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**ANNEX II**

of the Commission Implementing Decision on the 2021 annual action plan for the global threats part of the thematic programme on peace, stability and conflict prevention

**Action Document for Chemical, Biological, Radiological and Nuclear Risk Mitigation (CBRN)**

**ANNUAL PLAN**

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation, and action plans in the sense of Article 23 of Regulation (EU) 2021/947 establishing the Neighbourhood, Development and International Cooperation Instrument – Global Europe.

**1. SYNOPSIS**

1.1. Action Summary Table

<b>1. Title CRIS/OPSYS business reference Basic Act</b>	<b>Chemical, Biological, Radiological and Nuclear Risk Mitigation (CBRN)</b> OPSYS/CRIS <sup>1</sup> number: NDICI THREATS FPI/2021/43399 Financed under the Regulation (EU) 2021/947 establishing the Neighbourhood, Development and International Cooperation Instrument – Global Europe
<b>2. Team Europe Initiative</b>	No
<b>3. Zone benefiting from the action</b>	The action shall be carried out worldwide.
<b>4. Programming document</b>	Peace, Stability and Conflict Prevention Thematic Programme 2021 – 2027
<b>5. Link with relevant MIP(s) objectives/expected results</b>	<b>Area of intervention: Global, trans-regional and emerging threats</b> <b>Priority 5 - Mitigation of threats posed by intentional, accidental or naturally occurring release of chemical, biological, radiological and nuclear (CBRN) materials or agents and related risks to installations or sites</b> <b>Specific objective 1:</b> Improved detection of and mitigation against risks related to CBRN materials or agents and risks related to installations or sites through the EU CBRN Centres of Excellence Initiative and associated actions. <b>Result 1:</b> Effective CBRN risk mitigation and security governance mainly through the EU CBRN Risk Mitigation Centres of Excellence initiative. <b>Result 2:</b> Strengthened cooperation in CBRN risk mitigation among EU CBRN Risk Mitigation Centres of Excellence Initiative partners of a given region and among different regions for exchanging best practices and lessons learnt. <b>Result 3:</b> Increased capacity of partner countries to deal with security challenges related to biological threats and CBRN related disaster relief. <b>Specific objective 2:</b> Enhanced capacities on strategic trade controls of dual-use goods <b>Result 1:</b> Reinforced legal capacities in partner countries to enable them to enhance strategic trade controls legal and regulatory frameworks. <b>Result 2:</b> Improved capacities in partner countries to establish, implement and enforce strategic trade controls of dual-use items. <b>Result 3:</b> Reinforced communities of practice of export controls stakeholders. <b>Result 4:</b> Enhanced coordination, dialogue and synergies with donors and principal stakeholders.

<sup>1</sup> Depending on the availability of OPSYS at the time of encoding, a provisional CRIS number may need to be provided.

	<p><b>Specific objective 3:</b> Enhance international scientific cooperation and knowledge on CBRN related security issues, promoting a culture of safety and responsible science and engineering</p> <p><b>Result 1:</b> Activities and membership in the International Science and Technology Centres and the Science and Technology Center in Ukraine are promoted and expanded geographically.</p> <p><b>Result 2:</b> Increased retraining and alternative employment (peaceful research activities or commercial programmes) of scientists having dual use technology knowledge.</p>			
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>				
<b>6. Priority Area(s), sectors</b>	Global, trans-regional and emerging threats 152 - Conflict, Peace & Security			
<b>7. Sustainable Development Goals (SDGs)</b>	Main SDG: 16 (Peace and Justice Strong Institutions) Other significant SDGs and where appropriate, targets: 12 (Responsible Consumption and Production), 13 (Climate Action), 5 (Gender Equality), 3 (Good Health and Well-being)			
<b>8 a) DAC code(s)</b>	15210 – Security system management and reform - 100 %			
<b>8 b) Main Delivery Channel</b>	PUBLIC SECTOR INSTITUTIONS – 10000			
<b>9. Targets</b>	<input type="checkbox"/> Migration <input type="checkbox"/> Climate <input type="checkbox"/> Social inclusion and Human Development <input type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input type="checkbox"/> Human Rights, Democracy and Governance			
<b>10. Markers (from DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Gender equality and women's and girl's empowerment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade development	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Reproductive, maternal, new-born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Disaster Risk Reduction	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with disabilities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>11. Internal markers and Tags:</b>	<b>Policy objectives</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Digitalisation Tags: digital connectivity digital governance digital entrepreneurship job creation digital skills/literacy digital services	<input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Connectivity Tags: transport people2people energy	<input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

	digital connectivity		<input type="checkbox"/>	<input type="checkbox"/>
	Migration (methodology for tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities (methodology for marker and tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>BUDGET INFORMATION</b>				
<b>12. Amounts concerned</b>	Budget line(s) (article, item): BGUE-B2021-14.020230 – STABILITY AND PEACE - GLOBAL AND TRANSREGIONAL THREATS Total estimated cost: EUR 21 000 000 Total amount of EU budget contribution: EUR 21 000 000			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>13. Type of financing</b>	<b>Direct management</b> through: - Procurement <b>Indirect management</b> with the entity(ies) to be selected in accordance with the criteria set out in section 4.3.2			

## 1.2. Summary of the Action

This action will contribute to achieving the three specific objectives as set out in the multiannual indicative programme:

SO1: Improve the detection of and mitigation against risks related to CBRN materials or agents and risks related to installations or sites through the EU CBRN Centres of Excellence Initiative and associated actions.

SO2: Enhance capacities on strategic trade controls of dual-use goods.

SO3: Enhance international scientific cooperation and knowledge on CBRN related security issues, promoting a culture of safety and responsible science and engineering.

Results will be obtained mainly through awareness raising activities aimed at promoting a security culture; provision of advice for legal framework reviews; delivery of capacity building activities; promotion of national interagency cooperation and regional and global/multilateral cooperation for exchanging best practices and lessons learnt in the CBRN domain; and re-training of scientists with dual-use knowledge.

Most activities will be identified and formulated under the EU CBRN Centres of Excellence Initiative, which has proven to be an efficient and flexible programme, fostering multilateral and multi sectoral cooperation in civilian security and promoting sustainability and national ownership. It is based on a unique demand-driven approach, following a regional set-up which encourages cooperation and knowledge-sharing with EU Member States and between partner countries.

Efforts will focus, in particular, on:

- reinforcing **biosafety and biosecurity** capacities, as well as on expanding the scope of activities to include related risks (e.g. counter-terrorism and anti-organized-crime operations, critical infrastructure protection, hybrid threats, cybersecurity related to CBRN structures, emerging dual-use technologies, etc.). Long-term assistance will continue to increase capacities for early detection and surveillance of highly dangerous pathogens with a One Health approach<sup>2</sup>.

- assisting partners in developing sound legal frameworks at national and, if applicable, regional level, inspired primarily by the newly revised and expanded EU Regulation on the **export of dual-use goods**; building institutional capacities for the implementation and enforcement of effective export controls; strengthening communities of practice of export control officials, scientists, academia, industry and other stakeholders; and increasing coordination and dialogue with other donors, arms export control programmes and regimes and related international organisations.

- fulfilling the EU's legal obligation to support the International Science and Technology Center (**ISTC**) and the Science and Technology Center in Ukraine (**STCU**) – two international organisations specialised in CBRN risk mitigation – and enhancing their links and synergies with the EU CBRN CoE and with the EU Partner2Partner (P2P) Programme.

<sup>2</sup> One Health is a multisectoral approach between the health of people, animals, plants and the environment to achieve better public health outcomes. (<https://www.who.int/news-room/q-a-detail/one-health>)

All actions will be implemented in full complementarity with bilateral and regional programmes and in coordination with EU Delegations as well as relevant geographical units in INTPA and NEAR.

## 2. RATIONALE

### 2.1. Context

The inadequate control over high-risk chemical, biological, radiological and nuclear materials that pose a danger to the security of populations, especially to people living in vulnerable situations and to the environment, continues to raise serious concern, as highlighted again recently by the explosions in the Port of Beirut in August 2020. In a globalized world characterised by rapid and extensive circulation of persons and goods, it is crucial to cooperate on CBRN risks mitigation with regions of strategic importance for the EU.

Specific challenges relate to the lack of coordination and preparedness for CBRN risks at national and regional level in several countries: the fragmentation of responsibilities, inadequate knowledge and capacity to address these risks within a country or a region can have dramatic consequences at global level. Supporting the national authorities in better preventing and responding to CBRN incidents and in better cooperating among them, contributes to sustain peace and stability and build resilience.

Global infectious disease outbreaks have always been of concern for the international community. The COVID-19 pandemic has underlined the importance of improving the often poor reactive bio-surveillance systems with rapid detection capacities and efficient reporting to key agencies. The economic and socio-political consequences of the pandemic measures have a clear impact on stability and peace. Also importantly, recent studies demonstrate the disproportionate impact of the pandemic and responses to the pandemic experienced by women and girls. Better mitigating such threats will have a positive effect on women and other vulnerable groups' safety.

The production of chemicals has considerably increased in recent decades, such that today there are chemical production facilities and stockpiles in many countries and regions, which can pose major risks to human populations through potential explosions or environmental pollution. While many countries are Parties to international conventions, such as the Strategic Approach to International Chemicals Management, implementation capacity remains a challenge.

Increasing quantities of biological and chemical waste are produced and need to be correctly managed.

Radioactive materials are also widely present in industrial activities such as mining or oil refining as well as in hospitals for imagery and radiotherapy. These radioactive sources are often poorly managed and poorly stored and can seriously pollute the environment for many years. To avoid that, it is crucial to apply the best international standards in the regulatory process especially in those countries (i.e. Sub-Saharan African states) that are planning to enhance their uranium mining activities.

CBRN materials and agents have many important civilian uses, but many are also so-called 'dual-use goods', also called strategic goods, which are highly sensitive products and technologies that are used for both civilian and military applications (e.g. chemicals for explosives, radioactive sources for dirty bombs, or software technologies to engineer biological weapons or instigate mass violence through social media). They are also used to produce weapons of mass destruction. As highlighted by the G7 Non-Proliferation Directors Group in April, 2021, "The COVID-19 pandemic – by highlighting the impact of large scale disease outbreaks – has indirectly demonstrated how disruptive a potential deliberate biological event could be. It thus reinforces the importance of effective and tangible actions worldwide to counter deliberate biological threats".

Export controls of strategic goods, as implemented in all 27 EU member states, aim to administer and facilitate the international trade of dual-use goods. Effective strategic trade control systems are a major contribution to international peace and security as they combat the proliferation of weapons of mass destruction and related materials, equipment and technologies. Export controls create traceability, trust and business opportunities in trade and in foreign direct investment. They are, therefore, key for governments and high tech industries, particularly in light of rapid technological and scientific developments, international technology transfer, transformations in ever more interconnected economies and evolving proliferation threats.

Meanwhile, new scientific and technical developments give rise to new types of security and proliferation concerns, and an increase in actual or potential new dual use technologies and technology transfer. These challenges are exacerbated by the rapid spread of sensitive know-how via cyber space. Issues related to security and non-proliferation are no longer limited to nation states but extend to non-state actors, including those who use scientific

and technical knowhow for malicious purposes. These challenges require an adequate response, focusing on harnessing this knowhow for sustainable development and fostering peace and security.

## 2.2. Problem Analysis

Short problem analysis:

### EU Fundamental Values

The CBRN risks mitigation programme is global and targets several regions and countries worldwide. All its activities and operations will contribute to, and be accounted for under, the general objectives of the von der Leyen Commission: “A stronger Europe in the world” and “Promoting our European way of life”. The programme is based on the recognition of the growing inter-connection between internal and external security (EU’s **Security Union Strategy 2020-2025**). The adherence of partner countries to and respect of the fundamental values of democracy, human rights and the rule of law is monitored in close cooperation with other services of the European Union (i.e. other commission services and EEAS).

### CBRN Threats

The evolving nature of the CBRN threats facing the world today warrants new and adapted responses. In order to fulfil public health and security requirements, guarantee and protect human rights, protect the environment and build resilience, countries will not only have to carry out continuous monitoring of their population’s safety and security, but also develop the capacity to identify potential risks emerging internationally that could affect their population. Supporting EU partners to develop their security capacities in this area will enhance our mutual protection.

Weak governance, including fragmentation of responsibilities, lack of harmonized national preparedness and/or lack of controls on the trade in dual-use items, coupled with the diffusion dynamics of related sciences and technologies and the availability of open access knowledge and know-how, may be easily exploited by non-state actors to engage in illegal traffic in CBRN materials and related technologies.

At a global level, no single country has all the capabilities needed to respond to international public health emergencies caused by pandemics (like COVID-19), natural events (e.g. new and emerging infectious diseases) or major accidental disasters, environmental emergencies, chemical, biological or radiological attacks. Effective CBRN security requires cooperation and coordinated action between and within governments, the corporate sector, civil society, the media and individuals first at country level, then at regional level and finally with global actors.

### Key cross-cutting issues

CBRN threats evolve and are shaped by climate and environmental change. New diseases are emerging or spreading in countries where they were previously absent. The disruption of the ecological balance in many places leads to the multiplication of certain pathogens and increasingly resistant strains, with an increased risk of contamination of plants, animal and humans. A better awareness of these new biological threats with a harmonious coordination of the different sectors concerned is urgently needed. Capacity building for improved surveillance, early detection and adequate response plans is needed, together with procedures to ensure appropriate handling of potentially hazardous samples.

Likewise, due to an increase in droughts, floods, storms or pest invasions, climate change and related environmental degradation is impacting agricultural production, leading to the overuse of fertilizers and pesticides. This increase in chemicals should be carefully monitored with appropriate management and surveillance put in place with the objective to reduce the impact on food, water and soil quality, but also to prevent accidents (such as the Port of Beirut explosions) and any malicious diversion.

The role of women is crucial in dialogue facilitation, mediation, peace negotiations and other conflict prevention and resolution tools. In all our capacity building programmes, the EU encourage the participation of women as trainers and trainees. Until now a consistent presence of women has been recorded in the field of medical preparedness to respond to CBRN incidents and women associations are integrated in the activities aiming at fighting the illicit trafficking of falsified medicines. Special effort will be made to further explore how to implement specific gender sensitive measures to increase opportunities for women empowerment and gender equality.

### Relevance and credibility of Partner Country’s/Regional Policies and Strategies

The partner countries that have joined the EU CBRN Centres of Excellence Initiative, with very few exceptions, have lacked comprehensive public policies in CBRN risk mitigation. At the same time, they are Parties to various international conventions, treaties and regimes designed to ban proliferation activities, promote peaceful activities and strengthen national actions to ensure the safe management and prevent the misuse of CBRN agents, including by

terrorists and other non-state actors.

This is why the EU is supporting through this programme (a) the design of national strategies through the establishment of National Action Plans based on needs assessment and risk assessment, (b) the adoption of such plans by the government and (c) their subsequent implementation. Needs and threats are specific to each country, but once they are identified and prioritised, partner countries can look for synergies and cooperate to formulate projects for which a regional approach proves to be more effective. Hence, the actions that will be financed under this programme are mainly identified following a demand driven and inter-ministerial approach and have a regional scope. This approach is a transfer of the EU philosophy of cooperation and sharing of knowledge between partner countries. Using the structure and identification methodology of the Centres of Excellence Initiative, the CBRN scope can be progressively extended to other areas identified by the partner countries as emerging or underdeveloped regional CBRN related priorities. As of January 2021, 34 countries have completed their National Action Plan and 9 are in the process of drafting them.

The majority of partner countries cooperating in the field of strategic trade controls often lack the fundamental legislative and regulatory framework to ensure effective controls of the export, transit and brokering of dual-use items. A national roadmap is then established with the assistance of the EU Partner-to-Partner (P2P) Programme, which constitute a credible and relevant strategy for the development of a comprehensive strategic trade control system at the national level. The more advanced partner countries rely on the EU Dual-use Regulation and control lists, which guarantees a solid basis for national legal frameworks. Some regions, such as South-East Asia, are in the process of establishing strategic trade related regional policy priorities (e.g. regional use of the Association of Southeast Asian Nations-ASEAN single window for strategic trade). The EU supports the harmonisation of legal frameworks (based on the EU Regulation) at regional level, especially in the case of trade blocs, as well as trans-regionally whenever appropriate.

#### EU added value

The EU CBRN Centres of Excellence Initiative is unique in its scope and structure. It is demand-driven, responding to the needs and priorities identified by partner countries, which are also involved in setting joint priorities for action around CBRN related risks. There are no comparable initiatives of this nature funded by EU Member States or other countries or organisations in this field.

#### Complementarity with EU and other Donors/Partners

The EU CBRN Centres of Excellence Initiative is led by the Commission's Service for Foreign Policy Instruments (FPI), in close coordination with the European External Action Service (EEAS). The Joint Research Center (JRC) provides technical support to partner countries, while the United Nations Interregional Crime and Justice Research Institute (UNICRI) ensures a coherent and effective national, regional and international cooperation. Coherence, complementarity and synergies between global, national and regional programmes are ensured through close coordination with the EU Delegations and INTPA/NEAR geo-desks and in the framework of high-level Security and Counter Terrorism (CT) Dialogues, as well as political and cooperation dialogues and the actions of the Network of key CT/Security experts deployed in the EU Delegations.

Synergies are sought with other EU funded initiatives regarding prevention, preparedness and response to natural and man-made disasters such as: the Prevention Preparedness and Response to Disasters programmes in the Middle East and North Africa; Instrument for Pre-accession Assistance regional programmes, twinning and Technical Assistance and Information Exchange (TAIEX) instrument (implemented by DG NEAR and DG ECHO); the Initiative on Health Security (managed by DG NEAR); activities under the European Union Civil Protection Mechanism (managed by DG ECHO); the CBRN Community of Users (DG HOME); and with other activities (like training courses) on the area of rapid response and preparedness implemented by other DGs (DG TAXUD for example), as well as Research & Innovation actions (e.g. the European and Developing Countries Clinical Trials Partnership – EDCTP or the Global Research Collaboration for Infectious Disease Preparedness network - GloPID-R). Collaboration with the Instrument for Nuclear Safety Cooperation will be reinforced (in particular in Central Asia and Africa) and common projects (e.g. water security, transport of radio-nuclear materials) will be promoted to address these issues.

With regard to coordination with international organisations, cooperation is taking place mainly with the World Health Organization, United Nations Office on Drugs and Crime, the International Atomic Energy Agency, the Committee under United Nations Security Council Resolution 1540, the Organisation for the Prohibition of Chemical Weapons, the Biological and Toxin Weapons Convention, NATO, the International Crime Police organization, the G7 Global Partnership Programme Against the Spread of Weapons and Materials of Mass Destruction (e.g. through thematic workshops, regular meetings, ad hoc conferences, joint activities, etc.). This is enabling the exchange of information, ensuring better coordination and avoiding any overlaps of activities.

Coordination also takes place with regional organisations (e.g. with ASEAN, the African Union). In Central Asia and Afghanistan, synergies will also be sought with the long-established Integrated Border Management Programme.

Two intergovernmental organisations, the Science and Technology Center Ukraine (in Kyiv) and the International Science and Technology Center (in Nur-Sultan), exist to support the redirection of scientists and engineers with dual use knowledge and the implementation of CBRN activities. The EU is a member of both organisations and coordination takes place with other member countries, including as the United States and Japan.

In the field of export controls, a coordination working group has been established with the United States so as to share ideas on threat prioritization and impact assessment tools and to discuss intervention strategies in priority countries. Joint and complementary efforts in the field have consistently yielded better project results in partner countries. More coordination is planned with Japan and Korea so as to increase synergies in South East Asia. Since 2015, Strategic Trade Controls have been integrated into Non-Proliferation Dialogues with third countries, Common Foreign and Security policy funded conventional arms trade related projects were associated to the EU P2P Programme branding. Since 2015, more regional efforts have been deployed including in the Gulf, Middle East, South East Asia, North Africa and the Western Balkans. Efforts will continue to increase regional and also trans-regional cooperation on export controls of dual-use goods.

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

The main stakeholders are the national and regional authorities, administrative infrastructures and agencies in charge of CBRN governance, as well as civil society, such as industry representatives, EU professional associations, individual scientists and engineers, academics and, ultimately, the citizens of the countries benefiting from these actions. Indirectly, the EU internal security in this area will be enhanced and EU citizens will benefit from increased safety and security resulting from these measures.

### 3. DESCRIPTION OF THE ACTION

#### 3.1. Objectives and Expected Outputs

The Overall Objective (Impact) of this action is to address specific global and trans-regional threats to peace, international security and stability, through enhancing governance and cooperation on CBRN risk prevention, detection and mitigation.

The Specific(s) Objective(s) (Outcomes) of this action are:

1. Improved detection of and mitigation against risks related to CBRN materials or agents and risks related to installations or sites through the EU CBRN Centres of Excellence Initiative and associated actions;
2. Enhanced capacities on strategic trade controls of dual-use goods;
3. Enhanced international scientific cooperation and knowledge on CBRN related security issues, promoting a culture of safety and security and responsible science and engineering.

The Outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are:

- 1.1 Effective CBRN risk mitigation and security governance mainly through the EU CBRN Centres of Excellence Initiative.
- 1.2 Strengthened cooperation in CBRN risk mitigation among EU CBRN Risk Mitigation Centres of Excellence Initiative partners of a given region and among different regions for exchanging best practices and lessons learnt.
- 1.3 Increased capacity of partner countries to deal with safety and security challenges related to biological threats and CBRN related disaster relief.
- 2.1 Reinforced legal capacities in partner countries to enable them to enhance strategic trade controls legal and regulatory frameworks.
- 2.2 Improved capacities in partner countries to establish, implement and enforce strategic trade controls of dual-use items.
- 2.3 Reinforced communities of practice of export controls stakeholders.
- 2.4 Enhanced coordination, dialogue and synergies with donors and principal stakeholders.
- 3.1 Activities and membership in the International Science and Technology Center and the Science and Technology Center in Ukraine are promoted and expanded geographically.
- 3.2 Increased retraining and alternative employment (peaceful research activities or commercial programmes) of scientists having dual use technology knowledge.

### 3.2. Indicative Activities

Type of activities this action might fund:

#### Output 1.1

- Organise needs assessment exercises and workshops to draft the CBRN national and regional action plans and promote their implementation
- Identify, formulate and contract regional and global projects, following the demand-driven approach. Non exhaustive list of activities that can be funded:
- measures for assuring that all the legislative framework, regulations and standards of the countries are in conformity with international rules and regulations;
- measures for assuring the safety of personnel working with dangerous biological agents, or dangerous chemicals at relevant facilities;
- measures to establish bio risk management systems preferably based on relevant EU and international biological risk management standards, best practices and guidelines;
- measures to assure effective controls and protection against illegal or unintentional release of dangerous biological agents, chemical compounds or radioactive/nuclear materials;
- measures to determine the effect of releases, accidental or intentional, of pathogenic agents, chemical compounds or radioactive/nuclear materials;
- measures to ensure the proper management of CBRN waste;
- capabilities to investigate and diagnose any events that might be caused by CBRN agents, including those escaping controls;
- measures against plant and livestock pathogens that present risks in respect of assuring food safety;
- capabilities and measures for reference laboratories in chemical and biological risks: detection and identification (both environmental as well as for diagnosis purposes in the biological field);
- capabilities and measures to ensure safe and secure transport of biological agents between laboratories;
- reference laboratories in radioprotection/detection/identification capabilities and protection of radioactive sources;
- enhancing the safety and security levels of laboratories and institutes that handle sensitive materials, including by equipment supply;
- training of first responders in the context of regional preparedness and response; training of field epidemiologists;
- export and border control;
- training of trainers (women and people representing minority groups will be encouraged to participate);
- Organize regional and inter-regional meetings, and global annual meetings gathering representatives of the partner countries' governments;
- Organize high level meetings at ministerial level to raise awareness and enhance political support in cooperation with EU Delegations
- Consolidate the functioning and coordinating role of the eight regional CBRN risk mitigation Centres of Excellence within the regional and international security framework;
- Provide on-site technical assistance in each region;
- Provide capacity building opportunities for the national focal points to increase leadership, team management and communication skills;
- Maintain and promote the CBRN knowledge sharing platform, websites and databases accessible for Civil Society Organisations and other stakeholders, such as academia;
- Enhancing the coordination between international partners and organisations in the different aspects of chemical, biological, radiological and nuclear security.

#### Output 2.1:

- Supporting countries which expressed their willingness to share common legal structures, applying comparable assessment criteria and procedures to establish "safe" regions with respect to foreign trade activities and harmonisation of export control legislation;
- Developing new tools for cooperation in countries or regions affected by conflicts together with the local authorities and exploit potential synergies in the field of CBRN risk mitigation. The aim of these tools is to establish export control programmes for dual use items e.g. risk analysis, law enforcement, customs, updating licensing processing systems, transfer and transshipment of sensitive goods;



- Promoting a regulatory framework, covering primary and, where applicable, secondary legislation, including procedural questions;
- Implementing a licensing processing system that pays particular attention to questions around end use and end user assessment techniques;
- Developing an outreach to industry (including academia and research community) programme, that provides timely, adequate information and fosters interaction between government and industry in a dialogue to increase awareness and cooperation;
- Strengthening the enforcement sector, by addressing customs with specific topics, e.g. on risk management and commodity identification techniques, but with information exchange tools to other government authorities as well.
- To organize EU Partner2Partner (P2P) Programme Summer University and other networking events with the export control regimes.

#### Output 3.1:

- Supporting the European Union's share of the running costs of the ISTC and STCU;
- Providing scientists and engineers who hold knowledge or skills which can be considered sensitive with opportunities for training, networking and alternative employment where their knowledge and skills can be used for peaceful activities;
- Raising awareness through actions addressed to the scientists engaged in activities that require the use of dangerous materials about the safety and security risks;
- Supporting basic and applied research that will contribute to solving national and global technological problems, including forensics;
- Promoting networking and partnering in order to encourage the integration of scientists with dual use knowledge into the international scientific community;
- Maintaining the possibility of the existing ISTC and STCU to implement the projects but also opening the activities of alternative scientist employment under the CBRN Centres of Excellence Initiative's activities and on a multilateral/bilateral basis with individual countries when urgent emerging needs arise.

### 3.3. Mainstreaming

#### **Environmental Protection & Climate Change**

CBRN threats evolve due to climate and environmental change. The geographic scope of vector-borne diseases is gradually shifting northward, reaching previously unexposed populations. Likewise, biodiversity loss is altering the interconnections between animals, pathogens and humans, with the rise of known or new zoonotic diseases. Increasing periods of drought as well as pest invasions reduce agricultural production which stimulates the overuse of fertilizers and pesticides.

The CBRN Centres of Excellence Initiative aims to develop better knowledge of these diseases in partner countries with improved coordination between the different sectors and the establishment of sensitive detection systems and adapted response plans. It also aims at setting more sound and secure management of chemicals, their storage and their waste.

The Initiative will help to establish the one-health approach, a single platform gathering the various actors together with rapid data sharing and fostering integrated cross-sectoral collaboration at the human-animal-plants interface and their shared environment. It is promoting early warning systems and a focus on security aspects linked to the handling of dangerous biological samples, together with the adoption of appropriate operating procedures in order to decrease the risks of accidents or potential malicious use.

Better management and control of all CBRN materials, such as those used in mining industries, chemical plants, illegal dump sites or intensive farming, can reduce their impact on natural resources and enhance resource efficiency.

#### **Gender equality and empowerment of women and girls**

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G0. This implies that it is not a significant objective of the action. Nonetheless, attention will be given to SDG 5 "Gender equality" by ensuring participation of women in awareness campaigns and in the risk management decision making, etc. In addition, CBRN capacity building activities must be designed to ensure there is no stigmatization of beneficiaries nor undue burden or expectation, in particularly with regards to women.

#### **Disability**

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0.

### **Conflict sensitivity, peace and resilience**

Through SDG 16, the international community is promoting resilience by strengthening relevant national institutions to prevent the intentional release of CBRN materials. Conflicts can fuel the spread of CBRN weapons and related technologies and CBRN risk mitigation related interventions will be more effective when they are conflict sensitive.

### **Disaster Risk Reduction**

As mentioned 2.2 under “Complementarity with EU and other Donors/Partners” synergies will be sought with other EU funded initiatives regarding prevention, preparedness and response to natural and man-made disasters such as, as well as Research & Innovation actions. Collaboration with the Instrument for Nuclear Safety Cooperation will be reinforced and common projects will be promoted to address these issues.

## 3.4. Risks and Lessons Learnt

<b>Category</b>	<b>Risks</b>	<b>Likelihood (High/ Medium/ Low)</b>	<b>Impact (High/ Medium/ Low)</b>	<b>Mitigating measures</b>
General	Difficulties with gaining access to reliable data and sites (when pertinent disaggregated by sex and nationality).	M	M	The Commission services and the European External Action Service (EEAS) will play a key role in contacting and involving targeted countries and has already established a network of contacts. The Needs Assessment Questionnaire (NAQ) and the National Action Plans (NAP) ensure consistency and ownership and contribute to minimize this risk.
General	Difficulties in addressing countries' requirements	M	M	The technical support will be provided mainly by the JRC - follow-up of implementation, technical compliance of proposals, etc. - and by targeted on-site assistance. Staff in EU DELs will also support these activities.
General	Engaging national agencies responsible for dealing with CBRN threats	M	M	The integrated NAQs and the formulation of a NAP help to engage relevant agencies and ministries from partner countries. A specific governance team has been providing support. They have transferred best practices and dealt with the inter agency dimension. Relevant EU Delegations have been asked to nominate focal points for CBRN actions.
General	Frequent government restructuring, lack of clear delineation of duties and responsibilities between federal agencies; changes in the composition of national teams (NT)	M	M	The Regional Secretariats and National Focal Points are invited to inform promptly the Commission and EU DELs about potential changes in the partner countries, which might affect the work of NT.
General	Industry remains unconvinced of the benefits of an efficient export control system, or is deterred by bureaucratic procedures, delays and administrative hurdles	H	H	The EU Export Control outreach programme will address, among others, industry representatives.
General	Industry and scientific community's relations to the State are still marked by caution and suspicion, and the related temptation to perform external economic operations without consideration of the relevant legislation	M	M	The role of National Focal Points and National Teams should be further enhanced. It is important to provide the sufficient political support to the Initiative at the national level to reinforce the inter-ministerial working level of cooperation through methodology and projects.

General	Human rights violations/harm	M	M	The “Do not harm” principle will aim to avoid/mitigate any intended/indirect human right violation/harm (e.g.: UN Guidelines for Human Rights and Business will be respected). The “leave no one behind” principle will be ensured by the bottom up approach, the inclusion and the active participation of civil society organisations (CSOs) and academia actors.
General	Political instability and regional security threats in the partner countries or neighbouring countries. Natural disasters and infectious diseases.	H	H	Where infectious diseases or other health risks emerge, these will be monitored closely. If it becomes unsafe or logistically impracticable to conduct a visit, training or workshop at the scheduled time, the activities will be deferred or transferred on line.

### Lessons Learnt:

In the last 10 years, the Court of Auditors has twice assessed the extent to which the EU CBRN Centres of Excellence Initiative has contributed to mitigating CBRN risks from outside the EU. The latest report published in 2018<sup>3</sup> acknowledges that the Initiative has contributed to mitigating CBRN threats and that the governance of the Initiative has significantly matured and evolved, but that many challenges remain. In the report, the auditors recommended: to prioritise activities on the basis of a systemic risk assessment; to strengthen the Initiative's regional dimension; to further strengthen the EU delegations' role in the Initiative; identify potential synergies and other available funding sources; to increase accountability and visibility of activities and results through improved monitoring and evaluation and overhaul the CBRN web portal.

Since the publication of the report, the following actions have been taken:

- a systemic risk assessment component has been introduced in the needs assessment and national action plan methodologies, and a methodology for prioritising. The evaluation of external risks to the EU will be gradually implemented through the development of country profiles using open source data integrated into structured methodological tool enabling the assessment of priority countries and impact of the EU CBRN Centres of Excellence Initiative.
- regional activities including field and table top exercises at regional level are being promoted and implemented in all regions. Centres of Excellence Regional round tables show an increasing level of ownership and more initiatives for regional networking, cooperation and set up of activities as well as outreach towards international or regional organisations.
- all projects results are monitored by external consultants at least once and subject to a final evaluation carried out by JRC. Work has been done to improve the projects individual Logical Framework Matrix and the reporting tools. A comprehensive evaluation of the EU's cooperation with the Science Centres (ISTC and STCU) is planned for 2021.
- focal points at the EU Delegations in partner countries are appointed, and regular contacts are in place to enhance the Initiative's visibility. CBRN risk mitigation related issues have been incorporated into agenda of respective dialogues (political, security, cooperation) with partner countries.

### 3.5. The Intervention Logic

The underlying intervention logic for this action is that

**IF** effective CBRN risk mitigation and security governance is reinforced, mainly through the EU CBRN Risk Mitigation Centres of Excellence Initiative (**Output - Op 1.1**): specific CBRN technical assistance continues to be deployed in all regions; awareness is raised at the level of decision makers; capacities are built to prevent and respond to CBRN accidents based on sound risk assessments; advice is provided to revise legal frameworks and standard operating procedures;

**IF** the cooperation among EU CBRN Risk Mitigation Centres of Excellence Initiative partners is strengthened at regional, inter-regional and global level for exchanging best practices and lessons learnt (**Op 1.2**): the functioning and coordinating role of the eight regional CBRN risk mitigation Centres of Excellence within the regional and international security framework is consolidated; the participatory approach is maintained; the participation of national/regional experts of the partner countries is encouraged; duplication of efforts is avoided through coordination with other actors; so that common challenges are tackled at regional and global level;

**IF** the capacity of partner countries to deal with security challenges related to biological threats and CBRN related

<sup>3</sup> <https://www.eca.europa.eu/en/Pages/DocItem.aspx?did=46023>

disaster relief is increased (**Op 1.3**);

**IF** the legal capacities in partner countries to enable them to enhance strategic trade controls legal and regulatory frameworks are reinforced (**Op 2.1**);

**IF** the capacities in partner countries to establish, implement and enforce strategic trade controls of dual-use items are improved (**Op 2.2**);

**IF** coordination, dialogue and synergies with donors and principal stakeholders active in export control are enhanced (**Op 2.3**);

**IF** activities and membership in the International Science and Technology Center and the Science and Technology Center in Ukraine are promoted and expanded geographically (**Op 3.1**);

**IF** retraining and alternative employment (peaceful research activities or commercial programmes) of scientists having dual use technology knowledge is increased (**Op 3.2**);

**THEN** the detection of and mitigation against risks related to CBRN materials or agents and risks related to installations or sites through the EU CBRN Centres of Excellence Initiative and associated actions will be improved (**Outcome - O 1**); the capacities on strategic trade controls of dual-use goods will be enhanced (**O 2**); international scientific cooperation and knowledge on CBRN related security issues, promoting a culture of safety and responsible science and engineering will be enhanced (**O 3**);

This cause-effect relationship is based on the assumptions that (i) partner countries have the political leverage to allow the implementation of CBRN policies and are willing to commit to regional cooperation (ii) partner countries are willing to fulfil their obligations under the UN SCR 1540 (iii) partner countries provide access to relevant and reliable data and information; (iv) new threats do not emerge which draw resources away from the main programme outlined here.

The above described actions will contribute in the longer-term to enhance governance and cooperation on CBRN risk detection and mitigation hence addressing specific global and trans-regional threats to peace, international security and stability (**Impact**),

The logic of intervention of the EU CBRN Risk Mitigation Centres of Excellence Initiative advocates for a demand driven and regional approach. This methodology ensures the cooperation of the partner countries in the design of projects with regional interest. This should create a more genuine sense of ownership and should increase the chances of sustainability of their outcomes and of the Initiative as a whole.

In case of emerging and urgent needs to mitigate CBRN imminent risks (regional/trans-regional or global) some funds can be re-directed to actions to be identified in coordination with the other services of the Commission to avoid duplications, as it was the case for the Covid-19 response. The final decisions on the selection and funding of these specific projects will be made in close coordination also with the institutions of the target countries and with the international organisations. The number of such projects will be limited compared to those initiated by the EU CBRN Centres of Excellence Initiative. Where relevant, Centres of Excellence partner countries will be regularly updated on such activities outside of their geographical scope to ensure consistency.

### 3.6. Logical Framework Matrix

Results	Results chain (@): Main expected results (maximum 10)	Indicators (@): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
<b>Impact</b>	To address specific global and trans-regional threats to peace, international security and stability, through enhancing governance and cooperation on CBRN risk detection and mitigation.	1.1 Number of countries supported by this action implementing obligations under CBRN-related international conventions and treaties (CBRN prohibition instruments)	To be defined	To be defined	Multiple	<i>Not applicable</i>
<b>Outcome 1</b>	1 Improved detection of and mitigation against risks related to CBRN materials or agents and risks related to installations or sites through the EU CBRN Centres of Excellence Initiative and associated actions	1.1 Number of countries where safety and security measures that enhance governance and cooperation on CBRN risk detection and mitigation have been undertaken at country and/or regional level 1.2 Number of security measures related to Number of countries where revised/updated national strategies and policies on crisis management, dealing especially with security challenges related to pandemics and natural or man-made disasters, have been adopted	1.1 0 1.2 0	To be defined	Baseline and end line mapping reports on safety and security measures for risk mitigation at country/regional level	Partner countries have the political leverage to allow the implementation of CBRN policies and are willing to commit to regional cooperation
<b>Outcome 2</b>	2 Enhanced capacities on strategic trade controls of dual-use goods	2.1 Number of partner countries using the EU Dual use list as a reference	2.1 0	To be defined	Baseline and end line mapping reports on safety and security measures for risk mitigation at country/regional level	
<b>Outcome 3</b>	3 Enhanced international scientific cooperation and knowledge on CBRN related security issues, promoting a culture of safety and responsible science and engineering	3.1 Number of scientists (disaggregated by sex) with sensitive or dual use knowledge integrated into the international scientific community	3.1 0	To be defined	Reports provided by ISTC and STCU	
<b>Output 1 related to Outcome 1</b>	1.1 Effective CBRN risk mitigation and security governance mainly through the EU CBRN Risk Mitigation Centres of Excellence Initiative	1.1.1 Number of state institutions supported with drafting/reviewing the CBRN National Action Plans (NAP) and performing risk assessment exercises 1.1.2 Number of state institutions supported with legal frameworks or Standard Operating procedures (SOPs) review, revision or development related to CBRN matters 1.1.3 Number of experts and officials (disaggregated by sex) of the partner countries that report increased knowledge on best practices and lessons learnt on	1.1.1 0 1.1.2 0 1.1.3 0	To be defined	Reports provided by implementers	

		CBRN risk mitigation at regional and global level				
<b>Output 2 related to Outcome 1</b>	1.2 Strengthened cooperation in CBRN risk mitigation among EU CBRN risk mitigation Centres of Excellence Initiative partners of a given region and among different regions for exchanging best practices and lessons learnt	1.2.1 Number of global, regional and inter-regional cooperation events for exchange of best practices and lessons learnt on CBRN risk mitigation organised	1.2.1 0	To be defined	Reports provided by implementers	
<b>Output 3 related to Outcome 1</b>	Increased capacity of partner countries to deal with security challenges related to biological threats and CBRN related disaster relief	1.3.1 Number of countries supported by actions for improving their national health security strategy, including pandemic preparedness and response	1.3.1 0	To be defined	Reports provided by implementers	
<b>Output 1 related to Outcome 2</b>	2.1 Reinforced legal capacities in partner countries to enable them to enhance strategic trade controls legal and regulatory frameworks	2.1.1 Number of state institutions supported with the review, revision and/or development legal frameworks in light of the EU's dual use regulation and the EU dual-use export control list	2.1.1 0	To be defined	Reports provided by implementers	
<b>Output 2 related to Outcome 2</b>	2.2 Improved capacities in partner countries to establish, implement and enforce strategic trade controls of dual-use items	2.2.1 Number of experts (disaggregated by sex) of the partner countries that report increased knowledge on strategic trade control as a result of conferences, workshops or dialogue events	2.2.1 0	To be defined	Reports provided by implementers	
<b>Output 3 related to Outcome 2</b>	2.3 Enhanced coordination, dialogue and synergies with donors and principal stakeholders	2.3.1 Number of activities (i.e. conferences, workshops and dialogue events) jointly carried out with other donors in the field of strategic trade control	2.3.1 0	To be defined	Reports provided by implementers	
<b>Output 1 related to Outcome 3</b>	3.1 Activities and membership in the International Science and Technology Center and the Science and Technology Center in Ukraine are promoted and expanded geographically	3.1.1 Number of countries of strategic importance where a culture of safety and responsible science with respect to the handling and use of CBRN materials or related equipment and technologies is promoted.; 3.1.2 Number of activities (i.e. conferences, workshops and dialogue events) jointly carried out with other donors in the field of responsible science	3.1.1 0 3.1.2 0	To be defined	Reports provided by ISTC and STCU	
<b>Output 2 related to Outcome 3</b>	3.2 Increased retraining and alternative employment (peaceful research activities or commercial programmes) of scientists having dual use technology knowledge	3.2.1 Number of scientists (disaggregated by sex) with sensitive or dual use knowledge participating in research and technology projects with peaceful application (responsible science)	3.2.1. 0	To be defined	Reports provided by ISTC and STCU	

## 4. IMPLEMENTATION ARRANGEMENTS

### 4.1. Financing Agreement

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

### 4.2. Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of adoption by the Commission of this Financing Decision.

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

### 4.3. Implementation Modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures<sup>4</sup>.

#### 4.3.1. Direct Management (Procurement)

The specific objectives 1 and 2 will be achieved mainly in direct management, through the conclusion of contracts with third parties. Exceptionally, one call for service tender will be launched (indicatively) in the third quarter of 2021 under a suspensive clause prior to the adoption of this decision: Contribution to the establishment and development of EU Centres of Excellence Governance, phase V. This contract will focus on strengthening the governance aspects of the initiative at all levels and fostering the anchoring of the initiative.

#### 4.3.2. Indirect Management with international organisations

A part of this action may be implemented in indirect management with an entity, which will be selected by the Commission's services using the following criteria: (1) the long-standing experience of these organisations in dealing with CBRN issues (2) anchorage with local authorities and existing expert networks (3) experience in procurement of services and equipment specific to the security domain.

The selected entities will carry out the following tasks among others: managing procurement procedures for purchasing goods, contracting consulting services and any other relevant transactions; contributing to the administrative budget according to the respective International Establishing Agreements; coordinating CBRN Centres of Excellence Regional Secretariats and organising regional and inter-regional meetings; conducting promotion and visibility activities, following up of the implementation of CBRN national and regional action plans. This will contribute to achieve the expected results under the three specific objectives of this action document.

#### 4.3.3. Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances

In the interest of the programme, or if the negotiations with the selected entities fail, that part of this action may be implemented in direct (or indirect) management.

### 4.4. Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

<sup>4</sup> [www.sanctionsmap.eu](http://www.sanctionsmap.eu). Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

#### 4.5. Indicative Budget

<b>Indicative Budget components</b>	<b>EU contribution (amount in EUR)</b>
<b>O1. Improved detection of and mitigation against risks related to CBRN materials or agents and risks related to installations or sites through the EU CBRN Centres of Excellence Initiative and associated actions</b> composed of	18 000 000
Procurement (direct management) – cf. section 4.3.1	16 000 000
Indirect management with international organisations - cf. section 4.3.2	2 000 000
<b>O2. Enhanced capacities on strategic trade controls of dual-use goods</b> composed of	3 000 000
Procurement (direct management) – cf. section 4.3.1	3 000 000
<b>O3. Enhanced international scientific cooperation and knowledge on CBRN related security issues, promoting a culture of safety and responsible science and engineering</b>	is covered by 2021 Individual Measure
<b>Procurement</b> – total envelope under section 4.3.1	19 000 000
<b>Evaluation</b> – cf. section 5.2	will be covered by another Decision
<b>Audit</b> – cf. section 5.3	
<b>Communication and visibility</b> – cf. section 6	will be covered by another Decision
<b>Contingencies</b>	N/A
<b>Totals</b>	21 000 000

#### 4.6. Organisational Set-up and Responsibilities

The Commission will coordinate and lead the implementation of this action partly through the procurement of service and supply contracts and partly by entrusting tasks to international organisations in which case the Commission will be closely involved through a Steering and/or Coordination Committee.

The Commission is also a permanent member of the ISTC and STCU Governing Boards, representing the EU.

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

## 5. PERFORMANCE MEASUREMENT

### 5.1. Monitoring and Reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (Outputs and direct Outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality).

When training courses are delivered as part of the activities of a project, entry and exit tests will be done to assess the increased capacities of the trainees.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

### 5.2. Evaluation

Having regard to the nature of the action, evaluations of single components/projects are carried out via an implementing partner.



The Commission may, during implementation, decide to undertake mid-term or final evaluations for duly justified reasons either on its own decision or on the initiative of the partner.

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

### 5.3. Audit and Verifications

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

## 6. COMMUNICATION AND VISIBILITY

Communication and visibility is a contractual obligation for all entities implementing EU-funded external actions to advertise the European Union's support for their work to the relevant audiences.

To that end they must comply with the instructions given in the [Communication and Visibility Requirements of 2018](#) (or any successor document), notably with regard to the use of the EU emblem and the elaboration of a dedicated communication and visibility plan, to be completed for every action at the start of implementation.

These obligations apply equally, regardless of whether the actions concerned are implemented by the Commission, the partner country (for instance, concerning the reforms supported through budget support), contractors, grant beneficiaries or entrusted entities. In each case, a reference to the relevant contractual obligations must be included in the respective financing agreement, procurement and grant contracts, and delegation agreements.

Communication and visibility measures may be funded from the amounts allocated to the action. For the purpose of enhancing the visibility of the EU and its contribution to this action, the Commission may sign or enter into joint declarations or statements, as part of its prerogative of budget implementation and to safeguard the financial interests of the Union. Visibility and communication measures should also promote transparency and accountability on the use of funds.

Effectiveness of communication activities on awareness about the action and its objectives as well as on EU funding of the action should be measured.

Implementing partners shall keep the Commission and concerned EU Delegation/Office fully informed of the planning and implementation of specific visibility and communication activities before work starts. Implementing partners will ensure adequate visibility of EU financing and will report on visibility and communication actions as well as the results of the overall action to the relevant monitoring committees.

## APPENDIX 1 REPORTING IN OPSYS

An Intervention<sup>5</sup> (also generally called project/programme) is the operational entity associated to a coherent set of activities and results structured in a logical framework aiming at delivering development change or progress. Interventions are the most effective (hence optimal) entities for the operational follow-up by the Commission of its external development operations. As such, Interventions constitute the base unit for managing operational implementations, assessing performance, monitoring, evaluation, internal and external communication, reporting and aggregation.

Primary Interventions are those contracts or groups of contracts bearing reportable results and respecting the following business rule: ‘a given contract can only contribute to one primary intervention and not more than one’. An individual contract that does not produce direct reportable results and cannot be logically grouped with other result reportable contracts is considered a ‘support entities’. The addition of all primary interventions and support entities is equivalent to the full development portfolio of the Institution. Primary Interventions are identified during the design of each action by the responsible service (Delegation or Headquarters operational Unit).

The level of the Primary Intervention is defined in the related Action Document and it is revisable; it can be a(n) (group of) action(s) or a (group of) contract(s). Tick in the left side column one of the three possible options for the level of definition of the Primary Intervention(s) identified in this action. In the case of ‘Group of actions’ level, add references to the present action and other action concerning the same Primary Intervention. In the case of ‘Contract level’, add the reference to the corresponding budgetary items in point 4.6, Indicative Budget.

<b>Option 1: Action level</b>		
<input type="checkbox"/>	Single action	Present action: all contracts in the present action
<b>Option 2: Group of actions level</b>		
<input type="checkbox"/>	Group of actions	Actions reference (CRIS#/OPSYS#):
<b>Option 3: Contract level</b>		
<input checked="" type="checkbox"/>	Single Contract 1	To be defined
<input checked="" type="checkbox"/>	Single Contract 2	To be defined
<input checked="" type="checkbox"/>	Single Contract 3	To be defined
<input checked="" type="checkbox"/>	Single Contract 4	To be defined
<input checked="" type="checkbox"/>	Single Contract 5	To be defined
<input checked="" type="checkbox"/>	Single Contract 6	To be defined
<input checked="" type="checkbox"/>	Single Contract 7	To be defined
<input checked="" type="checkbox"/>	Single Contract 8	To be defined
<input checked="" type="checkbox"/>	Single Contract 9	To be defined
<input checked="" type="checkbox"/>	Single Contract 10	To be defined
<input type="checkbox"/>	Group of contracts 1	

<sup>5</sup> [ARES \(2021\)4204912](#) - For the purpose of consistency between terms in OPSYS, DG INTPA, DG NEAR and FPI have harmonised 5 key terms, including ‘action’ and ‘Intervention’ where an ‘action’ is the content (or part of the content) of a Commission Financing Decision and ‘Intervention’ is a coherent set of activities and results which constitutes an effective level for the operational follow-up by the EC of its operations on the ground. See more on the [concept of intervention](#).