|  |
| --- |
| *Please delete this box after filling in the section below*  **Purpose and use of Action Document (AD):**   * Provides a justification for the adoption of a financing decision, which consists of the Commission Implementing Decision and the annexed Action Documents (AD). Each AD approved in the quality review process, consulted with relevant line-DGs during inter-service consultation and validated by Member States in the IPA III Committee is included as an annex to the corresponding Commission Implementing Decision. * Serves as the basis for drafting the Technical and Administrative Provisions (TAPs), which are attached as Annex 1 to the corresponding financing agreements (see Appendix 2 to this AD template). * Provides the key elements for the implementation phase[[1]](#footnote-2), in particular the detailed Intervention[[2]](#footnote-3) descriptions.   Please consult ***DG NEAR Manual of Procedures (MAP)*** for more information on the drafting of ADs ([Section D.1](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=180685980)), the procedure for the Financing Decision ([Section.D2](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=180685982#rfa-1)), and the procedure for concluding financing agreements ([Section D.3](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=180685986)). Please note that this is European Commission (EC) internal document, and accessible only with an EU Login.  **How to complete the AD template:**   * Instructions on how to fill in the template are in blue boxes under each heading. Once you have completed the corresponding section, please delete the blue text box and corresponding footnotes. * Delete or replace the text in <yellow> where applicable. * Some sections of the template include [options] highlighted in grey. Delete the option(s) that are not applicable. * Tip to navigate through the document: Tick ‘Navigation Pane’ in ‘View tab’.   **Style Guide for the AD template:**   * Use font Times New Roman size 12. * Use correct English dictionary (Ireland). * Spell out acronyms or abbreviations when mentioned for the first time, e.g. United Nations High Commissioner for Refugees (UNHCR). * Use the following format for amounts: “EUR 1 000 000.00”. * Provide correct cross-reference and format for any document mentioned in the text. * Use neutral language (e.g. EU position in conflict areas). * Refer to the [European Union Interinstitutional Style Guide](https://publications.europa.eu/code/en/en-000300.htm) or the EC internal [European Commission Style Guide](https://myintracomm.ec.europa.eu/sg/Documents/commission_style_guide.pdf).   **Where to find methodological guidance:**   * Links to relevant guidance on how to fill in the AD are accessible via hyperlinks @. Please delete all the hyperlinks indicated with the symbol “@” once the draft is finalised, as they are part of the instructions. * Useful links to tools and methods for: * [DG NEAR Guidelines on linking planning/programming, monitoring and evaluation](https://ec.europa.eu/neighbourhood-enlargement/dg-near-guidelines-linking-planningprogramming-monitoring-and-evaluation_en) * EC internal [Intervention Cycle Management](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/) * EC internal [DG NEAR Programming, Monitoring & Evaluation Wiki](https://webgate.ec.europa.eu/fpfis/wikis/spaces/viewspace.action?key=NEARGuidelines) * EC internal [Methodological fiches](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=617316489) (incl. guidelines on Stakeholders Analysis; Risk Analysis, Mainstreaming, etc.) * Relevant EC internal Thematic Units’ Intranet pages * Make use of the guidance provided in the [IPA III Programming Framework](https://ec.europa.eu/neighbourhood-enlargement/system/files/2022-01/C_2021_8914_COMMISSION_IMPLEMENTING_DECISION_EN.pdf) and of the documentation available on the EC internal DG [NEAR intranet](https://myintracomm.ec.europa.eu/dg/devco/thematic-activities/Pages/index.aspx). * Resources for Team Europe available in the EC internal [in the INTPA intranet](https://myintracomm.ec.europa.eu/dg/INTPA/eu-development-policy/team_europe/Pages/index.aspx). * Guidance on mainstreaming of environment and climate change as well as on Rio markers is provided in the [Guidelines on Integrating the environment and climate change into EU international cooperation and development](https://europa.eu/capacity4dev/public-environment-climate/documents/new-guidelines-integrating-environment-and-climate-change-eu-international-cooperation-0).   *N.B.: Chapter III (Action plans, measures and implementing methods) of Title II of the Neighbourhood, Development and International Cooperation Instrument – Global Europe (NDICI - GE) Regulation shall apply to IPA III Regulation with the exception of paragraph 1 of Article 28 (eligible persons and entities).* |

**EN**

**This action is funded by the European Union**

Annex <number[[3]](#footnote-4)>

of the Commission Implementing Decision on the <title of the Decision>

Action Document for <title of the action as in Article 1 of the Decision>

**[Annual] [Multiannual] [Action plan] [Measure]**

This document constitutes the [annual] [multiannual] work programme in the sense of Article 110(2) of the Financial Regulation, and annual and multiannual action plans and measures in the sense of Article 9 of IPA III Regulation and Article <[23(2)/(3)/(4)] [23(3) and 23(5)][[4]](#footnote-5)> of NDICI - Global Europe Regulation.

# SYNOPSIS

|  |
| --- |
| *Please delete this box after filling in the section below*  It is recommended that Section 1 of this document be filled in once the rest of the AD has been completed.  In the Action Summary Table below, delete/replace the text in <yellow>, ensuring consistency with the more detailed analysis and text in the subsequent sections of the document.  Choose the relevant option when the template indicates several [possible choices].  Please delete all the hyperlinks indicated with the symbol “@” once the draft is finalised. |

# Action Summary Table[[5]](#footnote-6)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Title** | < Action title as in Article 1 of the Commission Decision>  < [Multi-country] [Annual][Multi-annual] [action plan][measure] [in favour of] [beneficiary(ies)] for [year]> | | | | |
| **OPSYS** | [/OPSYS business reference][[6]](#footnote-7): <reference> | | | | |
| **ABAC** | ABAC Commitment level 1 number: <reference> | | | | |
| **Basic Act** | Financed under the Instrument for Pre-accession Assistance (IPA III) | | | | |
| **Team Europe[[7]](#footnote-8)** | [Yes/No]  <If yes, specify which one and what country/multi-country/region> | | | | |
| **Beneficiar(y)/(ies) of the action** | <Region>, <Country>,<location(s) if available> | | | | |
| **Programming document** | IPA III Programming Framework | | | | |
| **PRIORITY AREAS AND SECTOR INFORMATION** | | | | | |
| **Window and thematic priority[[8]](#footnote-9)** | Window < #: name of the window>  Thematic Priority: <name of the thematic priority> (<share of the window> %)  <Add more Window and/or Thematic Priorities if needed> | | | | |
| **Sustainable Development Goals (SDGs)** | Main SDG (1 only):  Other significant SDGs (up to 9) and where appropriate, targets: | | | | |
| **DAC code(s)**[[9]](#footnote-10) | <Main DAC code – sector- percentage>  <Sub-code 1 – sector-percentage>  <Sub-code 2 – sector- percentage> etc. | | | | |
| **Main Delivery Channel** [**@**](http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/annex2.htm) | <Channel 1><Channel code>  *example: World Bank - 44001* | | | | |
| **Targets** | <Please indicate (if relevant) to which spending target(s) this action is contributing to (indicatively) >  Climate  Gender  Biodiversity | | | | |
| **Markers[[10]](#footnote-11)**  **(from DAC form)** | **General policy objective** [@](http://www.oecd.org/dac/stats/addenda-converged-statistical-reporting-directives.htm) | **Not targeted** | **Significant objective** | | **Principal objective** |
| Participation development/good governance |  |  | |  |
| Aid to environment |  |  | |  |
| Gender equality and women’s and girl’s empowerment |  |  | |  |
| Reproductive, maternal, new-born and child health |  |  | |  |
| Disaster Risk Reduction |  |  | |  |
| |  | | --- | | Inclusion of persons with  Disabilities | |  |  | |  |
| Nutrition[[11]](#footnote-12) |  |  | |  |
| **RIO Convention markers** [@](https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook_FINAL.pdf) | **Not targeted** | **Significant objective** | | **Principal objective** |
| Biological diversity |  |  | |  |
| Combat desertification |  |  | |  |
| Climate change mitigation |  |  | |  |
| Climate change adaptation |  |  | |  |
| **Internal markers[[12]](#footnote-13) and Tags** | **Policy objectives** | **Not targeted** | **Significant objective** | | **Principal objective** |
| Digitalisation [@](http://www.cc.cec/wikis/display/crisknowledgebase/DAC+-+Chapter+3#DAC-Chapter3-3.6.5.1Digitalisation) |  |  | |  |
| Tags[[13]](#footnote-14)  digital connectivity  digital governance  digital entrepreneurship  digital skills/literacy  digital services | YES | | NO | |
| Connectivity [@](https://eeas.europa.eu/sites/default/files/eu-asian_connectivity_factsheet_september_2019.pdf_final.pdf) |  |  | |  |
| Tags  digital connectivity  energy  transport  health  education and research | YES | | NO | |
| Migration [@](https://myintracomm.ec.europa.eu/DG/INTPA/devco-management/programming/Pages/index.aspx#thematic-guidance) |  |  | |  |
| Reduction of Inequalities [@](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Guidelines+for+mainstreaming+the+reduction+of+inequality+in+interventions) |  |  | |  |
| COVID-19 |  |  | |  |
| **BUDGET INFORMATION** | | | | | |
| **Amounts concerned** | Budget line: <budget line>  Total estimated cost: EUR <amount>  Total amount of EU budget contribution EUR <amount> [of which  EUR <amount> for budget support  EUR <amount> for complementary support  EUR <amount> for indirect management with IPA III beneficiary].   |  | | --- | | *Please delete this box after filling in the section below*  For multiannual Financing Decisions (i.e. where EU budget appropriations from year N plus N+1 (plus N+2, plus N+3, etc) are used), keep this phrase: |   [The contribution is for an amount of EUR <amount> from the general budget of the European Union for <financial year N> andfor an amount of EUR <amount> from the general budget of the European Union for <financial year N+1> [and for an amount of EUR <amount> from the general budget of the European Union for <financial year N+2>], [and for an amount of EUR <amount> from the general budget of the European Union for <financial year N+3> etc.], subject to the availability of appropriations for the respective financial years following the adoption of the relevant annual budget, or as provided for in the system of provisional twelfths]   |  | | --- | | *Please delete this box after filling in the section below*  In case of contributions from other donors (see section 4.6 on budget for contributions from third parties such as Member State organisations, third donor countries, agencies, international organisations and IPA III beneficiary where relevant), keep this phrase: |   [This action is co-financed in [parallel] [joint] co-financing by:  - <donor1> for an amount of <currency, amount>;  - <donor2> for an amount of <currency, amount>.]  When external assigned revenue via a transfer agreement is planned, keep this phrase: [The Commission will be entrusted with the responsibility of managing the contribution for an amount of <currency, amount> transferred by <donor> after the signature of the corresponding transfer agreement, in accordance with the procedures applicable to the EU budget.   |  | | --- | | *Please delete this box after filling in the section below*  When part of a Team Europe, indicate the key Member States and European Development Finance Institutions (EDFIs) providing support and an indicative amount of their support. |   <Fill in>  [The commitment of the EU’s contribution to this action will be complemented by other contributions from Team Europe partners. It is subject to the formal confirmation of each respective partners’ meaningful contribution as early as possible.  In the event that the contributions from other partners do not materialise, the EU action may continue outside a Team Europe Initiative (TEI) framework.] | | | | |
| **MANAGEMENT AND IMPLEMENTATION** | | | | | |
| **Implementation modalities (type of financing and management mode)** | [Project Modality] [Budget Support]   |  | | --- | | *Please delete this box after filling in the section below*  Identify the selected implementation modality from the options below, e.g. a combination of management mode (direct/indirect) and type of financing (grants/procurement/budget support) based on sections 4.3 and 4.4 of this document |   [**Direct management** through:]  [- Budget Support: Sustainable Development Goals Contract] [Budget Support: Sector Reform Performance Contract] [Budget Support: State and Resilience Building Contract]  [- Grants]  [- Twinning grants]  [- Procurement]  [**Indirect management** with <as a rule, only the criteria to select the indirect management entity, are to be given; such will provide flexibility afterwards if a change of entity would be needed after the adoption of the initial Financing Decision. To that effect, insert the following text:> [the entity(ies) to be selected in accordance with the criteria set out in section 4.4.4] <it is strongly discouraged but if considered absolutely necessary to already mention the entity, the name of the Member State Organisation, agency, third donor country agency, EU specialised (traditional/regulatory) agency, international organisation etc. could be explicitly mentioned: >[….]  [**Indirect management with** <name of the IPA III beneficiary>]  For Regional Blending Facilities/Platforms [This contribution to the Regional Blending [Facility] [Platform] shall be implemented in indirect management by the entities indicated in the appendix to this Action Document, in accordance with the Regional Blending [Facility] [Platform’s] award procedure.]  For European Fund for Sustainable Development Plus (EFSD+) operations covered by budgetary guarantees  [Financing and investment operations supported by budgetary guarantees shall be implemented in indirect management by the entities indicated in the appendix to this Action Document] | | | | |
| **Relevant priorities and flagships from Economic and Investment Plan for the Western Balkans [only for the Western Balkans]** | Contributing to the Economic and Investment Plan (EIP): | Yes  No | | | |
| <If yes, specify the title of the relevant priorities and flagships to which this action contributes>  [Priorities: “Transport”, “Energy”, “Green Agenda”, “Digital Transition”, “Innovation Agenda”, “Private Sector Support”, “Human Capital Development”, “Common Regional Market and Economic Integration”, “Governance, Rule of Law, PAR”  Flagships: “I Connect East-West”, II Connect North-South”, “III Connect Coastal Regions”, “IV Renewable Energy, “V Coal Transition”, “VI Renovation Wave”, “VII Waste and Waste Water “VIII Digital Infrastructure”, “IX Support Competitiveness”, “X Youth Guarantee”] | | | | |
| **Final Date for conclusion of Financing Agreement**  [Delete this row if a Financing Agreement is not foreseen] | At the latest by 31 December N+1 | | | | |
| **Final date for concluding contribution / delegation agreements, procurement and grant contracts**  [Delete this row if this is a multi-annual action with annual instalments] | [Option 1: if a financing agreement is not foreseen] At the latest by 31 December N+1  [Option 2: if a financing agreement is foreseen and this is not a multi-annual action with annual instalments] [3] years following the date of conclusion of the financing agreement, with the exception of cases listed under Article 114(2) of the Financial Regulation | | | | |
| **Decommitment deadline for each budgetary commitment**  [Only keep this line if this is a multi-annual action with annual instalments] | Budgetary commitment <year n>: by 31/12/<year n+5>  Budgetary commitment <year n+1>: by 31/12/<year n+1+5>  Budgetary commitment <year n+2>: by 31/12/<year n+2+5> | | | | |
| **Indicative [operational implementation] [eligibility] period** | [Option 1: if a financing agreement is not foreseen] <number> months[[14]](#footnote-15) following the adoption of the Financing Decision  [Option 2: if a financing agreement is foreseen] <number> months[[15]](#footnote-16) following the conclusion of the Financing Agreement | | | | |
| **Final date for implementing the Financing Agreement**  [Delete this row if a Financing Agreement is not foreseen] | 12 years following the conclusion of the financing agreement | | | | |

# Summary of the Action

|  |
| --- |
| *Please delete this box after filling in the section below*  1 page max  This section should be filled in at the end of the stakeholder consultation process when all sections below are finalised. The information contained in this summary will be used in the executive summary for the IPA III committee   * In line with sections 2 and 3 of this document, this section should provide a description of the overall and specific objectives of the action and the reasons why this action was considered most relevant in the context of sector approach. Refer to section 3.1 for definition of results. * Make the link with the corresponding results outlined in IPA III Programming Framework. * Make a link with the Sustainable Development Goals (SDGs) and principal/significant markers (DAC and internal) identified in OSPYS. * When relevant, make the link with Team Europe (transformative impact, list of contributions from other Team Europe stakeholders, including, where possible, information on the main modality of their involvement). |

<To be filled in>

# RATIONALE

# Context

|  |
| --- |
| *Please delete this box after filling in the section below*  1 1/2 page max  This section should confirm the relevance of the action within the action plan.   * Please provide a description of the context, including the sector/country/regional context and reference to the IPA III Programming Framework and Strategic Response. Please refer to the policy priorities of the Commission, adapted for the external action.[[16]](#footnote-17) * In particular, for the Western Balkans, please refer to the Green Agenda for the Western Balkans[[17]](#footnote-18), reflecting the European Green Deal in the region, and to the Economic and Investment Plan for the Western Balkans. * Please provide a description of the relevance of this action against the IPA III beneficiaries’ policies and strategies. * Please provide a description of the policy relevance of this action against the specific instruments of the EU enlargement policy. * Please provide a description of complementarity with funding and coordination with EU and other donors/partners and Team Europe approach, if applicable. * In case part of the allocation will contribute to a blending facility/platform, or an EFSD+ Guarantee, this section should also explain the rational of the future investment.   [@Context analysis](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=502074431). *[EU Login is needed]*  [@Conflict and conflict sensitivity](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Guidance+for+conflict+analysis). *[EU Login is needed]*  [@Gender equality and women's empowerment](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Resource+page%3A+Gender+Equality+and+Non-discrimination). *[EU Login is needed]* |

<To be filled in>

# Problem Analysis

|  |
| --- |
| *Please delete this box after filling in the section below*  1/2 page max per area of support   * Please give a brief description and justification of the decision to select the specific problem(s) this action seeks to address, focusing to the extent possible, on their economic, social, environmental, and climate change dimensions. Make use of analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT), if available. In the case of a multi-sectoral action, please apply the two headings below as many times as necessary. * Please identify the stakeholders (public and/or non-state actors) most affected by the issues to be addressed by this action, their roles and mandates and any institutional, organisational and/or capacity issues to be covered by the action. Specific attention should be paid to the most vulnerable groups who could be positively or negatively affected by the action, including risks of doing harm (not least in fragile and conflict-affected settings), as well as the stakeholders representing them. Please do not just list stakeholders.   [@Problem and objective tree](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Problem+and+objective+tree) *[EU Login is needed]*  [@SWOT analysis](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/SWOT+analysis+-+strengths%2C+weaknesses%2C+opportunities+and+threats). *[EU Login is needed]*  [@Stakeholder analysis](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Stakeholder+analysis) *[EU Login is needed]*  @[Capacity development consideration in planning/programming](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Toolkit+for+capacity+development)  [@Gender equality and women's empowerment](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Resource+package+on+gender+mainstreaming+in+EU+development+cooperation) *[EU Login is needed]*  [@Environment and climate change](https://europa.eu/capacity4dev/public-environment-climate/wiki/new-guidelines-integrating-environment-and-climate-change-eu-international-cooperation)  [@Conflict sensitivity and resilience](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Guidance+for+conflict+analysis) *[EU Login is needed]* |

Short problem analysis

<To be filled in>

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

<To be filled in>

# Lessons Learned

|  |
| --- |
| *Please delete this box after filling in section below*   * Lessons learned are the outcomes of a learning process, which involves reflecting upon the experience. Lessons learnt can be horizontal and/or related to a specific relevant area(s) of intervention. The key questions to be answered are: What has and has not worked in the past? What were the enabling and limiting factors? How are these lessons considered in the current action? Which stakeholders will act upon them? * Please include key lessons learnt from relevant closed or ongoing actions funded by the EU or other partners, on the basis of which this action was designed, including lessons learnt on crosscutting issues when relevant. This could include references to the evidence provided in specific reports, such as strategic evaluations at country and thematic level, financial and economic analyses, evaluations of on-going and closed projects and programmes, Results Oriented Monitoring (ROM) reports and audit reports. * If relevant, please describe the main obstacles limiting the impact of previous EU actions implemented in the same area of support and how this action will overcome those constraints.   [@ROM Module](https://webgate.ec.europa.eu/europeaid/rom/index.html) *[EU Login is needed]*  [@EVAL Module](https://webgate.ec.europa.eu/europeaid/eval/index.html;jsessionid=KGrLo6fC30Jwrfn9w4PKH4EBoiuH-konYHPWskyksQJAwzkKxbbf!-1727390842?ticket=ST-10232723-gbGztVqdifeSW2M5Z1LtPP78zoV8W8IKrGJ3DeODBzzPfn6XMiBeVOzdTiEqTuDY4rSGEsnE8gRztadQf9v65a1W-rS0vSrmBGYCFknAiFZvRAi-SzUF54zG13CiEzI5nOc2dyLYaH7iT5o8qwyLvgfO6sDHeXJuYtzKpIaQ6EIvlTMDXjF9IHMzL3ySBid5QtUHCpzG#/search-screen/) *[EU Login is needed]*  [@NEAR strategic (country, regional, instrument, thematic levels) evaluations](https://ec.europa.eu/international-partnerships/strategic-evaluation-reports_en) |

<To be filled in>

# Additional Areas of Assessment [for Budget Support Actions only]

# Pre-condition on Fundamental Values [for a Sustainable Development Goals Contract only]

|  |
| --- |
| *Please delete this box after filling in the section below*   * Based on the assessment above, confirm that the fundamental values pre-condition is met. An assessment of fundamental values is to be provided in addition, in accordance with the Annex 12 of the 2017 Budget Support Guidelines.   [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) |

<To be filled in>

# Public Policy

|  |
| --- |
| *Please delete this box after filling in the section below*  2 pages max.   * In line with Annex 3 of the 2017 budget support guidelines, assess the relevance and credibility of the public policy in more detail. * The assessment should be concise, as a supplementary document on public policy is to be attached to the Action Document. * The assessment should focus on costing and financing of the national development/sector policy, on institutional capacities, on sector governance, on public policy inclusiveness and how far it promotes gender equality and women/girls empowerment, and contributes to sustainable development, environmental protection and the fight against climate change. * This section should provide an assessment of the statistical and monitoring systems with respect to the policy field covered and include an explicit conclusion as to whether the quality of these systems is sufficient for the credibility of the policy. The implications for the availability and accuracy of data for the budget support programme (in particular for the assessment of variable tranche indicators) should be addressed in section 5 of the Action Document. * The assessment should include a conclusion on eligibility in line with the standard formulation below.   [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) |

<To be filled in>

In conclusion, the policy is sufficiently relevant and credible for budget support contract objectives to be largely achieved. Therefore the policy can be supported by the Commission with the proposed budget support contract.

# Macroeconomic Policy

|  |
| --- |
| *Please delete this box after filling in the section below*  2 pages max.   * In line with Annex 4 of the 2017 Budget Support Guidelines, provide an initial assessment of:. * the recent main macroeconomic aggregates;   + potential sources of instability that would endanger the strength and the persistence of economic growth during the duration of the programme (also stemming from inequalities and climate change, conflict and insecurity), or the return to a stable macroeconomic framework outlook and debt sustainability;   + the macroeconomic and fiscal policies (revenue and expenditures) in place and their contribution to preserve a stable macroeconomic framework or to stabilise it over the short and medium term during the duration of the programme;   + the efforts to strengthen domestic revenue mobilisation (see Annex 11 of the 2017 Budget Support Guidelines);   + the vulnerability to external and endogenous shocks (including climate-related and other disasters) and efforts undertaken to strengthen economic and state of resilience. * The relationship of the partner country with the International Monetary Fund (IMF) should be summarised including the status of on-going programmes or recommendations arising from recent Article IV reports for countries without programme. * The assessment should include a conclusion on eligibility in line with the standard formulation below.   [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) |

<To be filled in>

In conclusion, the authorities are pursuing a stability-oriented macroeconomic policy and the eligibility criterion is met.

# Public Financial Management

|  |
| --- |
| *Please delete this box after filling in the section below*  2 pages max.   * In line with Annex 5 of the 2017 Budget Support Guidelines, provide an assessment of the strengths and weaknesses of the existing public financial management (PFM) system. * Use the Performance Measurement Framework of Public Expenditure and Financial Accountability Assessment (PEFA) and other recent tools/reports such as the IMF Reports on the Observance of Standards and Codes (ROSC), IMF Transparency Framework, the Tax Administration Diagnostic Assessment Tool (TADAT), the Open Budget Index, audit reports or any other relevant source, etc. * Pay attention to domestic revenue mobilisation equally (three dimensions: tax and revenue policy, administration reforms, international tax governance) in line with Annex 11 of the 2017 Budget Support Guidelines. * Pay attention to gender responsive budgeting and PFM system’s responsiveness to climate change[[18]](#footnote-19). * Provide a statement on the relevance and credibility of the existing PFM reform programme and the credibility related to its implementation, including the national authorities’ commitment to improve PFM performance and its track record in improving PFM systems. * Confirm national authorities’ commitment to improve PFM performance and its track record in improving PFM systems * Attach the latest PFM and Transparency Report (not older than 1 year for countries with substantial/high PFM risks; not older than 3 years for countries with low/moderate PFM risks). * The assessment should include a conclusion on eligibility in line with the standard formulation below.   [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) |

<To be filled in>

In conclusion, the public finance management reform strategy is sufficiently relevant and credible, including on domestic revenue mobilisation, and the eligibility criterion is met.

# Transparency and Oversight of the Budget

|  |
| --- |
| *Please delete this box after filling in the section below*  2 pages max.   * In line with Annex 6 of the 2017 Budget Support Guidelines, provide an assessment of budget transparency. * Assess public availability of accessible, timely, comprehensive and sound budgetary information and confirmation that government has published either the Executive's Proposal or the Enacted Budget within the past/current budget cycle. * Refer to the main reference documents for budget transparency and oversight (e.g. legal framework, PFM reform strategy, Parliament/Audit Institution plans and separate roadmap). Describe their implementation status as far as budget transparency and oversight is concerned. * Refer to the Open Budget Index and other external sources to inform the assessment. * The assessment should include a conclusion on eligibility in line with the standard formulation below.   [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) |

<To be filled in>

In conclusion, the relevant budget documentation has been published and the eligibility criterion met.

# DESCRIPTION OF THE ACTION[[19]](#footnote-20)

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| --- |
| *Please delete this box after filling in the sections below*  The following sub-sections (3.1 to 3.5) are all interlinked and feed into one another.  The order in which they are filled in will depend on each responsible service’s working methods and preferences. |

# Intervention Logic

|  |
| --- |
| *Please delete this box after filling in the section below*  ½ page max  The intervention logic presents the narrative explaining the causal links between the outputs and the specific objectives (outcomes), and between the specific objectives (outcomes) and the overall objective(s) (impact(s)), as well as the key assumptions underpinning that change process.  The elements of the narrative should be based on the rationale described in section 2, and in line with the IPA III Programming Framework.  This section should identify with the same numbers used in the logical framework all expected results: Overall objective(s)/Impact(s), specific objective(s)/Outcome(s), and expected Outputs.   * the Overall Objective(s)/Impact(s) (the intermediate to long-term desired change) the action is expected to contribute to in the political, social, economic and/or environmental context; * the Specific Objective(s)/Outcome(s) (the short to medium term effects) the action aims to achieve and will contribute to the achievement of the chosen Overall Objective(s)/Impact(s). Note that actions are expected to directly influence the achievement of the stated Specific Objective(s)/Outcome(s) even though they are outside of their direct control; and * the expected Outputs[[20]](#footnote-21) to be delivered by the action that will directly influence the achievement of the stated Specific Objective(s)/Outcome(s) * In the case of Budget Support, please identify both induced and direct Outputs. * The Objectives and Outputs should clearly show how the sectors indicated as principal or significant objectives of the action (as per the OECD DAC and internal markers identified in section 1.1) are being addressed.   This section should answer the following questions:   * How will the planned Outputs contribute to the Specific Objective(s)/Outcome(s) – and on the basis of which assumptions and evidence i.e., why do we think that this change process will happen this way? * In the longer term, how will the expected Specific Objective(s)/Outcomes contribute to the desired Overall Objective(s)/Impact(s) – and which assumptions must hold for this to happen? * The intervention logic may be developed based on your results chain and assumptions following this logic:   *IF* the activities are undertaken *AND* the assumptions hold true, *THEN* the Outputs will be produced.  *IF* Outputs are delivered *AND* the assumptions at the level of Outputs hold true, *THEN* the Outcome(s) will be realised, *BECAUSE* [explanation, e.g. evidence/facts already observed and past experience suggesting that this change is possible].  *IF* the Outcome(s) are achieved *AND* the assumptions at this level hold true, *THEN* the action will contribute to the desired Impact. This is *BECAUSE* [explanation, e.g. evidence/facts already observed and past experience suggesting that this change is possible].   * For all operations when relevant and systematically for budget support, set out the policy dialogue priorities and how this policy dialogue will serve the intervention logic, including with non-governmental stakeholders. * The intervention logic must integrate elements of mainstreaming. * The overall intervention logic for a Team Europe Initiative (TEI) could be provided as supporting document to the quality review process for information purposes.   [@Assumptions and Risks (refer to step 6)](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/Steps+in+defining+the+intervention+logic) *[EU Login is needed]*  [@Logical Framework Approach and Logical Framework Matrix](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Logical+Framework+Approach+-+LFA) *[EU Login is needed]*  [@Intervention Logic](https://webgate.ec.europa.eu/fpfis/wikis/display/devcoiskb/Logframes+and+Monitoring#LogframesandMonitoring-InterventionLogic) *[EU Login is needed]*  [@Defining the intervention logic](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/DEFINING+THE+INTERVENTION+LOGIC) (IL) *[EU Login is needed]*  @[IL diagram examples](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=521638997#&gt;Interventionlogic(IL)) & short [videos](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=530153584#&gt;Interventionlogic) *[EU Login is needed]*  [@Budget support intervention logic and indicators](https://webgate.ec.europa.eu/fpfis/wikis/download/attachments/528814246/Working%20Paper%20on%20Budget%20Support_Intervention%20Logic%20and%20Indicators%20FINAL.pdf?version=1&modificationDate=1613658130230&api=v2) *[EU Login is needed]*  [@ EFSD+ Results measurement framework (ReMF): results’ chains (with indicators)’ [*EU Login is needed]*](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=528814246)  [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) (annex2)  [@Team Europe](https://europa.eu/capacity4dev/working-better-together) |

The Overall Objective(s)/(Impact(s)) of this action is to <To be filled in>

The Specific(s) Objective(s) (Outcomes) of this action [is] [are] to

* 1. <To be filled in>
  2. <To be filled in>
  3. ...

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

1.1 contributing to Outcome 1 (or Specific Objective 1) <To be filled in>

2.1 contributing to Outcome 2 (or Specific Objective 2) <To be filled in>

3.1 …

The underlying intervention logic for this action is that <To be filled in>

# Indicative Activities

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| --- |
| *Please delete this box after filling in the section below*  ½ page max   * List and describe the main indicative activities[[21]](#footnote-22), grouped according to the Outputs listed in section 3.1, with the aim of giving an overview of what the implementing partner(s) will do to deliver the planned goods, services and benefits (Outputs) with the available resources. * Note that implementation modalities and eventual partners should be covered in section 4, evaluation activities in section 5.2, audit activities in section 5.3, and strategic communication and public diplomacy activities, if relevant, in section 6. * In the case of Calls for Proposals, activities do not have to be described at this stage. |

Activities related to Output 1.1

<To be filled in>

Activities related to Output 2.1:

<To be filled in>

Activities related to Output #:

<To be filled in>

# Mainstreaming

|  |
| --- |
| *Please delete this box after filling in section below*  1 page max  Mandatory:   * The IPA III regulation art 6.2 specifies that ‘Programmes and actions under this Regulation shall mainstream climate change, environmental protection and gender equality […], to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way’.[[22]](#footnote-23) * These cross-cutting themes must be mainstreamed/integrated throughout the action. This section is only reserved for further considerations. * Please describe the link between the problem(s) in terms of mainstreaming issues identified in the analysis outlined in section 2.2 and how this action proposes to tackle them. * The logic of the intervention (objectives, outputs, activities, indicators) must reflect how the action contributes to climate change, environmental protection, biodiversity and gender equality.   Recommended:   * Please include information on how this action is addresses people living in vulnerable and marginalised situations, and how it promotes resilience, conflict prevention and peace, and non-discrimination on any grounds and, where relevant, how it mainstreams disaster risk reduction. Please explain how these themes are integrated in the design of the action and how will they will be addressed during implementation. * If the action is marked in the OPSYS DAC[[23]](#footnote-24) form as contributing to one of the general policy objectives or to RIO principles as a main objective or a significant objective, then this should be reflected in the Logical Framework matrix in Section 3.7. (in the results chain and indicators).   [@Gender equality and women's empowerment](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Resource+page%3A+Gender+Equality+and+Non-discrimination) *[EU Login is needed]*  [@Environment and climate change](https://europa.eu/capacity4dev/public-environment-climate/wiki/new-guidelines-integrating-environment-and-climate-change-eu-international-cooperation)  [@Conflict sensitivity and resilience](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Guidance+for+conflict+analysis) *[EU Login is needed]*  [@Rights-based approach Toolbox](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/The+Human+Rights+Based+Approach) *[EU Login is needed]* |

**Environmental Protection, Climate Change and Biodiversity**

|  |
| --- |
| *Please delete this box after filling in section below*  According to Article 25.5 of the NDICI - GE Regulation: *“Appropriate environmental screening, including for climate change and biodiversity impacts, shall be undertaken at the level of actions, in accordance with the applicable legislative acts of the Union, […], comprising, where applicable, an environmental impact assessment, including the impact on climate change, ecosystems and biodiversity, for environmentally sensitive actions, in particular for major new infrastructure”.*   * Following mandatory environmental and climate change risk screening procedures done at policy relevance assessment stage, please indicate in this section whether a Strategic Environmental Assessment (SEA), an Environmental Impact Assessment (EIA), a Climate Risk Assessment (CRA) is required. If yes, please indicate what are the next steps and timeline foreseen in terms of finalisation of EIA/SEA/CRA, and how the results will be taken into account in the project design and implementation: * In the case of contributions to a blending facility/platform, or of an EFSD+ Guarantee, explain how the applicable Environmental and Social Safeguards are assessed. |

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

|  |
| --- |
| *Please delete this box after filling in section below*   * As per OECD Gender DAC codes, when gender equality is the principal objective the action is labelled as G2, when gender equality is a significant objective it is labelled as G1, and when the action is not considered relevant for gender equality, it is labelled as G0. In the last case, a justification should be provided. |

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as [G2 / G1 / G0[[24]](#footnote-25)]. This implies that <To be filled in>

**Human Rights** [delete this paragraph if not relevant]

<To be filled in>

**Disability** [delete this paragraph if not relevant]

|  |
| --- |
| *Please delete this box after filling in section below*   * As per OECD Disability DAC codes, when disability is the principal objective, the action is labelled as D2, when disability is a significant objective it is labelled as D1 and when the action is not considered relevant for inclusion of persons with disabilities, it is labelled as D0. |

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as [D2 / D1 / D0]. This implies that <To be filled in>

**Democracy** [delete this paragraph if not relevant]

<To be filled in>

**Conflict sensitivity, peace and resilience** [delete this paragraph if not relevant]

<To be filled in>

**Disaster Risk Reduction** [delete this paragraph if not relevant]

<To be filled in>

**Other considerations** [delete this paragraph if not relevant]

<To be filled in>

# Risks and Assumptions

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| --- |
| *Please delete this box after filling in the section below*  ½ page max   * Please fill in the table below building on the risk analysis. Please note that the risk analysis should cover any unintended negative consequences such as negatively affecting certain groups, perpetuating inequalities, interfering with participation rights or other human rights risks (“do no harm”)[[25]](#footnote-26) * For each risk identified, which must be listed by category[[26]](#footnote-27), please indicate its likelihood, impact and mitigation measures, which should be put in place to minimise the risk as much as possible.   [@Risk management in the Commission](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=502074651) *[EU Login is needed]*  [@Logical Framework Approach and Logical Framework Matrix](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Logical+Framework+Approach+-+LFA) *[[EU Login is needed]](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Logical+Framework+Approach+-+LFA)*  [@Assumptions and Risks (refer to step 6)](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/Steps+in+defining+the+intervention+logic) *[EU Login is needed]* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Category** | **Risks** | **Likelihood**  **(High/**  **Medium/**  **Low)** | **Impact**  **(High/**  **Medium/**  **Low)** | **Mitigating measures** |
|  | <describe Risk 1> |  |  |  |
|  | <describe Risk 2> |  |  |  |
|  | < Risk #> |  |  |  |

|  |
| --- |
| *Please delete this box after filling in the section below*   * Assumptions are the necessary and positive conditions that allow for a successful cause-and-effect relationship between different levels of results * External assumptions must be reflected in the Intervention logic in section 3.1 – and on the appropriate level in the Logical Framework Matrix in section 3.5. Note that assumptions at the output level enable the Specific Objective(s)/outcome(s) to be achieved while the assumptions at the Specific Objective(s)/outcome(s) level need to hold true for the Action to successfully contribute to the Overall Objective(s)/Impact(s) identified. * The most significant assumptions developed in this section are to be included in the last column of the Logical Framework Matrix in in section 3.5   [@Logical Framework Approach and Logical Framework Matrix](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Logical+Framework+Approach+-+LFA) *[[EU Login is needed]](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Logical+Framework+Approach+-+LFA)*  [@Assumptions and Risks (refer to step 6)](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/Steps+in+defining+the+intervention+logic) *[EU Login is needed]* |

**External Assumptions**

<To be filled in>

# Indicative Logical Framework Matrix

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Please delete this box after filling in the section below*  At action level, the indicative logframe should have a maximum of 10 expected results (Impact(s)/Outcome(s)/Output(s)).  It constitutes the basis for the monitoring, reporting and evaluation of the intervention.  On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.   * At inception, the first progress report should include the complete logframe (e.g. including baselines/targets). * Progress reports should provide an updated logframe with current values for each indicator. * The final report should enclose the logframe with baseline and final values for each indicator.   The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.  The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.   * The Logical Framework Matrix (LFM) should mirror section 3 in terms of results where Overall objective(s) is expressed in terms of Impact and Specific objective in terms of Outcome. Please follow the LFM template below. * In line with OECD/DAC terminology the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)). * In case of Budget Support, a distinction should be made between direct and induced Outputs, in line with the Budget Support guidelines. * For EFSD+: * For EFSD+ budgetary guarantees/blending operations, the source for the development of the intervention logic and log frame is the [EFSD+ Results measurement framework (ReMF)](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=528814246) *[EU Login is needed]* * In cases in which the Action Document describes the financial contribution of the EU to one of the regional platforms/facilities, please complete the indicative LFM specifying to which specific objective and output and related indicators from the related Programming Document the action is referring to. Indicators should be drawn from the Programming Document, however, additional indicators can be added. * In cases in which the Action Document describes specific operation(s) under one of the approved investment windows and funded via the regional facilities/platforms, please complete the LFM using the specific indicators and overall intervention logic defined for the relevant investment window. * How to develop the Results chain column:  |  |  | | --- | --- | | In total, the indicative logframe should have a maximum of 10 expected results, including Impact(s), Outcomes and Outputs | | | Impact(s) | Definition: Impact tends to be the long-term change the action contributes to (at country, regional, sector level in terms of benefit to the population) | | Impact statement formulation: avoid “contribute to” | | How many? One might sometimes be sufficient, but both intermediate and longer-term impacts are allowed and highly recommended. Impact should preferably be related to at least one objective defined in the IPA III Programming Framework. | | Outcome(s) | Definition: An Outcome is a short to medium-term change in the behaviour of the target groups and/or effects on the political, social, economic and/or environmental areas targeted by EU action – the action will contribute to change at this level (it is under its influence but not direct control). | | How many? There can be both short and medium term outcomes. Please try to limit the number of Outcome(s) to 2-3 at the most.[[27]](#footnote-28) | | Please use past participle for the formulation (enhanced, increased, improved, adopted…)  Please avoid using causal links (‘by’, ‘in order to’…) | | Outputs | Definition: Outputs are direct deliverables or benefits of activities – under the direct control of the action | | Please use past participle for the formulation (strengthened, increased, improved…) | | Outputs are NOT activities |   [@Logical Framework Approach and Logical Framework Matrix](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Logical+framework+approach+and+logical+framework+matrix) *[EU Login is needed]*  [@Intervention logic (NEAR](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=491556301)) *[EU Login is needed]*  [@Guidance on sector results and indicators for development](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Guidance+on+results+and+indicators+for+development) *[EU Login is needed]*  [@Defining the intervention logic](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/DEFINING+THE+INTERVENTION+LOGIC) (IL) *[EU Login is needed]*  @[IL diagram examples](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=521638997#&gt;Interventionlogic(IL)) & short [videos](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=530153584#&gt;Interventionlogic) *[EU Login is needed]*  [@IPA III Regulation](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32021R1529&from=EN)  [@IPA III Programming Framework](https://neighbourhood-enlargement.ec.europa.eu/system/files/2022-01/C_2021_8914_COMMISSION_IMPLEMENTING_DECISION_EN.pdf)   * How to draft Indicators: * Please consult [DG NEAR Programming, M&E Wiki - Defining the indicators](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/DEFINING+THE+INDICATORS) and [Guidance on internal monitoring for results](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?spaceKey=PCM&title=Guidance+on+internal+monitoring+for+results) *[EU Login is needed]* * **Please use indicators that are relevant for the action from the *IPA Results Framework*[[28]](#footnote-29), which will be made available at the end of 2022.** * Please include at least one indicator for each result. Indicators should be formulated to measure progress towards the relevant result. * Indicators should be numbered so that they can be linked to the results they measure (see example in the LFM below). * Indicators must start with a unit of measure, either quantitative (‘number of people’, ‘km’, ‘percentage of’, ‘index’) or qualitative (‘level of’, ‘status of’, ‘extent to which’). Formulation of the indicators must be neutral, i.e. not include elements of the target such as ‘increase’, ‘improvement’, ‘better’. * Please disaggregate by sex when referring to and counting individuals and when relevant and possible, by age, urban/rural location, disability status, or any other relevant disaggregation reflecting the mainstreaming issues. * Each indicator must have one reliable and accessible source of data. (In some cases, more than one source of data per indicator may be needed). * Baselines and targets are mandatory and have to be always present[[29]](#footnote-30). * Avoid repeating indicators for different results. * Please consult also [NEAR Monitoring Framework Indicators](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=528814246#&gt;Indicators) [[30]](#footnote-31). Please mark them with \*\*. *[EU Login is needed]* * Please ensure that indicators relevant to the action are used, e.g.: * [Global Europe Results Framework and SDG indicators](https://europa.eu/capacity4dev/parau/eu-rfi) * [Gender Action Plan (GAP) III - Staff Working Document indicators](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52020SC0284&from=EN) * [EFSD+ Results measurement framework (ReMF) indicators](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=528814246#&gt;Indicators) *[EU Login is needed]* * Sectors marked as “Principal objective” or “Significant objective” according to the policy and Rio markers in the Action Summary Table (section 1.1) should be measured and should have corresponding indicators * If you would like to receive support with linking programming, monitoring and evaluations, please contact [NEAR-EVAL-MONITORING@ec.europa.eu](mailto:NEAR-EVAL-MONITORING@ec.europa.eu) * External assumptions * Assumptions are external necessary and positive conditions – not under intervention management or EU control – that must hold in order for the result chain to be valid. They should be formulated based on the context analysis and the risk analysis. * External assumptions must be reflected in the Intervention Logic in section 3.1 – and included in the last column of the Logical Framework Matrix in section 3.5. Note that assumptions at the Output level enable the Specific Objective(s)/Outcome(s) to be achieved while the assumptions at the Specific Objective(s)/Outcome(s) level need to hold for the action to successfully contribute to the Overall Objective(s)/Impact(s) identified.   [@Assumptions](https://webgate.ec.europa.eu/fpfis/wikis/display/devcoiskb/Logframes+and+Monitoring#LogframesandMonitoring-Assumptions) *[EU Login is needed]*  [@Assumptions and Risks (refer to step 6)](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/Steps+in+defining+the+intervention+logic) *[EU Login is needed]* |

[PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)]

| **Results** | **Results chain:**  **Main expected results [maximum 10** [**@**](https://europa.eu/capacity4dev/results-and-indicators)**]** | **Indicators**  **[it least one indicator per expected result** [**@**](https://europa.eu/capacity4dev/results-and-indicators)**]** | **Baselines**  **(values and years)** | **Targets**  **(values and years)** | **Sources of data** | **Assumptions** |
| --- | --- | --- | --- | --- | --- | --- |
| **Impact** | [Copy-paste the Overall Objective(s), as per section 3.1 of the Action Document] To… | 1  2 | 1  2 | 1  2 | 1  2 | *Not applicable* |
| **Outcome 1** | [Copy-paste and adapt to past tense the Specific Objective(s), as per section 3.1 of the Action Document]  1 (past tense) | 1.1  1.2 | 1.1  1.2 | 1.1  1.2 | 1.1  1.2 |  |
| **Outcome 2** | 2 (past tense) | 2.1  2.2 | 2.1  2.2 | 2.1  2.2 | 2.1  2.2 |  |
|  | … |  |  |  |  |  |
| **Output 1**  **related to Outcome 1** | [Copy-paste and adapt to past tense the Outputs (s), as per section 3.1 of the Action Document]  1.1 (past tense) | 1.1.1  1.1.2 | 1.1.1  1.1.2 | 1.1.1  1.1.2 | 1.1.1  1.1.2 |  |
| **Output 2 related to Outcome 1 [and 2, 3… if applicable]** | 1.2 (past tense) | 1.2.1  1.2.2 | 1.2.1  1.2.2 | 1.2.1  1.2.2 | 1.2.1  1.2.2 |  |
| **Output 1**  **related to Outcome 2** | 2.1 (past tense) | 2.1.1  2.1.2 | 2.1.1  2.1.2 | 2.1.1  2.1.2 | 2.1.1  2.1.2 |  |
| **Output 2 related to Outcome 2** | 2.2 (past tense) | 2.2.1  2.2.2 | 2.2.1  2.2.2 | 2.2.1  2.2.2 | 2.2.1  2.2.2 |  |
|  | … |  |  |  |  |  |

[BUDGET SUPPORT MODALITY as reflected by the national/sector public policy supported (4 levels of results / indicators / Baselines / Targets / Source of Data - no activities)]

|  |
| --- |
| *Additional guidance specific to Budget Support LFM*  *Please delete this box after filling in the section below*   * The indicators used in the LFM refer to the budget support intervention logic. They help monitoring the implementation of the programme in view of its objectives and later evaluate its contribution to country policy’s achievements. The list of indicators below should not be understood as the list of indicators informing the disbursement of variable tranches and spelled out in the relevant part of the financing agreement signed with the partner country, although some indicators may be used for both purposes and will be marked accordingly. * This table depicts the intervention logic of the budget support contract as described in the Action Document or in the financing agreement, including its complementary support component if applicable. In order to fill in the table, further guidance on the intervention logic of budget support can be found in section 2.6 and annex 2 of the [2017 EU Budget Support Guidelines](https://ec.europa.eu/europeaid/budget-support-guidelines_en) and in [@Budget support intervention logic and indicators](https://webgate.ec.europa.eu/fpfis/wikis/download/attachments/528814246/Working%20Paper%20on%20Budget%20Support_Intervention%20Logic%20and%20Indicators%20FINAL.pdf?version=1&modificationDate=1613658130230&api=v2) *[EU Login is needed]*. Based on the draft submitted with the Action Document, the table is to be finalised and become an annex to the financing agreement. * The table will support the monitoring and evaluation of the action. It is not meant to inform the assessment of eligibility criteria or of disbursement conditions variable tranche indicators. * The table lists expected results and corresponding indicators (max. 15). The indicators of the Variable Tranches known at the time of formulation should be put in **bold**. When the LFM is final and added to the financing agreement, (additional) performance indicators used within variable tranches must be included and flagged in **bold**. However, at design stage, those indicators may not yet be fully defined. Therefore, in such a case, only an indicative outline will be provided in the LFM included in the Action Document. * The table may evolve over the implementation of the budget support contract. The indicators, baselines and targets are indicative and may be updated during the implementation of the action without an amendment to the Financing Decision. However, once the financing agreement is signed, any change applying specifically to the performance indicators and targets used for the disbursement of variable tranches must abide by the relevant provisions of the financing agreement. |

| **Results** | **Results chain** | **Indicators**  **[max. 15]** | **Baselines**  **(value and year)** | **Targets by the end of the budget support contract**  **(value and year)** | **Sources of data**  **[1 per indicator]** |
| --- | --- | --- | --- | --- | --- |
| **Indicative Impact of the policy** | Copy-paste the Overall Objective(s), as per section 3 of the Action Document or section 1 of the financing agreement  To… | Indicator(s) referring to the expected Impacts of the policy | Starting point of the indicator(s) | Intended value of the indicator(s) | Partner's strategy/policy and reporting (ideally) |
| **Expected Outcomes of the policy** | Copy-paste and adapt to past tense the Specific Objective(s), as per section 3 of the Action Document or section 1 of the financing agreement  1 (past tense) | Indicator(s) referring to the expected Outcomes of the policy (variable tranche indicators and any other relevant)  1.1  1.2 | Starting point of the indicator(s)  1.1  1.2 | Intended value of the indicator(s)  1.1  1.2 | Partner's strategy/policy and reporting (ideally)  1.1  1.2 |
| **Induced Outputs** | Copy-paste and adapt to past tense the induced Outputs as per section 3 of the Action Document or section 1 of the financing agreement 1.1 (past tense) | Indicator(s) referring to the expected Outputs of the policy (variable tranche indicators and any other relevant)  1.1.1  1.1.2 | Starting point of the indicator(s)  1.1.1  1.1.2 | Intended value of the indicator(s)  1.1.1  1.1.2 | Partner's strategy/policy and reporting (ideally)  1.1.1  1.1.2 |
| **Direct Outputs** | Copy-paste and adapt to past tense the direct Outputs, as per section 3 of the Action Document or section 1 of the financing agreement  2.2 (past tense) | Indicator(s) referring to the direct Outputs of the budget support contract (indicatively one resulting from each of the four inputs of EU budget support: financial transfers, policy dialogue, performance assessment, capacity development)  2.2.1  2.2.2 | Starting point of the indicator(s)  2.2.1  2.2.2 | Intended value of the indicator(s)  2.2.1  2.2.2 | Partner's strategy/policy and reporting (ideally)  2.2.1  2.2.2 |

# IMPLEMENTATION ARRANGEMENTS[[31]](#footnote-32)

# Financing Agreement

*Please delete this box after filling in the section below*

If there is no financing agreement, the contracting deadline is N+1 (incl. for evaluation and audit).

If a financing agreement is signed, the contracting deadline is D+3 (except for the exceptions given in Art 114.2 of the Financing Regulation)

In order to implement this action, it is choose [not] envisaged to conclude a financing agreement with the <IPA III beneficiary>

# Indicative [Implementation] [Eligibility] Period

|  |
| --- |
| *Please delete this box after filling in the section below*   * Where a financing agreement is to be concluded, and this is not a multi-annual action with annual instalments, the implementation period must include the number of months necessary for contracting (D+3) and the number of months necessary for contract implementation. Furthermore, it should also take into account that the duration of the agreement is larger than the time necessary to only implement the activities described in section 3. * When financing agreement is foreseen and this is a multi-annual action with annual instalments, the programme will not have an indicative implementation period, but an eligibility period. This period is set out in the financing agreement. * Where no financing agreement is to be concluded, the implementation period of the action starts from the date of adoption of the financing decision. |

If this is a multi-annual action without annual instalments: 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 <number[[32]](#footnote-33)> months from the date of where a financing agreement is concluded[conclusion of the financing agreement]where no financing agreement is concluded (e.g. for calls for proposals) give a global duration until the end of the last contract with some leeway for delays [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.

If this is a multi-annual action with annual instalments: The eligibility period, during which the activities described in section 3 will be carried out, is <number[[33]](#footnote-34)> months from the date of entry into force of the financing agreement.

# Implementation of the Budget Support Component [Only for Budget Support]

# Rationale for the Amounts Allocated to Budget Support

|  |
| --- |
| *Please delete this box after filling in the section below*   * Provide a description and value added of the role of budget support generally (policy dialogue, complementary measures, performance assessment, financial transfers), and this programme in particular, in the context of the fiscal framework. This should indicate the size of the support in relation to the key macroeconomic variables (e.g., budget domestic revenue, sector budget/total budget with or without Official Development Assistance (ODA), or GDP). Provide information on the rationale for the amounts proposed based on a broad qualitative assessment that takes into account inter alia an analysis of the following elements: * Financing needs of the partner country. * Commitment of the partner country to improve its tax policy and tax administration in order to mobilise domestic revenue further and/more equitably domestic resources for the implementation of its policy/strategy. * Added value and contribution of budget support (policy dialogue, complementary measures, performance assessment, financial transfer) to the achievement of partner country's policy objectives, in view of the intervention logic. * Record of accomplishment and absorption capacity of past disbursements and how effectively agreed objectives were achieved with budget support operations; Result-orientation of the partner country's strategy/policy, including the quality of the monitoring framework and systems. |

The amount allocated for the budget support component is EUR <amount>, and for complementary support is EUR <amount>. This amount is based on <explanation>.

<To be filled in>

# Criteria for Disbursement of Budget Support

|  |
| --- |
| *Please delete this box after filling in the section below*   * Apply the standard text provided below and make the changes where necessary. * This section must be coherent with the Technical and Administrative Provisions (TAPs) in Annex 2 – Disbursement arrangements and timetable. * Make sure to use the right terminology, refer to the definitions below as per the glossary in Annex 1 of the 2017 Budget Support Guidelines: * General conditions – these are conditions that apply to the disbursement of all tranches of a contract. These conditions in most cases will be those related to the eligibility criteria for receiving budget support. There may be additional general conditions or specific conditions (see hereafter), but these are not recommended and, if decided otherwise, they should be kept to a minimum. * Specific condition – this is a condition applying to the disbursement of individual tranches in a specific year, in addition to the general conditions and to variable tranche performance indicators. The use of specific conditions is usually not recommended. It may however be necessary in the context of State and Resilience Building Contracts. * Performance indicators – indicators used to determine the amount of the variable tranches to be disbursed, according to specific scoring and assessment modalities to be defined in the financing agreement. In principle, such indicators must be drawn from the policy document and monitoring framework of the partner country. The outline below is not expected to provide a list of (even potential) indicators but to refer indicatively to country’s policy objectives/priorities that could be covered by an indicator. The final selection of indicators with their exact formulation will only occur after the Action Document is approved and as the financing agreement is being finalised with the partner country. If the action has indicated any of the Rio themes marker as a "significant" or a "principal" objective, consider proposing at least one performance indicator in relation to the Rio theme marker concerned. For the sake of keeping a certain degree of flexibility as the financing agreement is being finalised with the partner country, a fully detailed disbursement profile with the split per year and fixed/variable tranches should be avoided under 4.3. It is rather recommended to state the expected number of years and indicative share of fixed and variable tranches. If more details are added, it should be clearly mentioned that this distribution may be subject to changes. |

a) Conditions.

The general conditions for disbursement of all tranches are as follows:

* Satisfactory progress in the implementation of the <name public policy> and continued credibility and relevance thereof or of the subsequent policy.
* Maintenance of a credible and relevant stability-oriented macroeconomic policy or progress made towards restoring key balances.
* Satisfactory progress in the implementation of reforms to improve public financial management, including domestic revenue mobilisation, and continued relevance and credibility of the reform programme.
* Satisfactory progress with regard to the public availability of accessible, timely, comprehensive, and sound budgetary information.

The use of specific conditions, in addition to the general conditions and to performance indicators for the variable tranches, is usually not recommended but if relevant: [The specific conditions as well as the tranches to which they apply are as follows:

b) The performance indicators for disbursement that may be used for variable tranches may focus on the following policy priorities: <provide a brief outline>.

The chosen performance indicators and targets to be used for the disbursement of variable tranches will apply for the duration of the action.

c) Modifications.

The chosen performance indicators and targets to be used for the disbursement of variable tranches will apply for the duration of the action. However, in duly justified cases, the partner country and the Commission may agree on changes to indicators or on upward/downward revisions of targets. Such changes shall be authorised in writing ex-ante or at the latest by the end of the first quarter of the period under review applicable to the indicators and targets.

In exceptional and/or duly justified cases, for instance where unexpected events, external shocks or changing circumstances have made the indicator or the target irrelevant and could not be anticipated, a variable tranche indicator may be waived. In these cases, the related amount could either be reallocated to the other indicators of the variable tranche the same year or be transferred to the next variable tranche the following year (in accordance with the original weighting of the indicators). It could also be decided to re-assess an indicator the following year against the original target, if there was a positive trend and the authorities did not reach the target because of factors beyond their control. The use of this provision shall be requested by the partner country and approved in writing by the Commission.

d) Fundamental values

In case of a significant deterioration of fundamental values, budget support disbursements may be suspended, reduced or cancelled, in accordance with the relevant provisions of the financing agreement.

# Budget Support Details

Specify the use of fixed/variable tranches, targeted/non-targeted budget support.

In case of untargeted budget support, insert the following [Budget support is provided as direct untargeted budget support to the national treasury. The crediting of the euro transfers disbursed into <name of local currency>will be undertaken at the appropriate exchange rates in line with the relevant provisions of the financing agreement.]

Targeted budget support is not recommended and is rarely used. Should targeted budget support be used, insert the following [Targeted budget support involves the transfer of EU funds to the national treasury as ex-post financing of specific expenditures within the budget or of specific budget lines. Its use will involve auditing those expenditures for which budget support is to be provided, and then making a transfer to the national treasury for an amount equal to that for which the audit report has concluded that expenditures are eligible for EU financing. A satisfactory audit report is a condition for the disbursement of funds.]

# Methods of implementation [applicable for Project modality or for complementary support to a Budget Support]

|  |
| --- |
| *Please delete this box after filling in section below*   * This section is structured by implementation modality (grants, procurement, etc.). * Delete sub-headings/modalities that do not apply to the action. * Choose from the below sub-headings/implementation modalities as many as is needed. In case of having the same implementation modality more than once, please add sub-levels (e.g. 4.4.4.1, 4.4.4.2 etc.). * For modalities 4.4.4. - 4.4.7., budget implementation tasks that can be delegated are: launching calls for tenders and/or proposals; definition of eligibility, selection and award criteria; evaluation of tenders and proposals; award of grants, contracts and financial instruments; acting as contracting authority concluding, monitoring and managing contracts, carrying out payments, and recovering moneys due. Please note that the definition of objectives and essential policy characteristics of the action entrusted is not a budget implementation task, but a prerogative of the Commission and has to be therefore defined in Section 3.1. * For modality 4.4.4., in case the EU contribution to the Action takes the form, partly or wholly, of financing not linked to costs (FNLC) or otherwise referred to as Performance-based Financing, please do not specify this in the Action Document to be annexed to the Commission Decision. The use of FNLC can be authorised, after adoption of the Commission Decision, through a Decision taken by the Authorising Officer by Delegation (DG level) for the related legal commitment, in accordance with Article 24.3 of the Internal Rules[[34]](#footnote-35).   Modality 4.4.8. is envisaged as a fall-back implementation modality option, due to circumstances outside of the Commission’s control. |

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[[35]](#footnote-36).

# Direct Management (Grants)

|  |
| --- |
| *Please delete this box after filling in section below*   * While presenting the purpose of the grant, ensure consistency with the objectives/outputs identified in section 3. * In the case of **twinning**: the choice of twinning (implemented through grants) must be clearly spelled out in this section of the AD. More details about the twinning action are itemised in a specific Twinning Fiche[[36]](#footnote-37), which is used as a basis for the Call for Proposals for the EU Member States (to be published in e-PROSPECT). Please note the Twinning Fiche should align its objectives/outputs to the ones identified in the Action Document and should not focus on activities which are to be proposed at a later stage by the EU Member States in their applications. The Twinning Fiche is not to be attached to the Action Document.   [@DG NEAR Twinning website, including Twinning Manual (updated in 2022)](https://neighbourhood-enlargement.ec.europa.eu/funding-and-technical-assistance/twinning_en)  In the case of **a justification of a direct grant** under 4.4.1.(c), the operational service must prepare and circulate a simplified form for a built-in prior approval/deviation as described under DG NEAR Manual of Procedures (MAP), [Section H.1.2 (Procedure for launching approval files)](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=192103588) *[EU Login is needed]* |

It is not necessary to specify the award procedure (call for proposals or direct award – but see specific case under point (c)). Note that a direct award is possible if the reasons for the exception from a call are applicable (Article 195 FR).

**(a) Purpose of the grant(s)**

<Specify which objective and/or output in section (3) the grants will contribute to achieving>

In case it is necessary to launch a call for proposals with a suspension clause before the adoption of this Financing Decision, the launch date must be mentioned and the nature of the exceptional circumstances hindering the possibility to launch the call after the Financing Decision is adopted must be explained. Moreover, the internal NEAR prior approval procedure[[37]](#footnote-38) must be followed [This call has been launched on <date> under a suspensive clause prior to the adoption of this Decision. This is justified because <explain the exceptional circumstances>.]

**(b) Type of applicants targeted**

<type of applicants>

Specify the circle of potential applicants for funding with regard to their type (e.g., legal entities, natural persons or groupings without legal personality; local authorities, public bodies, international organisations, NGOs, economic operators such as SMEs) - see section 2.1.1. of the Practical guide on contract procedures for European Union external action (PRAG) for grant applicants (annex E3a). In the case of Twinning grants, applicants must be EU Member State administrations or their mandated bodies.

Other essential characteristics of the potential applicants[[38]](#footnote-39), such as their place of establishment[[39]](#footnote-40) (if applicable, note the extension to other countries in section 4.5) shall be specified in the guidelines for applicants of the call for proposals. The default scope may be narrowed down in terms of nationality, geographical location or nature of the applicant where it is required on account of the specific nature and the objectives of the action and where it is necessary for its effective implementation (Article 28(9) NDICI - Global Europe)

<According to article 195 of the Financial Regulation, the cases of c) (‘monopolies’) and f) (‘specific characteristics’) need to be duly substantiated in the award decision: so, direct awards may still later be decided by the competent authorising officer, even if the Financing Decision does not envisage them, through a substantiated award decision. If, however, the action very specifically targets the direct award of a grant, you may want to mention this here and take a direct award decision at the level of the Financing Decision. In such a case, add:

**[(c) Justification of a direct grant**

Indicate the type of the direct award grant beneficiary and explain the criteria used for selecting it in line with Article 195 of the Financial Regulation (FR). Do not name the direct award beneficiary unless – exceptionally – the entity is to be identified. Keep and complete the following sentence and provide the criteria for selecting such an entity: [Under the responsibility of the Commission’s authorising officer responsible, the grant may be awarded without a call for proposals to <type of the direct grant beneficiary>. selected using the following criteria <describe the criteria used for selecting the direct award beneficiary>] If, **on exceptional basis,** the direct award beneficiary is identified in the Financing Decision (FD) keep the following part: [Under the responsibility of the Commission’s authorising officer responsible, the grant may be awarded without a call for proposals to <name of the direct grant beneficiary>].

Where this is filled in, you have to submit the direct award for a prior approval in parallel, i.e., you have to encode this simplified approval procedure in OPSYS.

When the entity is named, delete b) above

Under the responsibility of the Commission’s authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because <provide factual circumstances justifying any of the circumstances listed in Article 195 FR, i.e. if the country is in a crisis situation referred to in Article 2(21) of the Financial Regulation at the date of the FD, the crisis situation may offer a justification for direct award of grants during the crisis situation; other exceptional and duly justified emergency not due to delays on the part of the Commission; beneficiary is in a legal or factual monopoly situation or is identified as beneficiary in the basic act on which this Decision is based; the action has specific characteristics requiring a specific type of beneficiary for its technical competence, specialisation or administrative power or nature of the action with regard to Article 27(3) NDICI - Global Europe Regulation>]

**[(d) Exception to the non-retroactivity of costs**

< As a rule, the costs incurred shall be eligible as of the date of entry into force of the grant agreement; the authorising officer may set the eligibility prior to the date of entry into force of the agreement, and even prior to the date of submission of the proposal. Still, unless the Financing Decision so decides, it is not within the authorising officer’s powers to set the eligibility prior to the date of adoption of this Financing Decision. Hence, if it is required to accept costs made prior to the date of adoption of the Financing Decision, add:>

The Commission authorises that the costs incurred may be recognised as eligible as of <a date prior to the adoption of this Decision> because <add justification>.]

# Direct Management (Prize(s))

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| --- |
| *Please delete this box after filling in the section the below*   * While presenting the purpose of the prize, ensure consistency with the objectives/outputs defined in section 3. * Enter the global budgetary envelope reserved for contests in section 4.6 |

1. Purpose of the prize*: <Specify which objective and/or output in section (3) the call will contribute to achieving.>*
2. The type of participants targeted*:*

*Define the type of participants targeted –, for example: legal entities, natural persons or groupings without legal personality, local authorities, public bodies, international organisations, NGOs, economic actors such as SMEs, profit or non-profit organisations.*

1. Specific reference to prizes with a unit value of EUR 1 million or more:

# Direct Management (Procurement)

|  |
| --- |
| *Please delete this box after filling in the section the below*   * Specify which objective and/or output in section 3 the procurement will contribute to achieving. Please only list the ‘operational’ procurement, i.e., not the procurement linked to monitoring, evaluation, audit, communication and visibility listed in sections 4 and 6. Do NOT mention the procurement procedure; its choice is the responsibility of the responsible authorising officer, not the Commission. Enter the global budgetary envelope reserved for procurement in section 4.6. * In case it is necessary to launch a call for tenders with a suspension clause before the adoption of financing Decision, the launch date must be mentioned and the nature of the exceptional circumstances hindering the possibility to launch the call after the financing Decision is adopted must be explained. * In the case of **a suspensive clause prior to the adoption of the Commission decision** the operational service must prepare and circulate a simplified form for a built-in prior approval/deviation as described under DG NEAR MAP, [Section H.1.2 (Procedure for launching approval files)](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=192103588) *[EU Login is needed]* |

<Specify which objective and/or output in section 3 the procurement will contribute to achieving>

<In case it is necessary to launch a call for tenders with a suspension clause before the adoption of this Financing Decision, the launch date must be mentioned and the nature of the exceptional circumstances hindering the possibility to launch the call after the Financing Decision is adopted must be explained. Moreover, the internal NEAR /INTPA prior approval procedure[[40]](#footnote-41) must be followed: [This call has been launched on <date> under a suspensive clause prior to the adoption of this decision. This is justified because <explain the exceptional circumstances>.]

# Indirect Management with a pillar-assessed entity[[41]](#footnote-42)

|  |
| --- |
| Please delete this box after filling in the section the below   * Explain the criteria to be used for selecting the entity entrusted with the implementation of the action under indirect management. * Do NOT name the entity unless – exceptionally – the entity is to be identified. Not identifying the entity will allow to make this choice later, at the level of the Authorising Officer by Delegation. This will increase flexibility also in case the entity would need to be changed later. * The selection of the entity has to be transparent and justified by the nature of the action (Article 154(1) of the Financial Regulation). The selection must be explained by using the assessment form provided in [DG NEAR MAP Section E.4.3](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=185048276) and approved by the geographical Director. * If, on an exceptional basis, the entity is identified in the AD, the operational service must provide the above assessment form during the quality review to justify the choice. * In case the assessment highlights capacity constraints, either the entity should not be chosen or mitigating measures should be embedded in the design of the action.   In case the EU contribution to the action takes the form, partly or wholly, of financing not linked to costs (FNLC) or otherwise referred to as Performance-based Financing, please do not specify this in the Action Document to be annexed to the Commission Decision. The use of FNLC can be authorised, once the financing Decision is approved, through a Decision taken by the Authorising Officer by Delegation (DG level) for the related legal commitment, in accordance with Article 24.3 of the Internal Rules. |

[A part of] [this action may be implemented in indirect management with a pillar assessed entity, which will be selected by the Commission’s services using the following criteria:]

<explain briefly the criteria to be used to choose this entity (e.g., in terms of the nature of the action, operational capacity, value added, transparency, absence of conflict of interest…)>.

The implementation by this entity entails <describe the (part of the) action to be implemented by the entity and cross-reference to the objective/output in section 3 to which this modality will contribute to achieving >.

**[**<If, **on an exceptional basis**, the entity is identified in the financing Decision: >

[A part of] [this action may be implemented in indirect management with] <name of the Member State Organisation, or third donor country or EU specialised (traditional/regulatory) agency or international organisation>. This implementation entails <describe the (part of the) action to be implemented by the entity and cross-reference to the objective and/or output in section 3 to which this modality will contribute to achieving><the selected entity has to be pillar-assessed at the latest at the time of the signature of the contribution agreement>. [The envisaged entity has been selected using the following criteria] < explain briefly the reasons for choosing this entity (e.g., in terms of the nature of the action, operational capacity, value added, transparency…). <For a multilateral entity, please justify how the choice of partner contributes to a strategic approach to the EU’s multilateral engagement (important policy and strategic interlocutors, key implementers for the delivery of the EU’s development assistance or holders of important normative and standard setting mandates).> It is important that both the objective selection criteria and how this named entity responds to them are spelled out here. Only in this way can the same criteria be used for selecting an alternative as mentioned below, i.e. for selecting an alternative entity, the same criteria may be used for justifying such selection, without going through a substantial modification of the financing Decision. Consequently, beyond the justifications provided for selecting a given entity, it is important to define clear selection criteria.>

If acceptance by the entity identified above is uncertain and there is a viable second option consisting of another entity, this alternative, second option can be identified here: [If negotiations with the above-mentioned entity fail, that part of this action may be implemented in indirect management with <name of the alternative entity>. The implementation by this alternative entity would be justified because of the following criteria <explain briefly the reasons for choosing this entrusted entity (e.g., in terms of the nature of the action, operational capacity, value added, transparency…)> ]

[In case the envisaged entity [and the replacement entity mentioned above] would need to be replaced, the Commission’s services may select a[nother] replacement entity using the same criteria. To be able to apply this, it is important that the selection criteria are spelled out here above. If the entity is replaced, the decision to replace it needs to be justified]

If acceptance by the entity identified above is uncertain, and there is a viable second option consisting in direct management, this alternative second option can be referred to here: [If negotiations with the above-mentioned entity fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section[s] <make reference to the implementation modalities using the sections 4.4.1 or 4.4.3. This second alternative should be added in section 4.4.7 [to be renumbered if necessary] below.>]]

[Exception to the non-retroactivity of costs

< As a rule, the costs incurred shall be eligible as of the date of entry into force of the contribution agreement; the authorising officer may set the eligibility prior to the date of entry into force of the agreement, and even prior to the date of submission of the proposal. Still, unless the Financing Decision so decides, it is not within the authorising officer’s powers to set the eligibility prior to the date of adoption of this financing Decision. Hence, if it is required to accept costs made prior to the date of adoption of the financing Decision, add:>

The Commission authorises that the costs incurred may be recognised as eligible as of <a date prior to the adoption of this Decision> because <add justification>.]

# Indirect Management with an IPA III beneficiary

*For IMBC use:* [A part of] [This action will be implemented under indirect management by <name of IPA III beneficiary>.

The managing authority responsible for the execution of the action is [<the name of the entity which acts as the NIPAC Office>] [<For Türkiye: the name of the entity which acts as the NIPAC Office or the name of the entity that will act as managing authority in case of sectors where Operating Structures already existed under IPA II>]. The managing authority shall be responsible for legality and regularity of expenditure, sound financial management, programming, implementation, monitoring, evaluation, information, visibility and reporting of IPA III activities.

The managing authority shall rely on sectoral expertise and technical competence of the following intermediate <body> <bodies> for policy management: <a central government entity or a necessary minimum of central government entities with legal authority and technical competence in the matters addressed by the action>. <It> <They> shall ensure sound financial management of the action.

Budget implementation tasks such as calls for tenders, calls for proposals, contracting, contract management, payments and revenue operations, shall be entrusted to the following intermediate <body> <bodies> for financial management: <a contracting authority or a list of contracting authorities with punctual definition of responsibility over specific components of the action>. <It> <They> shall ensure legality and regularity of expenditure.]

# Contribution to <name of the relevant Regional Investment Platform[[42]](#footnote-43)>

This contribution may be implemented under indirect management with the entities, called Lead Finance Institutions, identified in the appendix to this Action Document.

<if deemed necessary, explain briefly the procedure for the selection of the individual projects and the relevant Lead Finance Institutions. Explain the alignment to the principles of sustainable finance. Avoid mentioning one concrete Financial Institution to keep flexibility, ensure the level playing field and competition at this stage. Refer to the appendix of eligible Financial Institutions instead. >

# EFSD+ operations covered by budgetary guarantees[[43]](#footnote-44)

Financing and investment operations supported by budgetary guarantees may be implemented under indirect management with the entities, called Lead Finance Institutions, identified in the appendix to this Action Document.

<In case of EFSD+ operations covered by budgetary guarantees the External Action Guarantee and in accordance with article 110.3(h) of the Financial Regulation, please indicate the amount of annual provisioning and, where applicable, the amount of the budgetary guarantee to be released. >

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

|  |
| --- |
| *Please delete this box after filling in the section below*   * Where applicable, describe here the alternative implementation modality in direct management (choose from 4.4.1 and/or 4.4.3) and identify which preferred implementation modality under indirect management above they can replace where this preferred modality cannot be implemented due to circumstances outside of the Commission’s control. * Where applicable, describe here the alternative implementation modality in indirect management that could be used if the implementation modality in direct management cannot be implemented due to circumstances outside of the Commission’s control. * Please avoid having ‘a shopping list’ of fall-back options. * Check cross-references in section 1.1 4.4 and 4.6. |

<To be filled in>

# Other actions or expenditure

|  |
| --- |
| Part of this action may be implemented through a Service Level Agreement or other agreement with <specify the Commission Department: JRC, …> in order to mobilise its expertise in the achievement of <name the objectives/outputs>. |

# 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, subject to the following provisions.

The Commission’s authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

By virtue of Article 5(8) IPA III, if the geographical scope of the action is being extended to include countries that would otherwise not be eligible under IPA III, choose this option to include these countries in the geographical eligibility of grants and procurement described in section 4.4.1 and 4.4.3

[Due to the [global] [regional] [cross-border] nature of the action, in order to [ensure the coherence and effectiveness of Union financing] [and] [to foster regional cooperation], the Commission decides to extend the eligibility of this action to the following [countries], [territories and regions] <name of country 1>, <name of country 2>, <…>. By virtue of Article 28(8) NDICI - Global Europe For this multi-country action, natural persons who are nationals of, and legal persons who are effectively established in these countries, are also eligible.]

# Indicative Budget

|  |
| --- |
| *Please delete this box after filling in the section below*   * The encoding in OPSYS must be consistent with the structure of the budget provided in the AD template. Whenever possible, the budget (of the AD and in OPSYS) should follow a structure by objective and/or output. For each objective and/or output, the sub-headings must indicate the implementation modality. * The table must link to the structure of the implementation described in sections 4.3 and 4.4. The table below is just an example. If there are more third parties per line of the table, write the total in the table and identify the third parties and their contributions in a footnote. * In case of a Multi-Annual Action Programme, distinguish the various annual amounts of the action in consistency with section 4.4. by adding a column per year. * In case of third party contribution to EU budget, please indicate the name(s) of the donor(s) and the corresponding amount(s) (per donor, where applicable). * Amounts should be indicated as follows: EUR 1 000 000.00. |

|  |  |  |
| --- | --- | --- |
| **Indicative Budget components** | **EU contribution**  **(amount in EUR)**  In case of a transfer agreement [of which<amount>  from  <donor > through a transfer agreement to be signed] | **Indicative third-party contribution, in currency identified**  [(If not relevant please delete this column)] |
| **Budget support** - cf. section 4.3 | <amount> | <amount, currency> or N.A. |
| **Methods of implementation –** cf. section 4.4 |  | |
| **[Outcome] <name 1>** composed of | <amount> |  |
| Grants (direct management) – cf. section 4.4.1 | N.A. | |
| Procurement (direct management) – cf. section 4.4.3 | N.A. | |
| **[Outcome] <name 2>** composed of | <amount> |  |
| Prize (direct management) – cf. section 4.4.2 | <global amount reserved for contests>. | |
| Indirect management with <name of Member State (MS) Organisation, 3rd donor country or EU agency or international organisation>- cf. section 4.4.4 | <amount> | <amount, currency> |
| [**Outcome] <name 3**> composed of | <amount> |  |
| Indirect management with <name of MS Organisation, 3rd donor country’s or EU agency or international organisation>- cf.. section 4.4.4 | <amount> | <amount, currency> |
| Procurement (direct management) – cf. section 4.4.3 | N.A. | |
| Indirect management with <IPA III beneficiary>– cf. section 4.4.5 | <amount> | <amount, currency> |
| Implementation through Service Level Agreement with <name of the Commission Department> cf. section 4.4.9 | <amount> | N.A. |
|  | | |
| **Indirect management with** <IPA III beneficiary> | <amount> | <amount, currency> or N.A |
| **Grants** – total envelope under section 4.4.1 | <amount> | <amount, currency> or N.A |
| **Procurement** – total envelope under section 4.4.3[[44]](#footnote-45) | <amount> | <amount, currency> or N.A |
| **Budgetary guarantee – amount of annual provisioning** | <amount> | N.A. |
| **Evaluation** – cf. section 5.2  **Audit** – cf. section 5.3 | [<amount>] [will be covered by another Decision] [[45]](#footnote-46) | N.A. |
| **Communication and visibility** – cf. section 6 | [<amount>] [will be covered by another Decision] | N.A. |
| **Contingencies**[[46]](#footnote-47) | <up to 10 % of the total amount> or N.A. | N.A. |
| **Totals** [must correspond to the amounts in the budget information section of the action summary table] | <sum> | <one sum for each currency or convert all into EUR> |

# Organisational Set-up and Responsibilities

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| *Please delete this box after filling in the section below*  ½ page max   * Provide a brief description of implementation arrangements, e.g. the steering committee arrangements and the role and responsibilities of the Commission, the main counterparts and implementing entities in the governance of the intervention. * Under sector approach this should link to the sector coordination structures and systems. * Ensure that the organisational set-up includes an active and meaningful participation of key stakeholders, including rights holders such as youth, women organizations and organizations representing vulnerable and marginalized groups. * If the creation of a project implementation unit is envisaged, provide justifications and indicate its main tasks etc.). * For budget support, spell out the arrangements for policy dialogue as agreed with the authorities, also including non-governmental stakeholders. To the extent possible, policy dialogue arrangements should be embedded in the domestic setup and process, avoiding ad hoc structures and rather strengthening existing ones, favouring inclusive processes and fostering inter-ministerial coordination. [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) (annex 13) * For indirect management, do not repeat information already provided in section 4.4.1. |

<To be filled in>

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.

# Pre-conditions [Only for project modality]

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| *Please delete this box after filling in the section below*  ½ page max   * For actions in project modality, insert any pre-conditions specific to this action. * Pre-conditions are events that need to occur to allow the full implementation of the action (e.g., before the signature of the financing agreement or before the start of activities). * Please pay attention to the possible impact pre-conditions might have on the execution of the action (Is there a risk the financing agreement will not be executed and therefore funds be de-committed? Is this risk known and acceptable?). * If there are no specific pre-conditions and in case of budget support, delete this section. * **The pre-conditions should be objectively verifiable and subject to a given deadline** (e.g. enforcement of a legal regulation by the country within a given deadline). |

<To be filled in>

# PERFORMANCE MEASUREMENT

# Monitoring and Reporting

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| *Please delete this box after filling in the section below*  *1 page max*  The monitoring of the implementation of this action will be a continuous process, and part of the implementing partner’s responsibilities and that of the EU operational manager. Both types of internal monitoring must be undertaken in an inclusive way, involving key stakeholders.  The different responsibilities for this dual internal monitoring are the following:   * Implementing partners' monitoring will aim at collecting and analysing data to inform on progress towards the achievement of planned results’ achievement to feed decision-making processes at the action’s management level and to report on the use of resources. * EU operational manager’s monitoring will aim at complementing implementing partners’ monitoring may, especially in key moments of the action cycle. It will also aim at ensuring a sound follow-up on external monitoring recommendations and at informing EU management. This monitoring could take different forms (meetings with implementing partners, action steering committees, on the spot checks), to be decided based on specific needs and resources at hand.   Both types of internal monitoring are meant to inform and provide support to external monitoring.   * For actions in **project modality**, * Please adapt this section to the action and describe the arrangements for monitoring and reporting on indicators of the logframe matrix, **including the collection of baselines and data collection** (responsibilities, timing, and source of funding). * Data collection and reporting: In some cases, you may depend on surveys done by others (e.g. national health surveys, income surveys, etc.). In such case, please indicate if it is under the responsibility of the implementing partner as it will have implications in terms of implementation of this action as well as on its budget. For instance such surveys/studies can be financed under the regular budget of the action (through specific budget lines identified for this purpose) or outside of this action, through a Support Measure for example. * Please briefly explain how the active and meaningful participation of stakeholders will be ensured. What kind of accountability mechanisms are envisaged? * Please provide information on how gender equality results will be monitored. * For **multi country actions** (thematic or regional): * Please provide specific information on the separation of tasks and coordination on monitoring and reporting duties between the implementing partners involved in the action. * Please provide information on how indicator values will be measured: on a country-by-country basis, aggregated, as an average. * Please provide information on how gender equality results will be monitored. * For **Budget Support**: * Describe country’s monitoring framework for the policy(ies) supported – schedule of reviews; monitoring periods (e.g. school/calendar/fiscal year); time/actions required for data collection and expected publication date of official progress reports (in view of the envisaged action schedule). * Mention who leads the reviews, how they are carried out and how data is used and communicated in the national context for policy-making, result-monitoring and domestic accountability. Monitoring arrangements should be embedded in the domestic institutional setup, building on and strengthening existing structures, fostering inter-ministerial coordination and favouring inclusive processes (notably towards civil society). The progress reports should monitor the overall implementation of the policy (reforms and results) and not be limited to variable tranche indicators. * Without repeating information provided under section 2.1 on complementarity with EU and other Donors/Partners, assess how far the Commission can rely on statistical systems, official data and existing monitoring frameworks to feed into policy dialogue and inform decisions on general conditions and variable tranche indicators (including sex-disaggregation and other relevant degrees of granularity). If serious weaknesses affect data quality, specify the implications for the budget support action and the mitigating measures envisaged accordingly (e.g. additional data verification, field visits, external review missions, capacity building to statistical or monitoring systems, and involvement of civil society organisations).   [@Guidance on Internal Monitoring for Results](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Guidance+on+internal+monitoring+for+results) *[EU Login is needed]*  [@NEAR Monitoring for results](https://webgate.ec.europa.eu/fpfis/wikis/display/NEARGuidelines/MONITORING+FOR+RESULTS) *[EU Login is needed]*  [@ROM Module](https://webgate.ec.europa.eu/europeaid/rom/index.html) *[EU Login is needed]* |

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 Outputs and contribution to the achievement of its Outcomes, and if possible at the time of reporting, contribution to the achievement of its Impacts, as measured by corresponding indicators, using as reference [the logframe matrix (for project modality) [and]] [the partner’s strategy, policy or reform action plan list (for budget support)].

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).

Roles and responsibilities for data collection, analysis and monitoring:

<To be filled in>

<For budget support, add the following sentence and specify. >

The statistical and monitoring systems as well as the quality of official data in the policy field covered have been assessed. This assessment has fed into the design of the action as follows: <specify>

# Evaluation

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| *Please delete this box after filling in the section below*   * Evaluation is the systematic and objective assessment of an on-going or completed intervention. Evaluation will give evidence of why intended changes are or are not being achieved. * Please select the relevant options in the section below. Note that your choice will have implications in terms of budget and funding of evaluation in case the need for one arise at a later stage. * Please note the EVAL is an IT module to be used by all staff managing project/programme, country sector level, budget support or thematic evaluations in DG INTPA, DG NEAR and FPI, both in Headquarters and in Delegations. * If an evaluation is planned to be contracted by the Commission, the EC shall form a Reference Group (RG) composed by representatives from the main stakeholders at both EU and national levels (representatives from the government, from civil society organisations, etc.). If deemed necessary, other donors will be invited to join. The RG will especially have the following responsibilities: * Steering the evaluation exercise in all key phases to comply with quality standards: preparation and/or provision of comments to the Terms of reference; selection of the evaluation team; consultation; inception/desk, field, synthesis and reporting phases. * The EU programme manager steers the RG and is supported in its function by RG members. * Providing input and information to the evaluation team. Mobilise the institutional, thematic, and methodological knowledge available in the various stakeholders that are interested in the evaluation. * Providing quality control on the different draft deliverables. The EU programme manager, as lead of the RG, consolidates the comments to be sent to the evaluation team and endorses the deliverables. * Ensuring a proper follow-up after completion of the evaluation.   [@EVAL Module](https://webgate.ec.europa.eu/europeaid/eval/) *[EU Login is needed]* |

Having regard to the [importance][nature] of the action, a(n) [mid-term] [final][ex-post] evaluation(s) [will] [will not] be carried out for this action or its components [via independent consultants] [through a joint mission] [contracted by the Commission] [via an implementing partner].

In case a mid-term evaluation is envisaged: [It will be carried out for [problem solving], [learning purposes, in particular with respect to <complement with specific aspects that can be highlighted such as the intention to launch a second phase of the action, etc.>.]

In case a final or ex-post evaluation is envisaged: [It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that<complement with specific aspects that can be highlighted such as an innovative action or a pilot being tested, etc.>.]

For budget support: [The evaluation of this action may be performed individually or through a joint strategic evaluation of budget support operations carried out with the partner country, other budget support providers and relevant stakeholders.]

[In case an evaluation is not planned, the Commission may, during implementation, decide to undertake such an evaluation for duly justified reasons either on its own decision or on the initiative of the partner.]

Where an evaluation is planned and is to be contracted by the Commission: The Commission shall form a Reference Group (RG) composed by representatives from the main stakeholders at both EU and national (representatives from the government, from civil society organisations (private sector, NGOs, etc.), etc.) levels. If deemed necessary, other donors will be invited to join. [The Commission shall inform the implementing partner at least <insert number of days/months> in advance of the dates envisaged for the evaluation exercise and missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities].

The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination[[47]](#footnote-48). 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.

Where a financing agreement is planned, the exception from D+3 shall apply for evaluations. In such case, the evaluations should be implemented by way of procurement beyond the operational procurement envisaged in section 4.4.3. Therefore, include the overall budget allocation for Evaluation together with Audit in section 5.3, and keep this phrase [Evaluation services may be contracted [under a framework contract].]

Where no financing agreement will be concluded, select this option: [The financing of the evaluation shall be covered by another measure constituting a financing Decision.]

# 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.

# STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

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| *Please delete this box after filling in the section below*  For the 2021-2027 programming cycle, it has been decided to have a new approach for pooling, programming and deploying strategic communication and public diplomacy resources. Action Documents are in principle no longer required to include a provision for communication and visibility promoting the actions and/or measures concerned. These resources will instead be consolidated in a separate measure. This will allow EU Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale. |

All entities implementing EU-funded external actions have the contractual obligation to inform the relevant audiences of the Union’s support for their work by displaying the EU emblem and a short funding statement as appropriate on all communication materials related to the actions concerned. To that end they must comply with the instructions given in the 2022 guidance document [*Communicating and raising EU visibility: Guidance for external actions*](https://international-partnerships.ec.europa.eu/knowledge-hub/communicating-and-raising-eu-visibility-guidance-external-actions_en) (or any successor document).

This obligation will apply equally, regardless of whether the actions concerned are implemented by the Commission, the partner country, service providers, grant beneficiaries or entrusted or delegated entities such as UN agencies, international financial institutions and agencies of EU Member States. In each case, a reference to the relevant contractual obligations must be included in the respective financing agreement, procurement and grant contracts, and contribution agreements.

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| Any actions related to communication and visibility will be coordinated with the strategic communication actions of the EU Delegations, to ensure coherence of narrative and message, as well as horizontal strategic communication.  If a part or the whole action will be implemented by an entity with a specific agreement with the EU taking precedence over the Communication and Visibility Requirements (e.g. UN agencies, international organisations, international Financial institutions, etc.), please include the text below in this section of the AD. The aim of these two paragraphs is to ensure that EU visibility and the financial interests of the EU are respected in communication and visibility activities that these entities might have to undertake in the framework of their own internal communication and visibility obligations. |

<Text to be included if a part or the whole action is implemented by an entity with a specific agreement with the EU taking precedence over the Visibility Guidelines>

[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 the EU Delegation/Office fully informed of the planning and implementation of specific visibility and communication activities before the implementation. 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.]

Text to be added if the action is part of a Team Europe Initiative>

[For communication on Team Europe Initiatives, the EU and its Member States can rely on the specific guidance on the Team Europe visual identity.]

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| *Please delete this box after filling in the section below*  **For budget support**, the communication and visibility activities might be coordinated with partner country’s communication on the policy itself and/or its results (when relevant and feasible). Strengthening of the capacities of the partner’s country to communicate on its policy, on the related reforms and on the expected/achieved results might also be considered in that context. Refer to the section 5.10 of the 2017 Budget Support Guidelines for further guidance.  [@2017 Budget Support Guidelines](https://international-partnerships.ec.europa.eu/document/download/47b7fa2f-d4a2-4cb0-a7e2-865382330c29_en?filename=budget-support-guidelines-2017_en.pdf) |

<To be filled in for budget support only>

# SUSTAINABILITY

*Please delete this box after filling in the section below*

*½ page max.*

Include details on sustainability of the Action, i.e. if and to what extent the benefits/results (outputs and outcomes) achieved are likely to continue beyond its implementation period. In particular, the section should include at least some of the key factors impacting on sustainability, such as the level of ownership of the beneficiaries, their institutional management capacities, resources that they commit to provide for the operation and maintenance of the results once the Action is completed. Include reference also to medium-term budget framework.

<To be filled in>

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| *Please delete this appendix before submitting to relevant quality review process*  **Appendix 1: IDENTIFICATION OF THE PRIMARY INTERVENTION LEVEL FOR REPORTING IN OPSYS**  A Primary intervention[[48]](#footnote-49) (project/programme) is a coherent set of results structured in a logical framework aiming at delivering development change or progress. Identifying the level of the primary intervention will allow for:   * Differentiating these Actions or Contracts from those that do not produce direct reportable development results, defined as support entities (i.e. audits, evaluations); * Articulating Actions and/or Contracts according to an expected common chain of results and therefore allowing them to ensure a more efficient and aggregated monitoring and reporting of performance; * Having a complete and exhaustive mapping of all results-bearing Actions and Contracts.   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 chosen can be modified (directly in OPSYS) and the modification does not constitute an amendment of the action document.  Please select in the left side column one of the four possible options for the level of the Primary Intervention(s).  In the case of ‘Group of actions’ level, add references to the present action and other action(s) concerning the same Primary Intervention.  In the case of ‘Contract level’ and ‘Group of contracts’, add the reference(s) to the corresponding budgetary items in point 4.6, Indicative Budget.   |  |  |  | | --- | --- | --- | | **Option 1: Action level** (i.e. Budget support, Blending) | | | |  | Single action | Present action: all contracts in the present action | | **Option 2: Group of actions level** (i.e: i) top-up cases, ii) second, third, etc. phases of a programme) | | | |  | Group of actions | Actions reference (CRIS#/OPSYS#):  <Present action>  <Other action> | | **Option 3: Contract level** (i.e. Grants, Contribution Agreements, any case in which foreseen individual legal commitments identified in the budget will have different log frames, even if part of the same Action Document) | | | |  | Single Contract 1 | <foreseen individual legal commitment (or contract)> | |  | Single Contract 2 | <foreseen individual legal commitment (or contract)> | |  | Single Contract 3 | <foreseen individual legal commitment (or contract)> | |  | (…) |  | | **Option 4: Group of contracts level** (i.e: i) series of programme estimates, ii) cases in which an Action Document foresees many foreseen individual legal commitments (for instance four contracts and one of them being a Technical Assistance) and two of them, a technical assistance contract and a contribution agreement, aim at the same objectives and complement each other, iii) follow up contracts that share the same log frame of the original contract) | | | |  | Group of contracts | <foreseen individual legal commitment (or contract) 1>  <foreseen individual legal commitment (or contract) 2>  <foreseen individual legal commitment (or contract) #> | |

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| *Please delete before submitting to relevant quality review process* Appendix 2 COMMISSION DECISION & TECHNICAL and ADMINISTRATIVE PROVISIONS The template of the AD is used selectively depending on the type of financing and step of the procedure.  The table below illustrates which sections of the AD need to be used   * in the Commission Decision and, * when applicable, in the financing agreement to create the Technical and Administrative Provisions (TAPs)   The following table presents an overview of the use of the sections of the Action Document template for the Commission Decision and for the TAPs.   |  | Project modality  (Incl. thematic and regional programmes, as well as calls for proposals) | | Budget support | | No activities to be implemented by, and no funds to be transferred to, the Partner country, with signature of a financing agreement based of the ‘simplified’ template | | | --- | --- | --- | --- | --- | --- | --- | | Full Action Document | Annex Commission Decision | Technical and Administrative Provisions (TAPs) | Annex Commission Decision | Technical and Administrative Provisions (TAPs) | Annex Commission Decision | Technical and Administrative Provisions (TAPs) | | **1. SYNOPSIS** |  |  |  |  |  |  | | 1.1. Action Summary Table | Yes | Yes | Yes | Yes | Yes | N/A | | 1.2. Summary of the Action | Yes | Yes | Yes | Yes | Yes | Yes | | **2. RATIONALE** |  |  |  |  |  |  | | 2.1. Context | Yes | N/A | Yes | N/A | Yes | N/A | | 2.2. Problem Analysis | Yes | N/A | Yes | N/A | Yes | N/A | | 2.3. Lessons Learnt | Yes | N/A | Yes | N/A | Yes | N/A | | 2.4. Additional Areas of Assessment [For Budget Support Actions only] | N/A | N/A | Yes | N/A | N/A | N/A | | 2.4.1. Pre-condition on Fundamental values (for a SDG contracts only) | N/A | N/A | Yes | N/A | N/A | N/A | | 2.4.2 Public Policy | N/A | N/A | Yes | N/A | N/A | N/A | | 2.4.3. Macroeconomic Policy | N/A | N/A | Yes | N/A | N/A | N/A | | 2.4.4. Public Financial Management | N/A | N/A | Yes | N/A | N/A | N/A | | 2.4.5. Transparency and Oversight of the Budget | N/A | N/A | Yes | N/A | N/A | N/A | | **3. DESCRIPTION OF THE ACTION** |  |  |  |  |  |  | | 3.1. Intervention Logic | Yes | Yes | Yes | Yes | Yes | N/A | | 3.2. Indicative Activities | Yes | Yes | Yes | Yes | Yes | N/A | | 3.3. Mainstreaming | Yes | Yes | Yes | Yes | Yes | N/A | | 3.4. Risks and Assumptions | Yes | N/A | Yes | N/A | Yes | N/A | | 3.5. Indicative Logical Framework Matrix | Yes | Yes | Yes | Yes | Yes | N/A | | **4. IMPLEMENTATION ARRANGEMENTS** |  |  |  |  |  |  | | 4.1. Financing Agreement | Yes | N/A | Yes | N/A | Yes | N/A | | 4.2. Indicative Implementation Period | Yes | N/A | Yes | N/A | Yes | N/A | | 4.3. Implementation of the Budget Support Component (and subsections) | N/A | N/A | Yes | Yes | N/A | N/A | | 4.4. Implementation Modalities (and subsections) | Yes | Yes | Yes | Yes | Yes | N/A | | 4.5. Scope of geographical eligibility for procurement and grants | Yes | Yes | Yes | Yes | Yes | N/A | | 4.6. Indicative Budget | Yes | Yes | Yes | Yes | Yes | N/A | | 4.7. Organisational Set-up and Responsibilities | Yes | Yes | Yes | Yes | If applicable and relevant | If applicable and relevant | | 4.8 Pre-conditions [only for project modality] | Yes | Yes | Yes | N/A | Yes | If relevant and applicable | | **5. PERFORMANCE MEASUREMENT** |  |  |  |  |  |  | | 5.1. Monitoring and Reporting | Yes | Yes | Yes | Yes | Yes | N/A | | 5.2. Evaluation | Yes | Yes | Yes | Yes | Yes | N/A | | 5.3. Audit and Verifications | Yes | Yes | Yes | Yes | Yes | N/A | | **6. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY** | Yes | Yes | Yes | Yes | Yes | N/A | | **7. SUSTAINABILITY** | Yes | Yes | Yes | Yes | Yes | N/A | | Supplementary documents for budget support to be attached to AD:   * Public policy analysis (for the policy field to be covered by the operation) * Latest PFM and Transparency monitoring report (for the country) | N/A | N/A | YES | N/A | N/A | N/A | |

1. Please consult EC internal website: <https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Implementation> [↑](#footnote-ref-2)
2. For the purpose of consistency of terminology in OPSYS, Commission services Directorate General for International Partnerships (DG INTPA), Directorate General for Neighbourhood and Enlargement Negotiations (DG NEAR), and Service for Foreign Policy Instruments (FPI) have harmonised key terms, including ‘action’ and ‘intervention’. An ‘action’ is the content (or part of the content) of a Commission financing decision and an ‘intervention’ is a coherent set of activities and results which constitutes an effective level for the operational follow-up by the European Commission (EC) of its operations on the ground. The glossary is available in EC internal website: <https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Glossary>. [↑](#footnote-ref-3)
3. Number of Annex will need to be provided in case the Financing Decision has more than one Annex. If there is a single Annex it should not be numbered. [↑](#footnote-ref-4)
4. Please indicate the reference to the corresponding article: 23(2) if this is a Multiannual or Annual Action Plan, 23(3) if this is an Individual Measure, 23(4) if this is a Special Measure, 23(3) and 23(5) if this is a Rapid Response Action. [↑](#footnote-ref-5)
5. This section is to be completed by the EU Office/Delegation. [↑](#footnote-ref-6)
6. Depending on the availability of OPSYS at the time of encoding, a provisional CRIS number may need to be provided. [↑](#footnote-ref-7)
7. Please specify if this action is going to be part of the Team Europe approach. [↑](#footnote-ref-8)
8. Indicate the lead window and thematic priority as identified in the relevant programming document. Please indicate for each thematic priority the approximate share (%) of the window budget it represents. [↑](#footnote-ref-9)
9. Development Assistance Committee (DAC) sectors (codes and descriptions) are indicated in the first and fourth columns of the tab ‘purpose codes’ in the following document: [DAC and CRS code lists - OECD](https://www.oecd.org/development/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm) [↑](#footnote-ref-10)
10. For guidance, see [Development finance standards - OECD](https://www.oecd.org/development/financing-sustainable-development/development-finance-standards/) (Go to “Data collection and resources for reporters”, select Addendum 2, annexes 18 (policy) and 19 (Rio) of the reporting directive. If an action is marked in the DAC form as contributing to one of the general policy objectives or to RIO principles as a principal objective or a significant objective, then this should be reflected in the logframe matrix (in the results chain and indicators). [↑](#footnote-ref-11)
11. Please check the [Handbook on the OECD-DAC Nutrition Policy Marker](https://scalingupnutrition.org/wp-content/uploads/2020/12/OECD_PolicyMarkerNutrition.pdf). [↑](#footnote-ref-12)
12. These markers have a different scope/rationale than the DAC codes. They are drawn from the level of budget allocation and emphasise the action in terms of main objective(s) selected. The definition of objectives and outputs in the description of the action should be in line with this section. [↑](#footnote-ref-13)
13. When a marker is “Significant Objective“ or “Principal Objective”, please indicate the relevant tags by selecting “YES” or “NO”. [↑](#footnote-ref-14)
14. Number of months should not exceed 72 months. [↑](#footnote-ref-15)
15. Number of months should not exceed 72 months. [↑](#footnote-ref-16)
16. See [A stronger Europe in the world | European Commission (europa.eu)](https://ec.europa.eu/info/strategy/priorities-2019-2024/stronger-europe-world_en). [↑](#footnote-ref-17)
17. See [Guidelines for the Implementation of the Green Agenda for the Western Balkans](https://neighbourhood-enlargement.ec.europa.eu/system/files/2020-10/green_agenda_for_the_western_balkans_en.pdf) [↑](#footnote-ref-18)
18. For more information on Gender Responsive Budgeting (GRB) see the [GRB technical note](https://myintracomm.ec.europa.eu/dg/INTPA/eu-development-policy/budget-support-public-finance-domestic-revenue/Documents/technical-notes-2a4/2A4%20-%20N.16%20-%20Gender%20Responsive%20Budgeting%20-%2002-2019.pdf). [↑](#footnote-ref-19)
19. From section 3 onwards, no cross-references should be made with sections 1 and 2, because sections 1 and 2 are not included in the Technical and Administrative Provisions of the future Financing Agreement. [↑](#footnote-ref-20)
20. Examples of Outputs include: Increased awareness, knowledge, skills, or technical capacities; Written political statements / commitments; Revised draft (national) legal and strategic frameworks; Infrastructure constructed / rehabilitated; Equipment provided; Knowledge-based products developed; Advocacy/awareness-raising products developed; etc. [↑](#footnote-ref-21)
21. Examples of activities (non-exhaustive) include:awareness raising campaign, training; technical assistance to the beneficiary on drafting of political statements / commitments; construction work or rehabilitation of infrastructure; supplying of equipment or other material inputs… [↑](#footnote-ref-22)
22. Art. 6 Policy Framework and general principles of the IPA III regulation. [↑](#footnote-ref-23)
23. OPSYS DAC form or CRIS DAC form depending on the system in use at the time of encoding of the action. [↑](#footnote-ref-24)
24. Principal objective / significant objective/ not targeted. [↑](#footnote-ref-25)
25. When cooperating with private sector, refer to UN Guiding principles on Business and Human Rights (due diligence) [↑](#footnote-ref-26)
26. The risk (category) can be related 1-to the external environment; 2-to planning, processes and systems; 3-to people and the organisation; 4-to legality and regularity aspects; 5-to communication and information. See pp44-48 of [Implementation Guide of the Risk management in the Commission](https://myintracomm.ec.europa.eu/dg/ENER/howwedoit/PublishingImages/Pages/Internal%20control/Internal-Control-Newsletter/rm_implementationguide_en.pdf). *[EC internal link]* [↑](#footnote-ref-27)
27. For interventions covering more than one area of support, the number of outcomes can increase (keeping the total number reasonable). [↑](#footnote-ref-28)
28. A draft version of the IPA Results Framework can be found [at this EC internal link](https://myintracomm.ec.europa.eu/dg/near/whatwedo/monitoring-evaluation-results/Pages/index.aspx). [↑](#footnote-ref-29)
29. Baselines and targets are needed to assess progress using the indicators. In some cases, there are indicators for which there is no baseline at the design stage, and in such case the baseline and target can be defined during the inception phase of implementation. This is the case of indicators that need a survey to define a baseline. [↑](#footnote-ref-30)
30. See DG NEAR internal note: [Ares(2021)694112](https://webgate.ec.testa.eu/Ares/document/show.do?documentId=080166e5d8912b34&timestamp=1619447838120) [↑](#footnote-ref-31)
31. This section is to be completed by the EU Office/Delegation. [↑](#footnote-ref-32)
32. In principle this should not exceed 72 months. [↑](#footnote-ref-33)
33. In principle this should not exceed 72 months. [↑](#footnote-ref-34)
34. C(2018)5120 final: Commission Decision on the Internal Rules on the implementation of the general budget of the European Union (European Commission section) for the attention of the Commission departments [↑](#footnote-ref-35)
35. [EU Sanctions Map](https://www.sanctionsmap.eu/#/main). 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. [↑](#footnote-ref-36)
36. Please find the Twinning Fiche template as Annex C1 of the Twinning Manual available in English at [this link](https://neighbourhood-enlargement.ec.europa.eu/system/files/2020-09/twinning_manual_2017_update_2020.pdf) [↑](#footnote-ref-37)
37. For NEAR, prior approval 11a) from the list in MAP H.1.2. [↑](#footnote-ref-38)
38. In order to increase the success ratio (number of awards divided by number of applications in each call) with a view of reducing the workload of all stakeholders, it is important to limit the number of applications. In this respect, please narrow down the eligibility in terms of the place of establishment and the type of the applicants as much as possible. [↑](#footnote-ref-39)
39. With regard to Israeli entities: follow Guidelines on the eligibility of Israeli entities and their activities in the territories occupied by Israel since June 1967 for grants, prizes and financial instruments funded by the EU from 2014 onwards (OJ C 205, 19.7.2013, p. 9). [↑](#footnote-ref-40)
40. [DG NEAR MAP Section H.1.2](https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=192103588) [↑](#footnote-ref-41)
41. The signature of a contribution agreement with the chosen entity is subject to the completion of the necessary pillar assessment. [↑](#footnote-ref-42)
42. This section is to be part of Investment platform actions and should not be part of a bilateral cooperation Action Document. [↑](#footnote-ref-43)
43. This section is to be part of Investment platform actions and should not be part of a bilateral cooperation Action Document. [↑](#footnote-ref-44)
44. In order to avoid details on budgets for individual contracts, it is sufficient to indicate the total envelop for procurement. If budgets for individual contracts are public, tenderers tend to orientate themselves on them and not on the terms of reference. [↑](#footnote-ref-45)
45. Where the action is not covered by a financing agreement (see section 4.1), put ‘will be covered by another decision’ as it is unlikely that evaluation and audit contracts on this action would be concluded within N+1. These contracts have to be authorised by another Financing Decision. [↑](#footnote-ref-46)
46. Consider that contracts where no financing agreement is concluded, contingencies have to be covered by individual and legal commitments by 31 December of N+1. [↑](#footnote-ref-47)
47. See best [practice of evaluation dissemination](https://europa.eu/capacity4dev/evaluation_guidelines/wiki/disseminating-evaluations) [↑](#footnote-ref-48)
48. 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](https://webgate.ec.europa.eu/fpfis/wikis/display/PCM/Concept+of+intervention) *[EU Login is needed]*. [↑](#footnote-ref-49)