries.

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<sup>2</sup> COM(2008) 699 "The raw materials initiative - meeting our critical needs for growth and jobs in Europe".

<sup>3</sup> COM(2011)25 "Tackling the challenges in commodity markets and on raw materials".

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

The general objective of this action is to support the Raw Materials Initiative (RMI) objective of guaranteeing access to a secure and sustainable supply of Raw Materials for the EU industry. The feasibility study, together with associated events and stakeholder dialogue, should analyse and conclude as to whether this goal could be achieved through the establishment of a mineral investment facility between the EU and Canada (EU-Canada MIF), and make proposal on the best design of a MIF, if applicable. The establishment of such a facility would have as main objectives to (1) promote mining investment in Europe from responsible and reliable sources, (2) foster cooperation with Canada on promoting the positive impacts of mining (economic, environmental and social), including exchange of best practices in raw materials policy, including the high environmental and social standards that are necessary for a social licence to operate and (3) support, through specific strategies, actions and diplomatic channels, the European mining companies in the field of exploration and development of mining projects in Canada; (4) encourage business links between Canadian and European mining companies and suppliers of mining services and technology.

The study would also look at potential alternative measures for achieving the overarching objective.

#### **3.2. Expected results and main activities**

Expected results are as follows:

R1: the feasibility study is completed and contains clear conclusion on the appropriateness, value added and feasibility of a EU-Canada MIF;

R2: concrete proposals are provided in the study as to how to best design a EU-Canada MIF, in the event its appropriateness, value added and feasibility are confirmed;

R3: alternative proposals to a EU-Canada MIF on how to support the RMI are put forward in the study, in the event the appropriateness, value added and feasibility of the MIF are not confirmed;

The action will start with the mapping of all the relevant key players: Industry (mining companies and industrial mining associations at regional and country levels, including the Prospectors & Developers Association of Canada), public mining bodies, Permanent Representations (EU, Member States and Canadian), European Commission, World Bank, European Investment Bank, World Economic Forum and any relevant ongoing bilateral activities which could benefit and contribute to the objectives of the mineral investment facility. An in depth analysis of the state of play of exploration and mining investments from Canadian sources in the EU and the vice-versa, as well as detailed mapping of all exploration and mining projects from Canadian companies operating in the EU and EU companies operating in Canada will then be carried out, alongside an assessment of the exploration and mining technology trade between the EU and Canada.

The indicative activities of the feasibility study can be summarised as follows:

(1a) characterize in detail the Canadian investment baseline (including relevant data) in the EU extractive and exploration industries and (1b) characterize in detail the EU investment baseline in the Canadian extractive and exploration industries; (2a) describe in detail the state of play of the Canadian companies operating in the EU; (2b) describe in detail the state of play of the EU companies operating in Canada; (3) describe thoroughly the state of play of the cooperation between the EU and Canada to all services linked with the mining industry (equipment supply, technical specialised services, advisory services, amongst others); (4) map all the relevant key partners and stakeholders of a potential EU-Canada MIF and establish a network; (5) assess the future self-sustainability and develop a preliminary operational model and governance structure for an EU-Canada MIF; (6) identify alternative (to physical centres) ways of co-operation between the EU and Canada to promote inward and outward industrial investment in the extractive industry; (7) organise two workshops to foster the contribution of the key partners and relevant stakeholders to the outcomes of the study; (8) organise a major event in the Prospectors & Developers Association of Canada (PDAC) International Convention, Trade Show & Investors Exchange and (9) develop a communication and dissemination strategy for the activities undertaken during the Phase 1.

The direct involvement and proactive participation of the future partners of the MIF is of utmost relevance to ensure the success and future self-sustainability of the facility. If self-sustainability were to appear to be well founded, a follow up action may be envisaged considered and be based on the possible establishment of a long-term facility which may include the creation of physical centres. Should this not be the case, it will be possible to capitalize on the efforts to establish the network and improve cooperation by building on the results of activity 6 (alternative ways of cooperation).

### **3.3. Risks and assumptions**

While there is no doubt about the importance of fostering the collaboration with Canada in the field of raw materials, the action could be negatively impacted in the short run by an economic downturn, particularly from the developing economies, with an impact on the global demand on raw materials. This could discourage investments and, more generally, activities in the field. However, it is assumed that global demand is bound to increase in the medium to long term, and a more robust EU raw material sector would be better able to respond to price volatility, of which price slumps are just one manifestation. Also, any investment that might result from the possible activities of the facility as indicated will have to comply with the high environmental and social (including relationship with native and local communities) standards set by best practices and competent regulatory authorities; these aspects will be properly developed in the post-feasibility study phase.



### 3.4. Stakeholders

Industry including small and medium sized enterprises (junior and senior mining companies and industrial mining associations from EU and Canada, including the Prospectors & Developers Association of Canada), mining equipment suppliers, mining consulting companies, public mining bodies, Permanent Representations (EU, Member States and Canadian), European Commission, World Bank, European Investment Bank, World Economic Forum, European Stock Exchanges (London and Frankfurt), Toronto Stock Exchange, relevant European and Canadian Banks (Deutsche Bank, Commerz Bank and BNP Paribas), Geological Surveys and Universities.

## 4. IMPLEMENTATION ISSUES

### 4.1. Method of implementation

#### 4.1.1. Procurement (direct management)

- (a) The project will be implemented through a service contract.
- (b) Indicative timing: call(s) for tender launched 3rd Quarter 2015.

### 4.2. Indicative budget

Method of Implementation	Amount in EUR million
4.1.1. – Procurement (direct management)	1
<b>Total</b>	<b>1</b>

### 4.3. Performance monitoring

The day-to-day technical and financial monitoring of the implementation of this programme will be a continuous process and part of the implementing partner 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 and final reports.

All activities will be subject from their start to constant monitoring by collecting the necessary information as detailed in the logical framework; to this end specific requirement will be further specified in the terms of reference.

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.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

Without prejudice to the obligations applicable to the 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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

For its very nature, the action has to have an important focus on communication; this includes not only the promotion of mining, but also the support of technical and policy dialogues, the participation to important sector events, and the preparation of workshops open to the relevant stakeholders. The development of a communication and dissemination strategy in line with relevant guidelines will be a priority task at the start of the activities. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.

## ANNEX 13

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for Support to CETA implementation & EU Chambers' coordination**

#### **1. IDENTIFICATION**

Title of the action	Support to CETA implementation & EU Chambers' coordination			
Country(ies)/ Region	Canada			
Total cost	Total estimated cost: € 1.022.000 Total amount of the EU budget contribution: € 1.000.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct Management – Grants – direct award – Procurement – Services			
Markers (from CRIS Dac form)	Rio Convention Markers	Not targeted	Significant objective	Main objective
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

Negotiations of the EU-Canada Comprehensive Economic and Trade Agreement (CETA) were finalised in August 2014, opening the process towards formal conclusion and entering-into-force/provisional application as of 2017. On the one hand, Canada (like the EU) will have to comply with commitments it took under CETA, including relevant legislative and administrative measures at both federal and provincial levels. On the other hand, European business will have to be made aware of the opportunities CETA provides and the EU will also need relevant feedback regarding the implementation process, so as to be in a position to adapt and/or react accordingly.

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)

With the broad overlap of federal and provincial jurisdictions in a wide and diverse Canadian market, increased access to information on the details of CETA and general Canadian market access conditions is key to ensure that European business will fully benefit from CETA.

The two components of the project therefore aim at i) reinforcing the network of EU Chambers, supporting them regarding closer cooperation and coordination, information gathering on topics of mutual interest (CETA, EU-Canada trade and market access), ii) provide on the spot analysis and serve as interlocutors to provide the EU Delegation in Canada with business/industry feedback regarding challenges the European businesses face regarding CETA implementation.

## **2.2. Context**

With its federal structure (Provinces and Territories having jurisdiction over policies and areas related to Canadian international trade commitments), Canada is a challenging market for EU businesses, notably SMEs. This is a twofold challenge. On the one hand there are many companies that do not look at Canada as a single market, but as a dozen of provincial and relatively small markets. On the other hand, newcomers to the market might not be aware of the fact that they would have to deal with different rules and procedures among provinces, which could have a discouraging effect once realised. Both aspects make the distribution of information regarding market access important.

Several positive initiatives already exist, with the most notable one in Canada's economic hub Toronto, where 22 EU Member States' Chambers of Commerce have created an EU Chamber of Commerce with the explicit objective to reach out to other parts of Canada. A smaller number of Chambers is based in Montreal and does already cooperate partly with their counterparts in Toronto. However, cooperation and joint activities amongst the economic representatives of EU Member States are still very limited especially across the different parts of Canada. In order to improve this situation, cooperation would need to be further reinforced and supplemented by a stronger interaction with the few existing EU Member States' Chambers and trade offices in the Eastern and Western part of the country.

Against this background, there is a potentially high demand for information and dialogue from both European and Canadian businesses on CETA details and opportunities, ahead of it actually entering into force. Additionally, a need exists at EU level in Canada for early detection of challenges and impediments to the full implementation of the Agreement at all levels of government. Such a full comprehension of the issues at stake is particularly complicated owing to the fact that, inter alia, the EU Delegation is located in Ottawa - the administrative capital of the country - while most economic activities happen in large cities such as Toronto, Montreal, or Vancouver/Calgary. A close cooperation with the Member States economic and business representations is therefore paramount to enable the EU, through its Delegation, to support CETA implementation.

## **2.3. Lessons learnt**

A previous grant under the Industrialised Countries Instrument (ICI) addressing Public Diplomacy related to CETA was awarded to the Italian Chamber of Commerce in Canada West. This grant did not contribute as much as expected to strengthening cooperation between EU Chambers in terms of sharing resources and know-how

## **2.4. Complementary actions**

The EU Delegation has been supporting on ad-hoc basis some activities of the EU Chamber of Commerce in Toronto. Additionally, without European funding, the Canadian

Manufacturers and Exporters (CME) has been the Canadian link of the Enterprise Europe Network - EEN (DG ENTR / GROW). In its renewed expression of interest in fall 2014, CME has included important additional partners such as EDC - Export Development Canada, the NRC - National Research Council - and the TCS – the Canadian Trade Commissioners Service. Synergies will be sought during project implementation with this and other DG GROW led actions, including on SME Internationalisation. In implementing the EUs Market Access Strategy, the EU Delegation will establish sector specific Market Access teams, involving also relevant EU business. The coordination group of EU trade and economic counsellors, chaired by the EU Delegation will increasingly look into horizontal market access issues and – in the future – CETA implementation.

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

The objective of the project – with its two different contracts – is to enable EU companies in Canada to take full advantage of CETA. In order to do so, the project intends to improve the capacities of the relevant stakeholders to become even more valuable dialogue partners for the EU Delegation and the European Commission as regards challenges and opportunities in CETA implementation. The project shall therefore improve synergies and best practice sharing at the European, national and regional business association level and strengthen European advocacy of EU business community related activities.

Once the project implementation has started, the European Chamber is meant to develop into an information hub; on the one side distributing relevant information on market access and trade issues in Canada, as well as on CETA, via a specific website and a newsletter. On the other hand, with the help of the experts, useful information and data via regular surveys and reports shall be collected. With these actions, the reinforced European Chamber and the market studies under this project will support the EU, individual chambers and EU businesses in addressing market access obstacles, as well as in implementing and drawing full benefit from CETA.

#### **3.2. Expected results and main activities**

##### **Expected results:**

- A EU Chamber of Commerce no longer working at its minimum capacity but as a fully-fledged organisation throughout the whole project duration. The Chambers should be in a better position to identify, for example, market access and investment obstacles of general concern, notably in the context of CETA implementation.
- A sustainable communication and coordination platform between EU national Chambers and business associations throughout Canada, beyond the duration of this project.
- A strengthened EU Chamber of Commerce, able to provide European businesses with essential general market access information (Canada/Provinces), key contacts at the level of EU Chambers and business associations, as well as CETA related information amongst others through a specific website and a regularly published electronic newsletter.
- Coordinated feedback from all EU national Chambers on CETA implementation
- Increased synergies with other EU initiatives and Commission activities
- **Main activities:**

Information distribution on market access and market opportunities in Canada; Regular surveys and reports providing coordinated feedback from European business and Chambers on market access issues and CETA implementation; sector specific reports and recommendations; one annual meeting of stakeholders; visibility/communication actions for the benefit of the EU and EUCCAN; Annual publication of an EU business paper;

**3.3. Risks and assumptions**

Political risk (low): The exact timing of CETA entering into force remains to be confirmed, but should not prevent actions from being effectively implemented and timed ahead.

Implementation risk (low): Another risk is the competition between Chambers of Commerce of Member States. Some already have a strong commercial presence in Canada and may not want to share all their information with others. In order to avoid this competition, the grant contract will be signed with the European Chamber of Commerce, a non-profit organisation with more than 20 national European Chambers as members. To ensure that the project does not appear disconnected from other EU activities, the Canadian member of the Enterprise Europe Network will be contacted and synergies with the above described project will be sought. To ensure continuation of these efforts, in the set-up of the project a steering committee will be included that consists of all relevant stakeholders and meets on a regular basis (once every three months) to ensure that the activities of the project are aligned with the stakeholders.

Implementation risk (moderate): On the financial level, the European Union Chamber of Commerce's absorption capacity might pose a moderate risk. However, the EU Delegation is aware of the risk, and as a mitigation measure, it will ensure constant monitoring of contract's execution and provide technical support to the European Chamber, while fully respecting roles and responsibilities of contractor/contracting authority.

**3.4. Stakeholders**

Stakeholders in this project would be the European Chambers of Commerce based in Canada, European businesses and SMEs interested in the Canadian markets but facing difficulties in accessing it, and, possibly, Canadian SMEs interested in knowing more about the EU market and its accessibility. The existing EU Chamber of Commerce in Toronto has already experience in bringing together other Chambers of Commerce in Toronto and in the province of Ontario, as well as in linking with the European Chambers in Montreal. In the Western part of Canada, the Italian Chamber of Commerce in Vancouver has also experience in implementing EU funded projects. There are also other organisations such as the Canadian partner of the Enterprise Europe Network.

**4. IMPLEMENTATION ISSUES**

**4.1. Method of implementation**

***4.1.1. Grants - direct award (direct management)***

(a) Objectives of the grant

The grant aims to enhance cooperation, networking and coordination among the numerous EU Chambers in Canada.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the European Chamber of Commerce in Canada (EUCCAN), in accordance with the provisions of article 190(1)(c) of the RAP.

The EUCCAN is a unique association of EU Chambers in Canada with the aim to represent and do advocacy for EU business interest vis-à-vis Canada. It has de facto monopoly over the management of relationships between its 22 members (the individual EU Chambers of Commerce and Trade Offices in Canada) on the grounds of their formal membership. This provides EUCCAN with a unique position for the support requested. EUCCAN has a proven track record of collaboration both between its members as well as with the economic/trade counsellors of the respective Member States.

(c) Essential selection and award criteria

The essential selection criteria that EUCCAN and its members (affiliated entities) shall have sufficient human resources and the necessary experience and professional knowledge to carry out the action.

The essential award criteria are relevance of the proposed action to the objectives of the project: design, effectiveness, feasibility, cost-effectiveness, expected impact, as well as the added value for the EU, including with regard to visibility.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 90% of the eligible costs of the action. The EUCCAN and/or their affiliated member are expected to provide the remaining 10%.

The maximum possible rate of co-financing may be up to 100 % 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 essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

The grant agreement will be concluded indicatively during Q1 of 2016.

**4.1.2. Procurement (direct management)**

- (a) The part of the action on support to market access and CETA implementation will be implemented through a service contract.
- (a) Indicative timing: call(s) for tender launched 3<sup>rd</sup> Quarter 2015.

**4.2. Indicative budget**

Method of Implementation	Amount in EUR million
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4.1.1 – Grant - direct award (direct management)	0,2
4.1.2 – Procurement (direct management)	0,8
<b>Total</b>	<b>1</b>

#### **4.3. Performance monitoring**

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, in particular on the basis of performance indicators established in contracts.

The EU Delegation will set up a Steering Committee coordinating the activities of the grant and the service contract that includes all relevant stakeholders and will meet on a regular basis to discuss topics of interest, including issues to be covered by the surveys and reports.

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.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

Without prejudice to the obligations applicable to the 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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Communication and visibility will be an integral part of the project. A communication plan shall be prepared by the implementing partners and implemented in line with relevant guidelines. This shall, inter alia, define the key messages and specific communication actions to be taken. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.



## ANNEX 14

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for Public Diplomacy**

#### **1. IDENTIFICATION**

Title of the action	Public Diplomacy			
Country(ies)/ Region	Global			
Total cost	Total estimated cost: € 18.870.000 Total amount of the EU budget contribution: €17.840.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct management  – Grants – call(s) for proposals  – Procurement - Services			
Markers (from CRIS Dac form)	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"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The proposed action aims to further develop EU's soft power by enhancing widespread understanding and visibility of the EU and its role on the world scene, through public diplomacy and outreach activities on themes of relevance to a bilateral relation or on EU themes such as Global Challenges, Europe 2020 strategy, Economic Partnership and Fundamental Rights.

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)

In order to involve various target audiences, including students and academics, think tanks, civil society organisations and cultural operators, four main strands have been identified: Academic outreach through Jean Monnet Activities; EU Policy and Outreach Partnership; Civil Society engagement and Cultural Diplomacy.

## **2.2. Context**

This Action refers to objective d) set out in article 1(2) of the Partnership Instrument Regulation<sup>2</sup> as further defined in Multiannual indicative programme 2014-2017 (objective 4)<sup>3</sup> : *Enhancing widespread understanding and visibility of the Union and its role on the world scene through 1) Education/academic co-operation; 2) Public Diplomacy and outreach activities to promote the Union's values and interests.*

The study "Analysis of the perception of the EU and EU's policies abroad", funded by FPI, will be finalised by the end of 2015. Its findings will enable the EU to tailor the development of Public Diplomacy initiatives to the local perceptions of Europe, the EU and its policies. Activities included in this Action, in particular messages and target audience, will be fine-tuned according to the study results.

## **2.3. Lessons learnt**

Drawing upon the experience of the previous and on-going Partnership Instrument actions supporting Public Diplomacy the key lessons learnt are the following:

- avoid a piecemealed approach in order to ensure the manageability of the actions and better measurement of results thanks to a streamlined programming process based on a clearer set of strands adapted to the various target audiences (e.g. think tank, academia, civil society) and implementation modalities (i.e. grant, service contract).
- ensure that the programming of Public Diplomacy actions reflect strategic prioritisation from the EEAS at the appropriate level.

## **2.4. Complementary actions**

Subsidiarity and complementarity with other interventions in the field of (or related to) Public Diplomacy at country and global levels will be ensured by the concerned EU Delegations and by the Commission (FPI-Headquarters). The EU Delegations and FPI will constantly update a mapping of Public Diplomacy related activities funded under the Partnership Instrument and ensure complementarity and cross-fertilisation with other relevant activities implemented at country, regional and global levels. In particular, coordination will be sought for activities funded through the EEAS' managed Press & Information budget. Where possible, joint "Public Diplomacy Mapping" for engagement with civil society in third countries will be developed.

In line with the "Information and Communication Handbook for EU Delegations"<sup>4</sup>, EU Delegations will ensure complementarity and added value of selected projects

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<sup>2</sup> Regulation (EU) No 234/2014 of 11 March 2014 establishing a Partnership Instrument for cooperation with third countries, JO L77/77 15 March 2014.

<sup>3</sup> Decision C(2014)4453 of 3 July 2014, [http://ec.europa.eu/dgs/fpi/key-documents/2014-annual-reports\\_en.htm](http://ec.europa.eu/dgs/fpi/key-documents/2014-annual-reports_en.htm)

<sup>4</sup> [http://eeas.europa.eu/delegations/ghana/documents/press\\_corner/20121231\\_en.pdf](http://eeas.europa.eu/delegations/ghana/documents/press_corner/20121231_en.pdf)

with on-going and planned initiatives supported by EU Member States and other relevant actors.

Complementarity will be sought with projects currently running with the financial support of ICI+.

### 3. DETAILED DESCRIPTION

#### 3.1. Objectives

The Annex of the PI Regulation sets out a general framework for the programming in line with thematic priorities and objectives set out in point (d) of Article 1(2):

- 1) Enhancing cooperation in higher education: enhancing student and academic staff mobility, leading to the creation of partnerships aimed at improving the quality of higher education and of joint degrees leading to academic recognition ('Erasmus+ Programme').
- 2) Enhancing widespread knowledge of the Union and raising its profile: promoting the Union's values and interests in partner countries through enhanced public diplomacy and outreach activities in support of the objectives of the instrument.

To achieve these objectives, the following **strands** have been identified under the 2015 Annual Action Programme:

- *Academic outreach through Jean Monnet activities*

The proposed action envisages continued support to Jean Monnet activities. The latter aims to increase knowledge about European integration in strategic countries by promoting teaching, research and debate and are funded under Erasmus+. The discontinuation of the previously FPI funded EU Centres Programme and the streamlining of EU's academic outreach in the field of EU affairs through the Jean Monnet will reinforce the dialogue between academics, students and decision makers in the EU and abroad and will increase widespread understanding and visibility of the EU and its role on the world scene. Funds under the Partnership Instrument will be used to open a "PI Window" in the Jean Monnet activities that for 2015 will indicatively include the following countries/regions: Canada, Gulf, Japan, Korea, Russia, USA, Hong Kong, Macao.

- *EU Policy and Outreach Partnership*

This strand will allow engaging directly with think tanks in partnership with other key stakeholders (e.g. universities, business organisations, medias and other opinion-makers/influencers) in the partner countries, as well as in the EU, on policies of common interest, related *inter alia* to Global Challenges, Europe 2020 strategy, Economic Partnership and Fundamental Rights.

To ensure that the EU can engage with local publics directly and on specific key areas of concern, partnerships will be developed through service contracts managed by selected delegations at local and regional level (i.e. Russia, Japan, China, Latin America, USA and Asia-Pacific region) and by the FPI-Headquarters at multi-country (Arctic) and global level.

- *Civil Society engagement*

Engagement with civil society is crucial for the EU to be (and to be perceived as) an open and receptive foreign policy actor. The primary objective of this strand is to strengthen and stimulate genuine dialogues among EU and strategic countries' civil society organisations in areas of common interest, in particular in the fields of Global Challenges, Europe2020 Strategy, Economic Partnership and Fundamental Rights.

Building on the existing actions, such as the "EU-US Transatlantic Civil Society Dialogues", which engage civil society organisation on both sides of the Atlantic, the "Europe and US: getting to know Europe" and the "EU-Russia Civil Society Forum", the EU will extend its support to Civil Society engagement initiatives in Japan to be implemented through a grant managed by the EU Delegation.

- *Cultural Diplomacy*

In the framework of this strand, specific attention will be given to foster the role that culture in external relations can play in Public Diplomacy. This relates in particular to enable cultural operators to develop a platform able to organise training and conference and policy advice. Such actions will increase mutual understanding and confidence through dialogues and contribute to promote shared values as well as intercultural tolerance in strategic countries.

Building on the European Parliament sponsored Preparatory Action: "Culture in EU External Relations"<sup>5</sup>, it is proposed to support cultural diplomacy by means of a service contract managed by FPI-Headquarters at global level.

All funded actions shall be gender sensitive and recognize that the perception and understanding of specific EU policies may affect and enable individuals differently, also according to sex and age.

Actions aiming at developing mechanisms to enhance coordination and operational cooperation between separate entities and organisations, as well as those creating synergies with existing EU funded activities, will be particularly encouraged.

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<sup>5</sup> More information on the Preparatory Actions is available here: <http://cultureinexternalrelations.eu/>

### 3.2. Expected results and main activities

The Action aims to achieve the following expected **results**:

- For strand 'Academic outreach through Jean Monnet activities': wider knowledge and understanding of the EU and its policies within academic circles (including students and professors);
- For strand 'EU Policy and Outreach Partnership': improved networking, advocacy and outreach skills jointly with key actors in policy areas of strategic interest for the EU; development of platforms providing relevant policy inputs;
- For strand 'Civil Society engagement': established or enhanced dialogues between civil society actors and local, national, regional or international institutions on policy areas of common interest to the EU and its strategic partners;
- For strand 'Cultural Diplomacy': increased role for culture in EU's external relations, better knowledge and mutual understanding through culture of EU's principles and policies among target audiences and the general public.

These results will be achieved through the following **main indicative activities**:

- For strand 'Academic outreach through Jean Monnet activities': organising and coordinating human and documentary resources related to EU studies; leading research activities in specific EU subjects developing content and tools on EU subjects; update and complement the current courses and curricula; enhancing the debate, network and exchange of experiences about the EU; publication of the results of research activities; organisation of academic outreach activities, such as academic debates, information activities and publications.
- For strand 'EU Policy and Outreach Partnership': Providing technical assistance to the EU on public diplomacy activities with targeted audience in areas of interest for the EU. Activities will include: organising and coordinating round-tables, seminars, visitors programmes, "travelling" debates, platform for high level opinion makers and business leaders' interaction, conferences, workshops, briefing sessions, webinars and forums; EU talks supported by audio-visual products; social-media campaigning; media programmes advocacy and awareness raising campaigns; documentary screenings; sectorial dialogues; exchanges of best practice; networking events, elaboration and dissemination of studies, policy papers, public opinion polls, creation of database.
- For strand 'Civil Society engagement': civil society organisations-led activities such as dialogues, round-tables, conferences, seminars, etc. involving civil society actors that can play multiplier effects;
- For strand 'Cultural Diplomacy': providing technical assistance on cultural diplomacy with targeted audience in areas of interest; creating a public diplomacy platform of cultural actors who will organise thematic and geographic

dialogues on cultural diplomacy; facilitating contacts, consultations and discussions between different EU and strategic partners' cultural actors; organising cultural events and tools tailor-made to specific civil society's audiences (e.g. youth organisations, women's organisations, school students).

### **3.3. Risks and assumptions**

In general, there is a possible risk of change of priorities as well as changes in political relations with the concerned partner countries. The development of an overarching EU Public Diplomacy strategy would significantly reduce such risk.

### **3.4. Stakeholders**

The main stakeholders are: international and national civil society organisations, universities, academics, students at all levels, NGOs, think tanks, opinion makers, research centres, cultural organisations and operators (both formal and informal), foundations, community structures including a range of actors such as media, leaders, local governments, trade, youth, children and women's associations, private sector organizations and business community, as well as individuals and the general public, national and local authorities, parliamentarians and other politicians, diplomatic corps, EU institutions, etc.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Method of implementation**

#### ***4.1.1. Grants: call for proposal (direct management)***

##### *4.1.1.1. Call for proposals Jean Monnet activities*

#### **(a) Objectives of the grants**

These grants fall into strand 'Academic outreach through Jean Monnet activities' (see *infra* section 3.1).

Grants covering three years for either: i) Modules: a short teaching programme in the field of European Union studies of 40 teaching hours; ii) Chair: teaching posts with a specialisation in European Union studies for university professors or senior lecturers; iii) Centre of Excellence: a focal point of competence and knowledge on European Union subjects; iv) Networks and Projects: activities to support innovation, cross-fertilisation and the spread of European Union content. These actions will be based on unilateral proposals - although the proposed activities may involve other partners – and may last up to 36 months.

#### **(b) Eligibility conditions:**

A higher education institution established in any country of the world or other organisations active in the European Union studies subject.

(c) Essential selection and award criteria:

- Applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the action is being carried out and to participate in its funding.
- Applicants must have the professional competences and qualifications required to complete the proposed action.
- Quality of the project design and implementation;
- Quality of the project team and cooperation arrangements;
- Impact and dissemination.

(d) Maximum rate of co-financing<sup>6</sup>:

i) Modules: the maximum grant that can be awarded is 30.000 EUR that can represent the maximum of 75% of the total costs of the Jean Monnet Module; ii) Chair: the maximum grant that can be awarded is 50.000 EUR that can represent the maximum of 75% of the total cost of the Jean Monnet Chair; iii) Centre of Excellence: the maximum grant that can be awarded is 100 000 EUR that can represent the maximum of 80% of the total eligible costs; iv) Networks and Projects: for networks the maximum grant that can be awarded is 300.000 EUR that can represent the maximum of 80% of the total costs, and for projects the maximum grant that can be awarded is 60.000 EUR that can represent the maximum of 75% of the total costs.

(e) The indicative trimester to launch the annual general call Erasmus+ is the 3<sup>rd</sup> trimester of 2015. The call will be launched by the Education, Audiovisual and Culture Executive Agency (EACEA) based on the co-delegation in force between FPI and EACEA.

(f) Exception to the non-retroactivity of costs: NA

*4.1.1.2. Call for proposals – Engagement with Civil Society in Japan on Fundamental Rights*

(a) Objectives of the grants

This grant falls into strand 'Civil Society engagement' (see *infra* section 3.1).

(b) Eligibility conditions: Civil Society Organisations established in the EU and in Japan.

(c) Essential selection and award criteria:

- The essential selection criteria are financial and operational capacity of the applicant.

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<sup>6</sup> Article 192 FR – full financing of an external action



- 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) The maximum possible rate of co-financing for grants under this call is 80% of the eligible costs of the action.
- (e) The indicative trimester to launch the call for proposals is the 3<sup>rd</sup> trimester of 2015.
- (f) Exception to the non-retroactivity of costs: NA

#### **4.1.2. Procurement (direct management)**

##### *4.1.2.1. Procurement – EU Policy and Outreach Partnership and Cultural Diplomacy*

Part of the Public Diplomacy envelope in the AAP 2015 will be implemented through the procurement of services. Indicatively, it is estimated that nine calls for tenders will be launched.

Service contracts resulting from the above mentioned calls will mainly fall under strand 'EU Policy and Outreach Partnership'. Nonetheless, a global call for tender will cover also the strand 'Cultural Diplomacy' (see *infra* section 3.1). Indicative calls are listed in the table below.

Following a joint EEAS/FPI screening of concept notes, four national actions (in Russia, Japan, China, USA), four regional actions (in Central America and the Caribbean, South America, Arctic, Asia-Pacific) and a global action have been retained. The above selection was based on local needs as expressed by EU Delegations and on priorities for public diplomacy at regional level.

<b>Country/region</b>	<b>EUR million</b>
Russia	2,200
Japan	0,750
China	0,9
Mexico/Central America and the Caribbean	1,2
South America	1,8
USA	0,6 3
Asia-Pacific	1,5
Arctic	0,650
Global	1,990

<b>Total</b>	<b>14,59</b>
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This list can be adapted pending the results of calls for tenders, the development of the EU Public Diplomacy Strategy, or the evolution of political relations with the concerned partner countries. Any remaining balance from one country allocation may be reallocated to another country or to global/regional initiatives.

In the event that it does not prove possible to conclude such service contracts from the Delegations, the implementation of the calls for tenders will be ensured at HQ level by the Service for Foreign Policy Instrument.

A maximum of 3% of the amount sub-delegated to EU Delegations to implement national and regional calls for tenders, to be divided between the selected EU Delegations, may be dedicated to support measures accompanying the implementation of this Action, in particular activities related to the launch and management of the calls for tenders, such as publication of the calls, information sessions for potential applicants, monitoring missions, use of external evaluators, training sessions for civil society actors, etc.

Calls will indicatively be launched between the 3<sup>rd</sup> trimester of 2015 and the 1<sup>st</sup> semester of 2016.

#### *4.1.2.2. Procurement – EU-China Interpreters Training Programme*

Part of the Public Diplomacy envelope in the AAP 2015 (€0.1 million) will be implemented through a cross sub-delegation of funds to DG SCIC to support for a limited period a new phase of the EU-China Interpreters Training Programme.

The above mentioned programme falls under the strand 'EU Policy and Outreach Partnership' (see infra section 3.1 above).

## **4.2. Indicative budget**

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
<b>4.1.1. – Grants: Calls for proposals (direct management)</b>	<b>3,15</b>
4.1.1.1 – Call for proposals Jean Monnet activities (launched by EACEA)	3
4.1.1.2. – Call for proposals - Japan	0,15
<b>4.1.2. – Procurement (direct management)</b>	
4.1.2.1 – Procurement – EU Policy and Outreach Partnership and Cultural Diplomacy (direct management)	<b>14,59</b>

4.1.2.2 –EU-China Interpreters Training Programme (through cross sub-delegation to DG SCIC)	<b>0.1</b>
<b>Total</b>	<b>17,84</b>

#### **4.3. Performance monitoring**

The day-to-day technical and financial monitoring of the implementation of the above actions 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 and final reports.

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.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility**

Communication and visibility will be an integral part of the action. A communication plan shall be prepared by the implementing partners and implemented in line with relevant guidelines on communication and visibility. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU. Exceptions to this rule may be considered on a case by case basis for duly justified reasons.



Brussels, 16.12.2015  
C(2015) 9106 final

**COMMISSION IMPLEMENTING DECISION**

**of 16.12.2015**

**modifying the 2015 Partnership Instrument Annual Action Programme for cooperation  
with third countries to be financed from the general budget of the European Union**

## COMMISSION IMPLEMENTING DECISION

of 16.12.2015

### **modifying the 2015 Partnership Instrument Annual Action Programme for cooperation with third countries to be financed from the general budget of the European Union**

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to the 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 and in particular Article 2 thereof<sup>1</sup>,

Having regard to the Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, and in particular Article 84 (2) thereof<sup>2</sup>,

Having regard to the Regulation (EU) N° 234/2014 of the European Parliament and of the Council of 11 March 2014 establishing a Partnership Instrument for cooperation with third countries<sup>3</sup>,

Whereas:

- (1) The Regulation (EU) N° 234/2014 establishes a Partnership Instrument for cooperation with third countries to advance and promote Union and mutual interests;
- (2) The Commission shall adopt annual action programmes, based on the multi-annual indicative programmes referred to in the in Article 4 of this Regulation;
- (3) The annual action programmes shall specify for each action the objectives pursued, the expected results and main activities, the methods of implementation, the budget and an indicative timetable, any associated support measures and performance monitoring arrangements;
- (4) The Commission has adopted an Implementing Decision on the first multiannual indicative programme for the period 2014-2017 under the Partnership Instrument<sup>4</sup>;
- (5) In line with the multiannual indicative programme for the period 2014-2017, this 2015 annual action programme includes measures in the following areas: support for the Union's cooperation partnership strategies, cooperation on global challenges, implementation of the international dimension of the "Europe 2020" strategy and promotion of the Unions internal policies abroad, support for economic and trade relations as well as promotion of the Union's values and interests;
- (6) Having regard to the need to strengthen EU policy and outreach activities in China;

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<sup>1</sup> OJ L 77, 15.3.2014, p. 95

<sup>2</sup> OJ L 298, 26.10.2012, p. 1

<sup>3</sup> OJ L 77, 15.3.2014, p 77

<sup>4</sup> C(2014) 4453 final of 3 July 2014

- (7) Having regard to the need to strengthen EU-Brazil relations through the establishment of sector dialogues on themes of mutual interest;
- (8) Having regard to the need to enhance EU's strategic partnerships in Latin America and the Caribbean through the promotion of mutual interests and alliance-building on policy challenges;
- (9) Having regard to the need to improve and reinforce the market perspectives for the EU ICT sector in India;
- (10) Budget-implementation tasks under indirect management may be entrusted to the entity identified in the attached Annex 11, subject to the conclusion of the relevant agreement;
- (11) Grants may be awarded without a call for proposal by the authorising officer responsible in accordance with Article 190 of Delegated Regulation (EU) no 1268/2012;
- (12) This Decision constitutes a financing decision within the meaning of Article 84 of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council;
- (13) The Commission is required to define the term "non-substantial change" in the sense of Article 94(4) of Delegated Regulation (EU) No 1268/2012 to ensure that any such changes can be adopted by the authorising officer by delegation, or under his or her responsibility, by sub-delegation (hereinafter referred to as the 'responsible authorising officer');
- (14) The measures provided for in this Decision are in accordance with the opinion of the Partnership Instrument Committee.

HAS DECIDED AS FOLLOWS:

#### *Article 1*

Annexes 15, 16, 17 are added to the Annexes of Commission Implementing Decision C(2015)4109 final. In addition Annex 14 "Action Fiche Public Diplomacy and cultural diplomacy" has been amended.

The actions constituting this Decision are:

Revised Annex 14: Action Fiche Public Diplomacy and cultural diplomacy;

Annex 15: Action Fiche EU-Brazil Sector Dialogues Support Facility (SDSF);

Annex 16: Action Fiche Regional Facility for International Cooperation and Partnership in Latin America and the Caribbean;

Annex 17: Action Fiche EU-India Cooperation on Information Communication Technology (ICT) related standardisation, policy and legislation.

#### *Article 2*

The maximum additional contribution of the European Union authorised by this Decision for the implementation of the 2015 Partnership Instrument Annual Action Programme for cooperation with third countries is at EUR 11 230 000 to be financed from budget line 19.0501 of the general budget of the European Union for 2015.

The financial contribution referred to in Article 2 shall also cover any possible interests due for late payment

Done at Brussels, 16.12.2015

*For the Commission  
Federica MOGHERINI  
Vice-President*

## ANNEX 14

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for Public Diplomacy**

#### **1. IDENTIFICATION**

Title of the action	Public Diplomacy			
Country(ies)/ Region	Global			
Total cost	Total estimated cost: EUR 20.700.000 Total amount of the EU budget contribution: EUR 19.670.000			
Total duration	66 months <sup>1</sup>			
Method of implementation	Direct management  – Grants – call(s) for proposals  – Procurement - Services			
Markers (from CRIS Dac form)	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"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The proposed action aims to further develop EU's soft power by enhancing widespread understanding and visibility of the EU and its role on the world scene, through public diplomacy and outreach activities on themes of relevance to a bilateral relation or on EU themes such as Global Challenges, Europe 2020 strategy, Economic Partnership and Fundamental Rights.

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<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision. As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months)



In order to involve various target audiences, including students and academics, think tanks, civil society organisations and cultural operators, four main strands have been identified: Academic outreach through Jean Monnet Activities; EU Policy and Outreach Partnership; civil society engagement and Cultural Diplomacy.

## **2.2. Context**

This action refers to objective d) set out in article 1(2) of the Partnership Instrument Regulation<sup>2</sup> as further defined in multi-annual indicative programme 2014-2017 (objective 4)<sup>3</sup> : *Enhancing widespread understanding and visibility of the Union and its role on the world scene through 1) Education/academic co-operation; 2) Public Diplomacy and outreach activities to promote the Union's values and interests.*

The study "Analysis of the perception of the EU and EU's policies abroad", funded by The EC, will be finalised by the end of 2015. Its findings will enable the EU to tailor the development of public diplomacy initiatives to the local perceptions of Europe, the EU and its policies. Activities included in this action, in particular messages and target audience, will be fine-tuned according to the study results.

## **2.3. Lessons learnt**

Drawing upon the experience of the previous and on-going Partnership Instrument actions supporting public diplomacy the key lessons learnt are the following:

- avoid a piecemeal approach in order to ensure the manageability of the actions and better measurement of results thanks to a streamlined programming process based on a clearer set of strands adapted to the various target audiences (e.g. think tank, academia, civil society) and implementation modalities (i.e. grant, service contract).
- ensure that the programming of public diplomacy actions reflect strategic prioritisation from the EEAS at the appropriate level.

## **2.4. Complementary actions**

Subsidiarity and complementarity with other interventions in the field of (or related to) Public Diplomacy at country and global levels will be ensured by the relevant EU Delegations and by the Commission (the Service for Foreign Policy Instruments - FPI). The EU Delegations and FPI will constantly update a mapping of public diplomacy related activities funded under the Partnership Instrument and ensure complementarity and cross-fertilisation with other relevant activities implemented at country, regional and global levels. In particular, coordination will be sought for activities funded through the EEAS' managed Press & Information budget. Where possible, joint "Public Diplomacy Mapping" for engagement with civil society in third countries will be developed.

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<sup>2</sup> Regulation (EU) No 234/2014 of 11 March 2014 establishing a Partnership Instrument for cooperation with third countries, JO L77/77 15 March 2014.

<sup>3</sup> Decision C(2014)4453 of 3 July 2014, [http://ec.europa.eu/dgs/fpi/key-documents/2014-annual-reports\\_en.htm](http://ec.europa.eu/dgs/fpi/key-documents/2014-annual-reports_en.htm)

In line with the “Information and Communication Handbook for EU Delegations”<sup>4</sup>, EU Delegations will ensure complementarity and added value of selected projects with on-going and planned initiatives supported by EU Member States and other relevant actors.

Complementarity will be sought with projects currently running with the financial support of ICI+.

## 2.5. Objectives

The Annex of the PI Regulation sets out a general framework for the programming in line with thematic priorities and objectives set out in point (d) of Article 1(2):

- 1) Enhancing cooperation in higher education: enhancing student and academic staff mobility, leading to the creation of partnerships aimed at improving the quality of higher education and of joint degrees leading to academic recognition (‘Erasmus+ Programme’).
- 2) Enhancing widespread knowledge of the Union and raising its profile: promoting the Union's values and interests in partner countries through enhanced public diplomacy and outreach activities in support of the objectives of the instrument.

To achieve these objectives, the following **strands** have been identified under the 2015 Annual Action Programme:

- *Academic outreach through Jean Monnet activities*

The proposed action envisages continued support to Jean Monnet activities. The latter aims to increase knowledge about European integration in strategic countries by promoting teaching, research and debate and are funded under Erasmus+. The discontinuation of the previously FPI funded EU Centres Programme and the streamlining of EU's academic outreach in the field of EU affairs through the Jean Monnet will reinforce the dialogue between academics, students and decision makers in the EU and abroad and will increase widespread understanding and visibility of the EU and its role on the world scene. Funds under the Partnership Instrument will be used to open a "PI Window" in the Jean Monnet activities that for 2015 will indicatively include the following countries/regions: Canada, Gulf, Japan, Korea, Russia, USA, Hong Kong, Macao.

- *EU Policy and Outreach Partnership*

This strand will allow engaging directly with think tanks in partnership with other key stakeholders (e.g. universities, business organisations, medias and other opinion-makers/influencers) in the partner countries, as well as in the EU, on policies of common interest, related *inter alia* to Global Challenges, Europe 2020 strategy, Economic Partnership and Fundamental Rights.

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<sup>4</sup> [http://eeas.europa.eu/delegations/ghana/documents/press\\_corner/20121231\\_en.pdf](http://eeas.europa.eu/delegations/ghana/documents/press_corner/20121231_en.pdf)

To ensure that the EU can engage with local publics directly and on specific key areas of concern, partnerships will be developed through service contracts managed by selected delegations at local and regional level (i.e. Russia, Japan, China, Latin America, USA and Asia-Pacific region) and by the FPI-Headquarters at multi-country (Arctic) and global level.

- *Civil Society engagement*

Engagement with civil society is crucial for the EU to be (and to be perceived as) an open and receptive foreign policy actor. The primary objective of this strand is to strengthen and stimulate genuine dialogues among EU and strategic countries' civil society organisations in areas of common interest, in particular in the fields of Global Challenges, Europe 2020 Strategy, Economic Partnership and Fundamental Rights.

Building on the existing actions, such as the "EU-US Transatlantic Civil Society Dialogues", which engage civil society organisation on both sides of the Atlantic, the "Europe and US: getting to know Europe" and the "EU-Russia Civil Society Forum", the EU will extend its support to civil society engagement initiatives in Japan to be implemented through a grant managed by the EU Delegation.

- *Cultural Diplomacy*

In the framework of this strand, specific attention will be given to foster the role that culture in external relations can play in public diplomacy. This relates in particular to enable cultural operators to develop a platform able to organise training and conference and policy advice. Such actions will increase mutual understanding and confidence through dialogues and contribute to promote shared values as well as intercultural tolerance in strategic countries.

Building on the European Parliament sponsored Preparatory Action: "Culture in EU External Relations"<sup>5</sup>, it is proposed to support cultural diplomacy by means of a service contract managed by FPI-Headquarters at global level.

All funded actions shall be gender sensitive and recognize that the perception and understanding of specific EU policies may affect and enable individuals differently, also according to sex and age.

Actions aiming at developing mechanisms to enhance coordination and operational cooperation between separate entities and organisations, as well as those creating synergies with existing EU funded activities, will be particularly encouraged.

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<sup>5</sup> More information on the Preparatory Actions is available here: <http://cultureinexternalrelations.eu/>

## 2.6. Expected results and main activities

The Action aims to achieve the following expected **results**:

- For the strand 'Academic outreach through Jean Monnet activities': wider knowledge and understanding of the EU and its policies within academic circles (including students and professors);
- For the strand 'EU Policy and Outreach Partnership': improved networking, advocacy and outreach skills jointly with key actors in policy areas of strategic interest for the EU; development of platforms providing relevant policy inputs;
- For the strand 'Civil Society engagement': established or enhanced dialogues between civil society actors and local, national, regional or international institutions on policy areas of common interest to the EU and its strategic partners;
- For the strand 'Cultural Diplomacy': increased role for culture in EU's external relations, better knowledge and mutual understanding through culture of EU's principles and policies among target audiences and the general public.

These results will be achieved through the following **main indicative activities**:

- For the strand 'Academic outreach through Jean Monnet activities': organising and coordinating human and documentary resources related to EU studies; leading research activities in specific EU subjects developing content and tools on EU subjects; update and complement the current courses and curricula; enhancing the debate, network and exchange of experiences about the EU; publication of the results of research activities; organisation of academic outreach activities, such as academic debates, information activities and publications.
- For the strand 'EU Policy and Outreach Partnership': Providing technical assistance to the EU on public diplomacy activities with targeted audience in areas of interest for the EU. Activities will include: organising and coordinating round-tables, seminars, visitors programmes, "travelling" debates, platform for high level opinion makers and business leaders' interaction, conferences, workshops, briefing sessions, webinars and forums; EU talks supported by audio-visual products; social-media campaigning; media programmes advocacy and awareness raising campaigns; documentary screenings; sectorial dialogues; exchanges of best practice; networking events, elaboration and dissemination of studies, policy papers, public opinion polls, creation of database.
- For the strand 'Civil Society engagement': civil society organisations-led activities such as dialogues, round-tables, conferences, seminars, etc. involving civil society actors that can play multiplier effects;
- For the strand 'Cultural Diplomacy': providing technical assistance on cultural diplomacy with targeted audience in areas of interest; creating a public

diplomacy platform of cultural actors who will organise thematic and geographic dialogues on cultural diplomacy; facilitating contacts, consultations and discussions between different EU and strategic partners' cultural actors; organising cultural events and tools tailor-made to specific civil society's audiences (e.g. youth organisations, women's organisations, school students).

## **2.7. Risks and assumptions**

In general, there is a possible risk of change of priorities as well as changes in political relations with the concerned partner countries. The development of an overarching EU Public Diplomacy strategy would significantly reduce such risk.

## **2.8. Stakeholders**

The main stakeholders are: international and national civil society organisations, universities, academics, students at all levels, NGOs, think tanks, opinion makers, research centres, cultural organisations and operators (both formal and informal), foundations, community structures including a range of actors such as media, leaders, local governments, trade, youth, children and women's associations, private sector organizations and business community, as well as individuals and the general public, national and local authorities, parliamentarians and other politicians, diplomatic corps, EU institutions, etc.

## **3. IMPLEMENTATION ISSUES**

### **3.1. Method of implementation**

#### ***3.1.1. Grants: call for proposal (direct management)***

##### *3.1.1.1. Call for proposals Jean Monnet activities*

#### **(a) Objectives of the grants**

These grants fall into strand 'Academic outreach through Jean Monnet activities' (see *infra* section 3.1).

Grants covering three years for either: i) Modules: a short teaching programme in the field of European Union studies of 40 teaching hours; ii) Chair: teaching posts with a specialisation in European Union studies for university professors or senior lecturers; iii) Centre of Excellence: a focal point of competence and knowledge on European Union subjects; iv) Networks and Projects: activities to support innovation, cross-fertilisation and the spread of European Union content. These actions will be based on unilateral proposals - although the proposed activities may involve other partners – and may last up to 36 months.

(b) Eligibility conditions:

A higher education institution established in any country of the world or other organisations active in the European Union studies subject.

(c) Essential selection and award criteria:

- Applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the action is being carried out and to participate in its funding.
- Applicants must have the professional competences and qualifications required to complete the proposed action.
- Quality of the project design and implementation;
- Quality of the project team and cooperation arrangements;
- Impact and dissemination.

(d) Maximum rate of co-financing<sup>6</sup>:

i) Modules: the maximum grant that can be awarded is EUR 30.000 that can represent the maximum of 75% of the total costs of the Jean Monnet Module; ii) Chair: the maximum grant that can be awarded is EUR 50.000 that can represent the maximum of 75% of the total cost of the Jean Monnet Chair; iii) Centre of Excellence: the maximum grant that can be awarded is EUR 100 000 that can represent the maximum of 80% of the total eligible costs; iv) Networks and Projects: for networks the maximum grant that can be awarded is EUR 300.000 that can represent the maximum of 80% of the total costs, and for projects the maximum grant that can be awarded is EUR 60.000 that can represent the maximum of 75% of the total costs.

(e) The indicative trimester to launch the annual general call Erasmus+ is the third trimester of 2015. The call will be launched by the Education, Audiovisual and Culture Executive Agency (EACEA) based on the co-delegation in force between FPI and EACEA.

(f) Exception to the non-retroactivity of costs: NA

*3.1.1.2. Call for proposals – Engagement with Civil Society in Japan on Fundamental Rights*

(a) Objectives of the grants

This grant falls into strand 'Civil Society engagement' (see *infra* section 3.1).

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<sup>6</sup> Article 192 FR – full financing of an external action

- (b) Eligibility conditions: Civil Society Organisations established in the EU and in Japan.
- (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) The maximum possible rate of co-financing for grants under this call is 80% of the eligible costs of the action.
- (e) The indicative trimester to launch the call for proposals is the third trimester of 2015.
- (f) Exception to the non-retroactivity of costs: NA

### **3.1.2. Procurement (direct management)**

#### *3.1.2.1. Procurement – EU Policy and Outreach Partnership and Cultural Diplomacy*

Part of the public diplomacy envelope in the AAP 2015 will be implemented through the procurement of services. Indicatively, it is estimated that nine calls for tenders will be launched.

Service contracts resulting from the above mentioned calls will mainly fall under strand 'EU Policy and Outreach Partnership'. Nonetheless, a global call for tender will cover also the strand 'Cultural Diplomacy' (see *infra* section 3.1). Indicative calls are listed in the table below.

Following a joint EEAS/FPI screening of concept notes, four national actions (in Russia, Japan, China, and the United States of America), four regional actions (in Central America and the Caribbean, South America, Arctic, Asia-Pacific) and a global action have been retained. The above selection was based on local needs as expressed by EU Delegations and on priorities for public diplomacy at regional level.

<b>Country/region</b>	<b>EUR million</b>
Russia	2.2
Japan	0.75
China	2.67
Mexico/Central America and the Caribbean	1.2
South America	1.8

USA	0.6 3
Asia-Pacific	1.5
Arctic	0.65
Global	1.990
<b>Total</b>	<b>16.36</b>

This list can be adapted pending the results of calls for tenders, the development of the EU Public Diplomacy Strategy, or the evolution of political relations with the concerned partner countries. Any remaining balance from one country allocation may be reallocated to another country or to global/regional initiatives.

In the event that it does not prove possible to conclude such service contracts from the Delegations, the implementation of the calls for tenders will be ensured at HQ level by the Service for Foreign Policy Instrument.

A maximum of 3% of the amount sub-delegated to EU Delegations to implement national and regional calls for tenders, to be divided between the selected EU Delegations, may be dedicated to support measures accompanying the implementation of this Action, in particular activities related to the launch and management of the calls for tenders, such as publication of the calls, information sessions for potential applicants, monitoring missions, use of external evaluators, training sessions for civil society actors, etc.

Calls will indicatively be launched between the third trimester of 2015 and the first semester of 2016.

### *3.1.2.2. Procurement – EU-China and Mongolia Interpreters Training Programmes*

Part of the Public Diplomacy envelope in the AAP 2015 (EUR 0.1 million) will be implemented through a cross sub-delegation of funds to DG SCIC to support for a limited period a new phase of the EU-China Interpreters Training Programme. Subsequently to the adoption of the Annual Action Programme 2015, the responsible authorising officer adopted a non-substantial modification of the Commission Implementing Decision C(2015)4109 to increase by EUR 60,000 the allocation to support the "EU-Mongolia Interpreters Training Programme". The latter is managed by SCIC under the same arrangements as the "EU-China Interpreters Programme. (See footnote no. 7).

The above mentioned programmes fall under the strand 'EU Policy and Outreach Partnership' (see infra section 3.1 above).



### 3.2. Indicative budget

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
<b>4.1.1. – Grants: Calls for proposals (direct management)</b>	<b>3.15</b>
4.1.1.1 – Call for proposals Jean Monnet activities (launched by EACEA)	3
4.1.1.2. – Call for proposals - Japan	0.15
<b>4.1.2. – Procurement (direct management)</b>	
4.1.2.1 – Procurement – EU Policy and Outreach Partnership and Cultural Diplomacy (direct management)	<b>16.36</b>
4.1.2.2 –EU-China Interpreters Training Programme (through cross sub-delegation to DG SCIC)	<b>0.1</b>
4.1.2.3 –EU-Mongolia Interpreters Training Programme (through cross sub-delegation to DG SCIC <sup>7</sup> )	<b>0.06</b>
<b>Total</b>	<b>19.67</b>

### 3.3. Performance monitoring

The day-to-day technical and financial monitoring of the implementation of the above actions 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 and final reports.

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.

### 3.4. Evaluation and audit

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

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<sup>7</sup> Following increase by €60,000 of the total amount of Commission Implementing Decision C(2015)4109. The increase was adopted by the responsible authorising officer on 2 October 2015 [Ares(2015)4062364] as a non-substantial modification in accordance with the provision of article 3 of the said Decision

### **3.5. Communication and visibility**

Communication and visibility will be an integral part of the action. A communication plan shall be prepared by the implementing partners and implemented in line with relevant guidelines on communication and visibility. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU. Exceptions to this rule may be considered on a case by case basis for duly justified reasons.

## ANNEX 15

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for EU- Brazil Sector Dialogues Support Facility**

#### **1. IDENTIFICATION**

Title of the action	EU-Brazil Sector Dialogues Support Facility (SDSF)
Country(ies)/ Region	Brazil
Total cost	Total estimated cost: EUR 4 000 000 Total amount of the EU budget contribution: EUR 4 000 000
Total duration <sup>1</sup>	36
Method of implementation	Procurement - Direct management (service contract)

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The overall objective of the proposed action is to contribute to strengthening and further enlarging EU-Brazil bilateral relations through fostering sector dialogues on priority themes of mutual interest. The project will support the implementation of the EU – Brazil Joint Action Plan (JAP) 2015-2020 and the bilateral Memoranda of Understanding, as well as Declarations or agendas that are in place between the EU Institutions and the Brazilian Ministries and Institutions.

The EU-Brazil Sector Dialogues Support Facility (SDSF) was created in 2008, one year after the establishment of the Strategic Partnership. Under ICI+ funding<sup>2</sup>, the Facility has supported the implementation of actions agreed at political level in the framework of the sector dialogues, has enhanced cooperation and facilitated exchanges between relevant EU and Brazilian stakeholders involved in specific sector dialogues. It also has helped identify and explore new opportunities for dialogue and cooperation. The ongoing project will end in February 2017. No bilateral envelopes for Brazil are available under the Development Cooperation Instrument in the period 2014-2020 and no new ICI+ is available either. Given the highly strategic role this Facility has had over the last years, it is proposed that the

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<sup>1</sup> Contract duration should generally not exceed 36 months

<sup>2</sup> ICI+: Instrument for cooperation with industrialised and other high-income countries and territories (Regulation (EU) No 1338/2011 of the European Parliament and of the Council of 13 December 2011).

new phase be financed under the Partnership Instrument, with all necessary adjustment needed to adapt the existing tool to the PI.

## **2.2. Context**

The EU strategic partnership with Brazil was established in 2007 during the Lisbon Summit<sup>3</sup> and is based on the close historical, cultural and economic ties between both parties. The strategic partnership EU-Brazil is implemented through Joint Action Plans (JAP) that are results oriented, forward-looking and operational. The new JAP 2015-2020, currently under negotiation, is organised around four main domains: I) Boosting competitiveness, growth and jobs, II) Tackling global challenges together, III) Promoting human rights and international peace and security through an effective multilateral system, and IV) Promoting people-to-people contacts and cultural exchanges.

Taking into account the evolution of the sector dialogues and the momentum for further expansion provided by the JAPs, the need for a cooperation tool to advance those dialogues on issues of mutual interest is vital for EU-Brazil Relations.

## **2.3. Lessons learnt**

The proposed project builds on the experience, lessons learned and evaluations drawn from the previous and ongoing phases of the SDSF:

- The demand-driven approach of the project presents uncertainties regarding financial planning. It is difficult to forecast well in advance the allocation of fees and "incidental" expenditure as well as the rate of disbursement.
- Although the SDSF is a flexible concept, experience shows that sometimes, concretising rather general agreements reached in the context of political dialogues is very labour intensive. It is absolutely necessary to ensure that the Commission services (Directorates-General) that are responsible for each dialogue will participate actively in the operationalisation and follow up of the commitment made at political level. In the past, involvement of the different concerned Commission services has varied, due to different degrees of closeness with the compromise acquired at political level, as well as to lacking information about the functioning of the SDSF. Therefore an important outreach effort has been done to make the project known in order to maximise the support that it can give to the EU–Brazil Strategic Partnership.
- Another lesson learned is that, in particular for some of the dialogues, ensuring continued technical and financial support to dialogues, under the form of cooperation project, is vital with a view for the dialogues to reach concrete results. In this respect, it is also of vital importance that the necessary mechanisms be put in place so that the actual results of cooperation projects do feed the political dialogues.

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<sup>3</sup> Communication from the Commission to the European Parliament and the Council "Towards an EU-Brazil Strategic Partnership" - COM(2007)281 - of 30 May 2007.

- Finally the actions undertaken should fall within a broader strategy/objective and not be limited to isolated events such as missions or conferences.

## **2.4. Complementary actions**

Complementarities will be sought with ongoing PI actions such as the Low carbon business initiative, and planned PI actions (Support the common agenda for migration and mobility, International urbanisation; EU Policy and outreach partnership etc.).

Synergies will also be sought with the Directorate-General for International Cooperation and Development and other ongoing projects (ELAN, COSME, EEN, Horizon 2020, etc.), as well as with relevant interventions developed by other donors (especially EU Member States and international organisations) and by the Brazilian Government and institutions.

It is important to monitor all ongoing actions relevant to the identified priority areas in order to ensure complementarity, build on good experiences and avoid duplications.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The overall objective of the proposed action is to contribute to strengthening and further enlarging EU-Brazil bilateral relations through fostering sector dialogues on priority themes of EU-Brazil mutual interest and support the implementation of the EU–Brazil Joint Action Plan 2015-2020, as well as other relevant agreements concluded between the EU Institutions and the Brazilian ministries and institutions.

Its specific objective is to progress/advance in EU-Brazil relations in specific priority areas of EU and mutual interest.

### **3.2. Expected results and main activities**

The main **expected results** of the project are:

1. Extended and strengthened EU-Brazil relationship in the framework of the Strategic Partnership.
2. Existing EU- Brazil Memoranda, Action Plans, other joint documents or strategies in different areas are implemented actively/effectively.
3. The external dimension of EU policies in priority areas is promoted in the EU-Brazil dialogues.
4. Cooperation in priority areas is reinforced and concrete follow-up measures to sector dialogues are put in place and implemented.
5. Updated information available and regularly disseminated on the evolution and “state of the art”, contents and results of the different dialogues.

6. Increased regulatory convergence / alignment of positions and joint actions, including in the international arena, on topics of EU and mutual interest.
7. New areas of cooperation of EU and mutual interest are identified and developed.

The indicative project **activities** will include:

- ✓ the preparation of baseline, benchmarking and specific sector studies on issues that are relevant for the dialogues;
- ✓ the organisation of events (conferences, seminars, workshops, mutual technical visits and other exchange activities, etc.) within the scope of the dialogues;
- ✓ the provision of specialised technical assistance to the relevant stakeholders;
- ✓ the consolidation and further development of the project monitoring, communication and visibility tools.

One of the reasons behind the success of the first phases of the project is the continued presence of the team leader of the technical assistance in Brazil, which has increased the capacity to discuss directly with the Brazilian and European counterparts. This has allowed tailoring the actions, understanding the specific needs and constraints, and adjusting the project to the real possibilities of implementation.

However, the current implementation structure should evolve to reflect the new nature and scope of the SDSF. Therefore, the new project should depart from the actual structure within the Brazilian Ministry of Planning. Discussions will be held with the Ministry of Foreign Affairs and a new approach will be proposed whereby EU technical assistance will be fully independent from the Government and operate in full cooperation with the partner country relevant institutions/entities, as well as with any other stakeholders, under the steer of the Commission, which will closely consult with the EEAS, as needed.

The new structure shall also reflect the fact that in this new phase of the SDSF both the EU and the Brazilian counterparts will have the right of initiative to submit proposals for actions. Selection of projects will be done jointly, involving representatives from the relevant EU and Brazilian institutions.

The EU and the Brazilian government will agree in writing on respective roles and responsibilities for the project implementation.

### **3.3. Risks and assumptions**

Main assumption is that the Brazilian and European authorities are still committed further strengthening the EU-Brazil Strategic Partnership and engaging in concrete actions to foster sector dialogues in the framework of the JAP and beyond.

While major risks would arise from the non-confirmation of this assumption, the commitment of both parties to promoting the Strategic Partnership and the agreed

sector dialogues, together with the enthusiasm and dynamism already evidenced by the stakeholders, show that the occurrence of such risks is highly improbable.

Brazil is undergoing a difficult political and economic moment. The President is to announce soon a restructuring of the Government, therefore the Delegation will analyse how the new structure of the government could have an impact on the project implementation.

Because of the new logic of this Facility, which relies heavily on Commission DG's taking a leading role in the identification of the actions to be executed under the Facility, another risk is the availability of the EU partners (EU institutions and EC Directorate Generals) to get involved in the actions. This risk will be mitigated by carefully selecting the areas of intervention, in line with EU's interests and policy priorities.

Having the project a demand-driven approach, there is a risk of creating frustration in the Brazilian ministries and EU institutions when good proposals are rejected. To some extent, this risk can be controlled by a good preparation work with both parties.

### **3.4. Stakeholders**

The key stakeholders are:

- ✓ EU institutions, including the European Commission Directorate Generals, FPI, EEAS
- ✓ EU Member States and their relevant Institutions
- ✓ Brazilian Ministries and Agencies
- ✓ European and Brazilian Academia and Civil Society

The private sector and local governments will be associated to the actions when appropriate and relevant.

## **4. IMPLEMENTATION ISSUES**

### **4.1. Method of implementation**

#### ***4.1.1. Procurement (direct management)***

The action will be implemented through a call for tenders resulting in a service contract to be managed by the EU Delegation to Brazil.

A Consultative Committee (CC), composed of EU and Brazil members, will be established to provide strategic guidance to the project, according to the decisions taken and agreements made at the higher political levels, ensure the regular monitoring of its implementation, appraise the results achieved and propose eventually needed corrective measures. The CC will meet at least twice a year.

The service provider will ensure the day-to-day management of the project, with regard to the opinions of the CC and under the supervision of the EU Delegation. The indicative time-frame for launching the procurement procedure is the first half of 2016.

#### 4.2. Indicative budget

Method of Implementation	Amount in EUR million
4.1.1 Procurement (direct management)	
Procurement- EU- Brazil Sector Dialogue Support Facility	4 000 000

#### 4.3. Performance monitoring

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and will be carried out according to the arrangements defined in the service contract and EC procedures. 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.

#### 4.4. Evaluation and audit

The Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### 4.5. Communication and visibility

In order to ensure that the proposed project is reaching its objectives, the use of communication and visibility tools is crucial. A specific Communication and Visibility Plan in line with relevant guidelines shall be elaborated at the start of implementation of the service contract.

Communication and visibility activities will create an integral part of each event organised in the framework of the SDSF. Regular information will be sent to key stakeholders (including media, think tank representatives) alerting on the outcomes of the actions and diffusing background information on key issues. All communication activities will respect the relevant EU Visibility Guidelines. All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.



## ANNEX 16

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for Regional Facility for International Cooperation and Partnership in Latin America and the Caribbean**

#### **1. IDENTIFICATION**

Title of the action	<b>Regional Facility for International Cooperation and Partnership</b>			
Country(ies)/ Region	Latin America and the Caribbean (LAC)			
Total cost	Total estimated cost: EUR 3.000.000 Total amount of the EU budget contribution: EUR 3.000.000			
Total duration <sup>1</sup>	66 months <sup>2</sup>			
Method of implementation	<i>Procurement - Direct management</i>			
Markers (from CRIS DAC form)	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"/>

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

This action is part of a wider initiative which encompasses two components: one led by the Directorate-General for International Cooperation and Development (DG DEVCO), aiming at poverty reduction, as per the objectives of the Development Cooperation Instrument<sup>3</sup> (DCI); and a second one, funded under the Partnership Instrument<sup>4</sup> (PI), to respond to other

<sup>1</sup> The total duration is calculated as from the adoption of the Financing Decision.

<sup>2</sup> As a result it takes into account of: (i) the contracting phase (indicatively 18 months); (ii) the implementation of the action (36 months); (iii) the closure phase (indicatively 12 months).

<sup>3</sup> Regulation (EU) No 233/2014 of the European Parliament and of the Council [of 11 March 2014] establishing a financing instrument for development cooperation for the period 2014-2020, OJ L 77, 15.03.2014.

<sup>4</sup> Regulation (EU) no 234/2014 of the European Parliament and of the Council of [11 March 2014] establishing a Partnership Instrument for cooperation with third countries, OJ L 77, 15.03.2014.

cooperation needs, including non-Official Development Assistance (non-ODA), and enhance EU's strategic partnerships in the region.

The aim of this joint initiative is to set up a Regional Facility for International Cooperation and Partnership in Latin America and the Caribbean (LAC), a flexible mechanism for joint activities between the EU and LAC countries. This represents a new approach in engaging with Latin American and Caribbean countries, which will provide the EU with new entry points into dialogue on global challenges with EU partner governments in the region. It will help build new alliances based on solidarity and shared principles. The Facility will provide an overarching political umbrella that ensures effective complementarity and coordination of actions financed under the DCI and PI. This approach will help maximise the impact of different EU actions in Latin America and the Caribbean, fostering policy coherence for development and opportunities for deepening EU's strategic relations in areas of mutual interest, creating value added for the EU cooperation in the region as a whole.

Parallel PI-DCI financing will be undertaken, with a contribution of EUR 3 million and EUR 12 million respectively. The Facility may also envisage additional activities in the Caribbean through the support of the European Development Fund for this region, following a dedicated financing decision.

**The present Action Fiche covers solely the second component of the Facility, i.e. the one focused on non-development oriented activities, funded under the Partnership Instrument and managed by FPI<sup>5</sup>.**

**Consequently, all references to the "Facility" hereafter refer to the PI-funded action.**

## 2.2. Context

In 1999 the EU established a comprehensive region-to-region partnership with the countries of Latin America and the Caribbean (LAC), which provides a vehicle to advance dialogue and cooperation in areas of mutual interest, as identified by the bi-regional Joint Action Plan. Overall, the countries of the Americas as a whole have become more assertive and influential in international fora, in particular in the areas of global governance, human rights, security, climate change and the environment. Moreover, in the Americas there are many significant energy exporters and some countries are also a vital source of raw materials for the EU.

Increasingly, the leading Latin American countries have capabilities in such areas as conflict prevention and crisis response, cyber-security and science and technology which make them important partners for the EU. Above average growth rates in many countries and significant EU investment and economic links create market opportunities which should be exploited by supporting the negotiation and implementation of comprehensive trade agreements, and working more generally to promote open markets and green growth, dismantle obstacles to trade and investment, and promote innovation and business-to-business cooperation.

Furthermore, Strategic Partnerships are in place with Brazil and Mexico which focus on implementing common priorities, as established in the respective Joint Action Plans. Other arrangements in Latin America include the Association Agreements with Chile, Mexico and

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<sup>5</sup> The development-oriented part of this Facility, aiming at poverty alleviation and capacity development was adopted in June 2015 (Commission Decision(2015)3779 of 1 June 2015, CRIS reference DCI-ALA/2015/038-106).

Central America, and the multi-party trade agreement with Colombia and Peru, which may be extended to include Ecuador. In addition, the EU is negotiating a trade agreement with Mercosur as part of the overall negotiation for a bi-regional Association Agreement and is looking into possibilities to revise and upgrade the EU-Mexico Global Agreement and is exploring possibilities for closer relations with the Pacific Alliance on issues of common interest (e.g. trade facilitation, investment, rules of origin, etc.).

### **2.3. Lessons learnt**

The PI's global reach and flexibility are designed to help the Union respond to the fast-changing nature of partner countries and to global challenges. Although the PI has been designed to engage primarily with the Union's strategic partners<sup>6</sup>, given the global reach of the issues at stake, multi-country and even multi-region programmes are to be envisaged. For specific actions of high relevance, countries other than the strategic partners can benefit from the PI. In particular the PI can help underpin relations with those countries that are no longer eligible for bilateral development aid.

By ensuring coordination and complementarity in programming and implementation with other instruments, in particular DCI, it improves EU external policy coherence. This approach will not only improve the visibility of EU action, but also its effectiveness.

This action will build on lessons learnt from ongoing and past regional programmes in Latin America managed by DEVCO and other Commission services and on existing sectorial support facilities being implemented across the world: in Brazil (EUR 5.5 million), China (EUR 12 million), South Africa (EUR 7 million) and Thailand (EUR 4 million)<sup>7</sup>.

### **2.4. Complementary actions**

#### Overall picture

The EU has stopped its bilateral development assistance to medium income countries. However, these countries remain eligible for substantive thematic and regional cooperation development programs. There are a number of regional and thematic development programmes managed by the Commission that contribute to EU engagement with LAC countries. The PI does not substitute them; on the contrary – given the limited resources available and its global scope, it aims to complement them by bringing in - as its main added-value - the promotion of the EU interest and the peer-to-peer dimension.

Among its several interventions in the region, it is worth signaling that under its AAP 2015 the PI funds a public diplomacy initiative aiming at promoting better understanding of EU and EU-LAC actions and positions on challenges at regional and global scale, thus enhancing trust and positively influencing the convergence of policy objectives between the two regions and the perception and image of the EU in the region. In addition, under the AAP 2014, the PI ensures EU's support to the EULAC Foundation, which promotes further engagement and cooperation between the EU and LAC partners on common values and core interests and facilitates inter-regional cooperation.

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<sup>6</sup> Mexico, Brazil, USA, Canada, Russian Federation, South Africa, India, Republic of Korea, Japan and China.

<sup>7</sup> EU contributions. All funded under the DCI, except for the one in Brazil, which is currently financed under the ICI+.

This action will complement not only the development-oriented strand of the Facility but also other regional programmes such as AI-Invest 5.0, ELAN, EUROCLIMA, WATERCLIMA or the Latin American Investment Facility (LAIF).

### Coordination and synergies

An Advisory Committee<sup>8</sup> bringing together representatives from different EU services will be set up to facilitate the complementarity, coordination and creation of synergies between EU programmes and actions in the region and in particular of the parallel development-related strand of this Facility (see summary above). This approach will foster the impact of EU actions in the LAC region, promoting policy coherence and creating value added for the EU cooperation in the region as a whole.

## **3. DETAILED DESCRIPTION**

### **3.1. Objectives**

The **overall objective** of this Action is to advance and promote Union and mutual interests with partner countries in Latin America and the Caribbean.

The **specific objective** of this Facility is to strengthen dialogue and cooperation between the EU and LAC countries on specific areas of mutual interest and in peer to peer relationships

### **3.2. Expected results and main activities**

R.1 **Strengthened policy dialogues** between the EU and LAC partner countries.

R.2 **Improved cooperation** with LAC partner countries, by exploring opportunities for cooperation on priority areas of mutual interest and as a result of the policy dialogues referred to above under R1.

R.3 The EU and LAC countries build **new alliances** and develop collective approaches and responses to **challenges of global concern**.

R.4 **EU internal policies are better projected externally**, through strong cooperation among Commission's DGs (DEVCO in particular), EEAS and LAC countries.

### Indicative type of Actions

Actions funded by the Facility will take into account the economic, social and political contexts of the partner countries, as well as the Union's specific interests, policy priorities and strategies. They are expected to fall under one of the following categories:

1. Projects that replicate and/or extend actions carried out successfully by the Partnership Instrument in other LAC countries or in different geographical regions, therefore creating economies of scale and dissemination of good practices.
2. Projects that encompass two or more countries in Latin America and/or the Caribbean.

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<sup>8</sup> In order to ensure efficient use of resources and maximum coordination one joint Advisory Committee shall be set up for both the DEVCO-managed and the FPI-managed segments of the Facility. Alternatively, where having separate meetings on FPI component and DEVCO component proves more efficient (geographical reasons, specific experts invited, etc.), the Advisory Committee meetings shall be organised back to back, to allow for exchanges of information on the spot.

3. Projects that build on complement or expand actions undertaken by other Commission services (in particular those selected for funding under the development-oriented strand of the Facility), the EEAS or the partner countries.

4. Innovative and/or pilot actions at regional/bilateral level in any of the priority areas enumerated below.

*Main activities may include, amongst others (list is not exhaustive):*

- Carry out appropriate interventions to develop synergies with and add value to ongoing projects, so as to advance and promote the Union and mutual interests;
- Organisation of events (conferences, seminars, technical visits, exchanges of experiences, etc.) on topics related to the selected sectors;
- Provision of expertise on specific issues relevant to the policy dialogues including technical assistance, speakers, panellists, rapporteurs, facilitators, moderators, etc;
- Identification, formulation and/or implementation of actions that build on past and existing cooperation and dialogues with partner and associated countries, which pursue joint interests;
- Identification and promotion of initiatives and pilot actions which may, inter alia, stimulate innovation, multi-stakeholder approaches and represent new economic opportunities for EU's industry and private sector;
- Animate exchange and promote synergies through people to people actions that contribute to political dialogues and to increase awareness and understanding of the deepened partnerships and agreements between the EU and LAC countries (civil society forums, training schemes for public servants, etc).

#### Areas of intervention

Activities conducted in the framework of this Facility will respond to the political priorities of the Union for Latin America and the Caribbean. In particular, activities shall be conducted in the following areas (list not exhaustive):

- |                                       |  |
|---------------------------------------|--|
| - Low carbon industries/economy       | - Trade Facilitation   |
| - Water and waste management          | - IPRs/GIs   |
| - Conflict minerals and raw materials | - Public Procurement   |
| - Migration                           | - Investment   |
| - Digital society                     | - Security and drugs   |
| - Renewable sources of energy         | - Biodiversity, climate change and protection of the environment |
| - Regulatory cooperation              |  |
| - Corporate Social Responsibility     |  |

Additional areas of intervention may be considered if required by the political situation or if new needs arise throughout the project lifespan.

Where appropriate, the importance of fostering cooperation on research and innovation, to achieve the objectives in the above areas, will be promoted as a cross-cutting area of mutual interest.



### 3.3. Risks and assumptions

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
No interest from LAC partner countries in cooperating with the EU in a peer-to-peer logic.	L	Preliminary contacts with LAC partner countries show that there is interest and demand for a new sort of cooperation with the EU. In addition, selection of activities will be done in agreement with the partner countries. Financial contribution from their side may be envisaged.
<b>Assumptions</b> LAC countries, in particular those that have graduated from development cooperation assistance, are seeking for new ways to engage and enhance their partnership with the EU, vis-à-vis their own constituencies.		
<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
This innovative approach could make it difficult to identify relevant activities of mutual interest.	L	This Facility will support and reinforce existing policy dialogues. These dialogues will provide the framework to identify relevant ideas in areas of mutual interest.
<b>Assumptions</b> The substantial amount of requests for support received from LAC countries under existing mechanisms within the PI suggest that there is a wide array of topics of common concern, where both the EU and LAC would profit from increased cooperation.		
<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
The political situation in LAC countries would not allow for a uniform implementation of activities throughout the region.	L	Activities will be designed in a flexible manner, allowing for potential changes to adapt to changing situations. In cases of instability other instruments, such as IcSP shall intervene.
<b>Assumptions</b> The political situation in LAC countries remains stable.		
<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Partner countries don't allocate the necessary resources.	L	Punctual technical assistance may be provided, if deemed necessary and eligible under this Action, to ensure the successful implementation of the selected projects <sup>9</sup> .
<b>Assumptions</b>		

<sup>9</sup> The strand of the Facility funded under DCI includes a EUR 1.4 million heading for technical assistance services. If deemed relevant and agreed by both parties (DEVCO-FPI) these services may also cater for the PI-funded actions.

Projects funded by this Facility will redound in benefits for both, the partner countries and the EU. Successful implementation of the projects will require cooperation and commitment on both sides.

### 3.4. Stakeholders

Direct stakeholders and partners of the different activities will be (i) partner country administrations directly involved in the dialogues, (ii) the corresponding services of the European Commission, the EEAS and (iii) European public and private institutions interested in the policy dialogues (regional and local governments, universities and research centres, business and socio-professional associations, NGOs, cultural institutions etc.) as well as their corresponding entities in the LAC countries.

Indirect stakeholders are EU Member States, all private and institutional/public stakeholders, at different levels in Europe and in Latin America and the Caribbean that may be consulted or involved in the implementation of the different activities.

## 4. IMPLEMENTATION ISSUES

### 4.1. Method of implementation

#### 4.1.1. Procurement (direct management)

- (a) The project will be implemented via service contract(s). Indicatively, two contracts are expected to be concluded, but the need for concluding a single comprehensive contract or more than two contracts may arise and will be duly assessed. The indicative time-frame for launching the procurement procedure(s) is the first half of 2016.

### 4.2. Indicative budget

Method of implementation	Amount in EUR
4.1.1. Procurement (direct management)	3 000 000
<b>Total</b>	<b>3 000 000</b>

### 4.3. Performance monitoring

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.

In addition, FPI will ensure a regular follow-up of the project, both through visits of its own staff where possible and regular contact with the different activities/stakeholders. In particular, the PI is planning to enhance its presence in the LAC region by strengthening the PI teams already present at the EU Delegations in Mexico and Brazil.



Concerned Commission DGs/EEAS will be required to closely monitor activities that have been proposed by them. The Commission may undertake additional project monitoring visits through independent consultants recruited directly by the Commission for independent monitoring reviews.

In addition, a new monitoring system for PI actions is currently being developed and will become operational during the second quarter 2016.

#### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

#### **4.5. Communication and visibility<sup>10</sup>**

In order to ensure that the proposed programme is reaching its objectives, the use of communication and visibility tools is crucial. Communication and visibility activities will be an integral part of each activity organised in the framework of this programme. Regular information will be sent to key stakeholders (including media, think-tank representatives and, when appropriate, the EU Delegations in relevant countries) alerting on the outcomes of the events and diffusing background information on key issues. All communication activities will respect the relevant EU Visibility Guidelines.

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<sup>10</sup> The strand of the Facility funded under DCI includes a EUR 0.6M heading for visibility/communication services. If deemed relevant and agreed by both parties (DEVCO-FPI) these services may also cater for the PI-funded actions

## ANNEX 17

of the Commission Implementing Decision on the 2015 Annual Action programme for the Partnership Instrument

### **Action Fiche for an EU-India cooperation on ICT-related standardisation, policy and legislation**

#### **1. IDENTIFICATION**

Title of the action	EU-India cooperation on ICT-related standardisation, policy and legislation
Country(ies)/ Region	India, with the possibility of involving Bhutanese and/or Nepalese experts/technocrats in some project activities
Total cost	Total estimated cost: EUR 2,400,000 Total amount of the EU budget contribution: EUR2,400,000
Total duration	36 months
Method of implementation	Direct Management Procurement - Services

#### **2. RATIONALE AND CONTEXT**

##### **2.1. Summary of the action and its objectives**

The proposed action aims at improving and reinforcing the market perspectives for the EU ICT sector in India in areas where a potential EU-India broad based Trade and Investment Agreement ("FTA") can bring about only limited benefits. The project will support intensified cooperation between the EU and India on Information and Communication Technology (ICT) related standardisation, policy and legislation issues as well as on exchange of statistical data and metadata.

This action is an implementation phase which builds upon an inception phase, approved as a stand-alone project under the Partnership Instrument-AAP 2014. The inception phase is ongoing (project duration: April 2015-March 2016) and has already provided definitions in terms of priority areas agreed by stakeholders for pilot initiatives on which the implementation phase shall focus: 5G, ITS/M2M, NFV/SDN<sup>1</sup> in the ICT domain and standards for statistical data and metadata exchange (SDMX)<sup>2</sup> for national accounts in the statistical cooperation domain. A structured framework for the dialogue with the relevant stakeholders has also been established.

<sup>1</sup> 5G - 5<sup>th</sup> generation of mobile telephony; M2M/ITS - machine to machine communications/Intelligent Transport Systems; NFV/SDN - Network Functions Virtualisation/Software Defined Networks

<sup>2</sup> SDMX (Statistical Data and Metadata eXchange) is an international initiative sponsored by BIS, ECB, Eurostat, IMF, OECD, UN and the World Bank to foster standards for the exchange of statistical information and metadata.

## **2.2. Context**

The action is fully in line with the implementation of the EU-India Strategic Partnership, including the EU-India Joint Action Plan and the EU-India Research and Innovation Partnership, endorsed by the 2012 EU-India Summit. The proposed action also fully connects with the EU's official dialogues with India, as it fits in with the mandate of the EU-India Joint ICT Working Group<sup>3</sup> and the implementation of a possible EU-India FTA. In the field of statistics, a Memorandum of Understanding (MoU) on statistical cooperation was signed on 10 February 2012 by Eurostat and the Indian Central Statistics Office (CSO).

India is a strategic economic partner for the EU and a key player both in the South Asia region and at global level. It maintains significant market access barriers in the ICT sector and a risk exist that additional India specific ICT standards would result in further market access barriers for European companies (e.g. additional testing, certification and labelling requirements and resulting delays). Difficulties in accessing reliable and comparable statistical information could represent an additional challenge.

## **2.3. Lessons learnt**

The SESEI (Seconded European Standardisation Expert for India) project has been instrumental in highlighting the relevance, need and interest for deeper cooperation between India and the EU on ICT standardisation.

For the statistical part of the action, experiences from similar projects in South East Asia have been taken into account. Furthermore, experience in SDMX implementation in the EU and other countries in the world has shown that the support from the top management of statistical organisations in the decision to implement SDMX standards, the fostering of cooperation among IT experts and statisticians, and the investment in training and capacity building are important.

## **2.4. Complementary actions**

The project SESEI<sup>4</sup> (closing in March 2016; follow-up project under preparation) aims at raising awareness in India about the overall European standardisation system, values and assets, collecting information about standardisation developments in India, increasing cooperation between Indian and European standardisation bodies, and supporting European companies facing standardisation related issues in India. The project focuses on several sectors such as Automotive, Electrical Equipment including Consumer Electronics, Smart Cities, Machinery and Information and Communication Technologies, but does not have the means and scope for comprehensive support activities of the type foreseen under the proposed project.

The project CITD (Capacity-building Initiative for Trade Development in India) focuses on strengthening the capacity of India trade-related institutions in some of the priority areas

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<sup>3</sup> The EU-India Joint ICT Working Group is held between the European Commission (DG CONNECT) and India's Ministry of Communications and Information Technology (Department of Electronics and Information Technology; Department of Telecommunications), and covers telecom regulation, ICT market access issues, ICT standardisation, ICT research and innovation, and Internet Governance. The last meeting was held in New Delhi, 14-15 January 2015.

<sup>4</sup> SESEI is co-funded by the European Commission, EFTA, ETSI, CEN and CENELEC.

identified in the 11<sup>th</sup> 5-Year Plan (2007-12), such as: establishment of a National Quality and Standardisation Authority and strengthening standards regulation; simplification of customs procedures, streamlining of documentary requirements, accelerated implementation of Electronic Data Interchange (EDI) initiatives, etc. However, no activities have been implemented or foreseen so far with regard to ICT standardisation or the exchange of statistical data.

The proposed project will complement in particular the SESEI project (with which good cooperation and synergies have already been established during the inception phase), as it will have the means to go beyond awareness raising and information sharing activities and allow for the complementary provision of a comprehensive set of support actions to foster EU-India cooperation on ICT standardisation. Close coordination will be ensured to avoid any possible overlap or duplication with the activities proposed in each project.

### **3. DETAILED DESCRIPTION**

#### **3.1. Objectives**

The overall objective of this action is to improve access of the EU ICT sector to the Indian market in areas where a potential EU-India Broad Based Trade and Investment Agreement ("FTA") can bring about only limited benefits.

The specific objectives of this action are twofold:

1. To facilitate trade relations in the ICT sector and avoid new market access barriers based on India specific or other potentially competing standards, to insure interoperability, as well as strengthening of European ICT standardisation efforts on a global level; and
2. To facilitate exchange, sharing, interoperability and dissemination of statistical data and related metadata among the EU, India and international organisations.

#### **3.2. Expected results and main activities**

The expected results are:

- Facilitated co-operation and exchange of best practice between relevant main actors in the EU (in particular ETSI<sup>5</sup>, Eurostat) and India (in particular TSDSI<sup>6</sup>, Central Statistical Office of India); and
- Supported active participation of India in international ICT standardisation efforts resulting in closer alignment between Indian (and neighbouring countries') and European ICT standards in the pilot areas of 5G, ITS/M2M, NFV/SDN; and
- Statistical Data and Metadata Exchange (SDMX) standard introduced in India in the area of national accounts and capacity of the Central Statistical Office developed to implement SDMX in other statistical domains.

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<sup>5</sup> European Telecommunications Standards Institute

<sup>6</sup> Telecommunications Standards Development Society, India

Main indicative activities related to ICT standardisation:

- Support to EU-India dialogues and meetings on specific topics (e.g. specific expert workshops);
- Provision of technical assistance in the priority fields identified by the relevant stakeholders, including e.g. in the preparation of position papers and analyses/studies (e.g. on best practices to solve related problems);
- Organisation of and/or participation in trainings (e.g. summer schools) involving experts and competent Indian technocrats, and provision of trainings and relevant presentations by European experts in India;
- Support to the participation of Indian experts from academia/research, the standards body TSDSI and public administration in relevant expert meetings under international standardization efforts such as the (ETSI-supported) global OneM2M initiative, or meetings organized by ETSI or the European Commission;
- Support for European standardisation experts to attend events (meetings, workshops, conferences) in India organised by the project and to provide trainings..

Main indicative activities related to the exchange of statistical data and metadata:

- To conduct a review to identify: (1) the various actors of the Indian statistical system involved in producing data; (2) the current database environment and an assessment of how optimal efficiency gains from SDMX implementation can be achieved; (3) data/meta data strategic scenario for the domain over the life of the project; (4) specific data sets to be included and their conformity to international standards; (5) identification of relevant data structure definition (DSD); (6) existing reference metadata; (7) metadata template options;
- Further training of professionals within the statistical domain including officials both in head-quarters and federal/regional offices, as necessary: introductory or advanced;
- Analysis, studies and position papers;
- Conferences and workshops;
- Communication to stakeholders;
- Testing the real data transmission from the federal/regional offices to the head-quarters and from the headquarters to international organizations;
- Putting in place the data transmission structures for a regular data transmission;
- Evaluation of the effectiveness of cooperation in the pilot area of national accounts.

### **3.3. Risks and assumptions**

With regard to ICT standardisation, the risk that India might not be interested in this type of cooperation is significantly mitigated by the fact that the relevant organisations have underlined their cooperation interest and signed Memoranda of Understanding (MoUs) for closer cooperation, and demonstrated this in practice through active engagement in the

inception phase project. Furthermore, the action was formally endorsed during the last meeting of the India-EU Joint ICT Working Group (New Delhi, 14-15 January 2015). However, if this background should change unexpectedly, mitigation actions could include extra advocacy actions highlighting the mutual interest and benefit of this type of cooperation.

With regard to the activities related to the exchange of statistical data and metadata, India's interest in SDMX implementation was expressed to Eurostat through official letter in 2012, following the signature of a MoU on statistical cooperation. Experience has shown that an important factor for effective implementation is the support from the top management of a statistical organisation, which has been demonstrated during the inception phase. However, if this background should change unexpectedly, mitigation measures would include advocacy actions aimed at generating support from the top management, such as tailor-made presentations and demonstrations of the benefits of SDMX implementation.

**3.4. Stakeholders**

The key stakeholders of the proposed project are the European and Indian ICT standardisation bodies (ETSI and TSDSI) and statistical institutes (Eurostat and CSO). Further important stakeholders include Telecom Centres of Excellence/TCOE and Cellular Operators Association of India/COAI<sup>7</sup> (both also members of TSDSI), as well as the Ministry of Communications and Information Technology (for ICT standardisation) and the Ministry of Corporate Affairs and the Ministry of Agriculture (for exchange of statistical data and metadata).

**4. IMPLEMENTATION ISSUES**

**4.1. Method of implementation**

**4.1.1. Procurement (direct management)**

- (a) The project will be implemented through the procurement of services. Indicatively, it is expected that one service contract will be signed.
- (b) Indicative timing: call(s) for tender launched during the 1st Quarter of 2016.

**4.2. Indicative budget**

<b>Method of Implementation</b>	<b>Amount in EUR million</b>
4.1.1. – Procurement (direct management)	2,4
<b>Total</b>	<b>2,4</b>

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<sup>7</sup> COAI groups the Indian GSM mobile operators and companies providing telecom networks (including the European companies active in India). See <http://www.coai.com/>

### **4.3. Performance monitoring**

A permanent and internal monitoring mechanism will be established by the project team with continuous follow up and monitoring activities also carried out by the EU Delegation to India. Specific monitoring indicators are being developed during the project's inception phase for the expected results and activities against which progress of project implementation will be measured. A baseline will be established in this respect by the project team. Qualitative aspects will also be relevant, and for example in the monitoring of the training activities specific information about the relevance, the quality and efficiency of the training should be captured based on activity reports by the experts and feedback questionnaires compiled by participants, etc.

A Steering Committee consisting of representatives of at least TSDSI, ETSI, CSO, DG ESTAT, EU Delegation to India, DG Communication Networks, Content and Technology (C'NECT) and the contractor shall be established, and meet at least once per year. Representatives of the SESEI and CITD projects (see above) may be invited to participate as observers. This Steering Committee will be in charge of the overall strategic guidance for the project and its decisions will be informed – inter alia – by the internal monitoring mechanism.

### **4.4. Evaluation and audit**

For this action or its components the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

Without prejudice to the obligations applicable to the 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.

As the "N+1" applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.3 above, will be funded from sources other than those allocated to this specific action.

### **4.5. Communication and visibility**

The project will work out a specific communication strategy and develop specific activities dedicated to communication and visibility. The EU visibility guidelines will be followed. EU Delegation(s) will participate in the dissemination of information in the partner country, possibly in coordination with local partner networks in order to raise awareness about the programme. Existing networks of stakeholders will be used for the dissemination of information and results to local actors.

All documentation and promotional material produced in the framework of the project shall bear the EU flag and mention that it is financed by the EU.