|  |  |
| --- | --- |
| flag_2colors | {#initialAD}Initial {/initialAD}Action Document |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **1. Title/basic act/ CRIS number** | | | **{name}** financed under {financingInstrument.label} ({financingInstrument.key}) ID : **{year} / {id}** | | | | |
| **2. Zone benefiting from the action/location** | | | {benefiting\_zone}  The action shall be carried out at the following location:  {geoScope.name}  {action\_location} | | | | |
| **3. Programming document** | | | <Title of the national/regional/thematic multi-annual indicative programming document relevant for this action> | | | | |
| **4. Sector of concentration/ thematic area** | | | <Sector/thematic area from the relevant programming document> | | DEV. Aid: YES-NO[[1]](#footnote-2) | | |
| **5. Amounts concerned** | | | Total estimated cost:{totalEstimatedCost}  Total amount of {#isEDF}EDF{/isEDF}{^isEDF}EU budget {/isEDF} contribution: {totalEUContribution}  {#isBudgetSupport}of which  {#parts}  {name} {EU\_amount\_txt} {/parts}{/isBudgetSupport}  {#isBlending}This action is co-financed by entities and for amounts specified in the indicative project pipeline which is an appendix of this Action Document{/isBlending}. | | | | |
| **6. Aid modality(ies)**  **and implementation modality(ies)** | | | Approach : {approach.label}  Implementation:  {#parts}{modeFullName}  {/parts} {#isBlending} This action regarding this Regional Blending Facility shall be implemented in indirect management by entities to be indicated in complementary financing decisions to be adopted at the end of the Regional Blending Facilities award procedure  {/isBlending} | | | | |
| **7 a) DAC code(s)** | | | <Main DAC code – sector- percentage> <Sub-code 1 – sector-percentage> <Sub-code 2 – sector- percentage> etc. | | | | |
| **b) Main Delivery Channel** | | | {#parts}  {channel}{/parts} | | | | |
| **8. General policy objectives** | | **Not targeted** | | **Contribution** | | **Significant objective** | **Main objective** |
| {#generalMarkers}{name} | | {#isNotTargeted}X{/isNotTargeted} | | {#isContributing}X{/isContributing} | | {#isSignificant}X  {/isSignificant} | {#isMain}X{/isMain}{/generalMarkers} |
| **Rio Convention Markers** | | **Not targeted** | | **Contribution** | | **Significant objective** | **Main objective** |
| {#rioMarkers}{name} | | {#isNotTargeted}X{/isNotTargeted} | | {#isContributing}X{/isContributing} | | {#isSignificant}X  {/isSignificant} | {#isMain}X{/isMain}{/rioMarkers} |
| **9. Global Public Goods and Challenges (GPGC) thematic flagships** | <When relevant, specify the title of the GPGC thematic flagship programme to which this action contributes> | | | | | | |
| **10. SDGs** | {#sdg} {key} – {label}  {/sdg} | | | | | | |

**Summary** (to be completed during identification and formulation**,** max. ½ page,)

# Budget decomposition

|  |  |  |  |
| --- | --- | --- | --- |
| Part | Management / mode | EU Amount | Other Amount |
| {#parts}{name} | {modeFullName} {implementingPartner} | {EU\_amount\_txt} | {other\_amount\_txt}{/parts} |
| Total | | {totalEUContribution} |  |

# Context

## Sector/Country/Regional context/Thematic area (max. 3 pages, section completed during identification)

<…>

### **Public Policy Assessment and EU Policy Framework**

<…>

### **Stakeholder analysis**

<…>

### **Priority areas for support/problem analysis**

<…>

## {#isBudgetSupport == true}

## Other areas of assessment (max. 3 pages, completed during identification)

### **Fundamental values**

<…>

### **Macroeconomic policy**

<…>

### **Public Financial Management (PFM)**

<…>

### **Transparency and oversight of the budget**

<…>

{/}

# Risks and Assumptions (max. 1 page, section completed during identification)

|  |  |  |
| --- | --- | --- |
| **Risks** | **Risk level (H/M/L)** | **Mitigating measures** |
| <…> | <…> | <…> |
| **Assumption** | | |
| <…> | | |

# Lessons learnt, complementarity and cross-cutting issues (max. 1½ pages, section completed during identification)

## Lessons learnt

<…>

## Complementarity, synergy and donor coordination

<…>

## Cross-cutting issues

<…>

# Description of the action (max. 2 pages, section completed during identification and formulation)

## Objectives/results and options[[2]](#footnote-3)

<…>

This programme is relevant for the Agenda 2030. It contributes primarily to the progressive achievement of SDG Goal(s)[[3]](#footnote-4)

{#sdg} {key} – {label}

{/sdg}.

This does not imply a commitment by the {#isMultiCountry} countries {/isMultiCountry}{^isMultiCountry} country {/isMultiCountry}benefiting from this programme.

## Main activities

### ***{#isBudgetSupport}*Budget support**

<…>

### **Complementary support**

{/isBudgetSupport}<…>

## Intervention logic

<…>

# Implementation

## Financing agreement

In order to implement this action, it is {#signFinancingAgreement}{/signFinancingAgreement}{^signFinancingAgreement}not{/signFinancingAgreement} foreseen to conclude a financing agreement with the partner country, referred to in {#isEDF} Article 17 of Annex IV to the ACP-EU Partnership Agreement.{/isEDF}{^isEDF}Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.{/isEDF}{#isOCT}Article 85(2) of Council Decision 2013/755/EU.{/isOCT}

## Indicative implementation period

The indicative operational implementation period of this action, during which the activities will be carried out and the corresponding contracts and agreements implemented, is **{implementationPeriod} months** from the date of {#signFinancingAgreement}entry into force of the financing agreement.{/signFinancingAgreement}{^signFinancingAgreement}adoption by the Commission of this Action Document.{/signFinancingAgreement}

Extensions of the implementation period may be agreed by the Commission’s authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute {#isEDF}non-substantial amendment in the sense of Article 9(4) of Regulation (EU) No 322/2015.{/isEDF}{^isEDF}technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.{/isEDF}

## ***{#isBudgetSupport}***Implementation of the budget support component

### Rationale for the amounts allocated to budget support

The amount allocated for budget support component and for complementary support are defined below:

{#isBudgetSupport}of which

{#parts}

{name} {EU\_amount\_txt} {/parts}{/isBudgetSupport}

This amount is based on <explanation>.

### **Criteria for disbursement of budget support**

a) 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;
* Implementation of a credible stability-oriented macroeconomic policy;
* Satisfactory progress in the implementation of <name PFM reform programme>;
* Satisfactory progress with regard to the public availability of timely, comprehensive and sound budgetary information.

b) The specific conditions for disbursement that may be used for variable tranches are the following: <provide a brief outline>.

The chosen performance targets and indicators to be used for disbursements will apply for the duration of the programme. However, in duly justified circumstances, <name of national authority> may submit a request to the Commission for the targets and indicators to be changed. The changes agreed to the targets and indicators may be authorised by exchange of letters between the two parties.

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

### Budget support details

Specify 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.]

In case of targeted budget support, 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.]{/isBudgetSupport}

Implementation modalities ***{#******isBudgetSupport}***for complementary support of budget support{/***isBudgetSupport***}

In case of a Multi-Annual Action Programme, distinguish the various annual amounts of the recurrent action.

#### **Grants: call for proposals <title> (direct management)** reuse this modality template for each envisaged call. A call can later be replaced by a direct award if the reasons for the exception from a call (Article 190(1)(a), (b) or (c) RAP) arise after the adoption of this decision

(a) Objectives of the grants, fields of intervention, priorities of the year and expected results

<Specify the objectives and the type of actions eligible for financing and the expected results[[4]](#footnote-5); make an appropriate link to section 4.1>

(b) Eligibility conditions

<essential eligibility criteria for applicants>

Specify the circle of potential applicants for funding with regard to essential characteristics[[5]](#footnote-6), in particular, their place of establishment[[6]](#footnote-7) (if applicable, note the extension to other countries in section ) and 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 PRAG Guidelines for grant applicants (annex E3a). 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 8(7) CIR, Article 20(9) Annex IV Cotonou, Article 89(1)(f) of Overseas Association Decision 2013/755/EU).

[Subject to information to be published in the call for proposals, the indicative amount of the EU contribution per grant is EUR <amount or range of amounts>[and the grants may be awarded to [sole beneficiaries (mono-beneficiaries) only][sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries)].][The indicative duration of the grant (its implementation period) is <number> months.]

(c) Essential selection and award criteria

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

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for grants under this call is <indicate percentage rate, which normally should not exceed 80% of the eligible costs of the action; do not insert 100 %>. The rate may be higher if the auto-financing capacity of the targeted beneficiaries is weak.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission’s authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call

[<trimester of the year>]or[This call has been launched on <date> under a suspensive clause of the adoption of this decision.]

(f) [Exception to the non-retroactivity of costs

The Commission authorises the eligibility of costs prior to the submission of the grant application as of <date>.] linked to recital (12) of the Financing Decision body

#### **Grant: direct award <title> (direct management)** reuse this modality template for each envisaged direct grant

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

<Specify the objectives and the type of actions eligible for financing and the expected results; make an appropriate link to section 4.1>

(b) Justification of a direct grant

Where the justification of a direct grant is based on a legal or factual monopoly of the beneficiary, the beneficiary is identified in the basic act or is a Member State or the nature of the action requires a specific type of beneficiary for its technical competence, specialisation or administrative power (Article 190(1)(c), (d) and (f) RAP), keep and complete the following phrase: [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.

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 190 RAP, i.e. the country is in a crisis situation referred to in Article 190(2) RAP; 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 6(1)(c) of the CIR for the EIDHR>

(c) Eligibility conditions

[<essential eligibility criteria for applicants>] Delete this point if the direct grant beneficiary is mentioned in (b) above

Specify the circle of potential beneficiaries of funding with regard to essential characteristics, in particular, their place of establishment[[7]](#footnote-8) (if applicable, note the extension to other countries in section ) and 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 PRAG Guidelines for grant applicants (annex E3a). 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 8(7) CIR for Budget, Article 20(9) Annex IV to ACP-EU Partnership Agreement (Cotonou) for EDF-ACP States, Article 89(1)(f) Overseas Association Decision 2013/755/EU for EDF-OCTs).

(d) Essential selection and award criteria

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

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(e) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is <indicate percentage rate, which normally should not exceed 80% of the eligible costs of the action>.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012 applicable by virtue of Article 37 of (EU) regulation n° 323/2015 if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission’s authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(f) Indicative trimester to conclude the grant agreement

<trimester of the year>

(g) [Exception to the non-retroactivity of costs

The Commission authorises the eligibility of costs prior to the submission of the grant application as of <date>.] linked to recital (12) of the Financing Decision body

#### **Procurement (direct management)**

Fill in the table. Do NOT mention the procurement procedure; its choice is the responsibility of the responsible authorising officer, not the Commission. Enter amounts only where required in section .

|  |  |  |  |
| --- | --- | --- | --- |
| Subject in generic terms, if possible | Type (works, supplies, services) | Indicative number of contracts | Indicative trimester of launch of the procedure |
|  |  |  |  |
|  |  |  |  |

#### **Indirect management with a [Member State][third donor country][EU specialised (traditional/regulatory)][agency][international organisation]** reuse this modality template for each case.

[A part of] this action may be implemented in indirect management with <name of the Member State’s or third donor country’s or EU specialised (traditional/regulatory) agency or international organisation> in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012 EDF [applicable by virtue of Article 17 of Regulation (EU) No 323/2015]. This implementation entails <describe the action to be entrusted to the entity>. This implementation is justified because < explain briefly the reasons for choosing this entrusted entity>.

The entrusted entity would carry out the following budget-implementation tasks <A short description of the tasks entrusted to the entrusted entity has to be included.> If no budget implementation tasks are entrusted to the entrusted entity, the management mode should not be indirect management, but direct management (e.g. direct award of a grant contract).

If acceptance by the entrusted entity identified above is uncertain and there is a viable second option consisting in another entrusted entity, this alternative, second option can be identified here:[If negotiations with the above-mentioned entrusted entity fail, that part of this action may be implemented in indirect management with <name of the alternative entrusted entity>. The implementation by this alternative entrusted entity would be justified because < explain briefly the reasons for choosing this entrusted entity> The alternative entrusted entity would <A short description of the tasks entrusted to the alternative entrusted entity has to be included.>]

Acting under the old pillar assessment until the new pillar assessment is done, only for international organisations[The entrusted international organisation[s] [and the alternative entrusted international organisation] [is][are] currently undergoing the ex-ante assessment in accordance with Article 61(1) of Regulation (EU, Euratom) No 966/2012 EDF [applicable by virtue of Article 17 of Regulation (EU) No 323/2015]. The Commission’s authorising officer responsible deems that, based on the compliance with the ex-ante assessment based on Regulation (EU, Euratom) No 1605/2002 and long-lasting problem-free cooperation, the international organisation[s] can be entrusted with budget-implementation tasks under indirect management.]

If acceptance by the entrusted 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 entrusted 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 templates ., . or . This second alternative should be placed at the end of section . The heading . (to be renumbered) is foreseen below.>]

Choose [The Commission authorises that the costs incurred by the entrusted entity may be recognised as eligible as of <a date prior to the adoption of this decision> because <add justification>.] If this phrase is not included, the costs incurred by the entrusted entity shall be eligible as of the date of entry into force of the delegation agreement; the eligibility may be set prior to its entry into force but not before the date of adoption of this decision provided that it is authorised by a prior approval.

#### **Indirect management with** in case of regional organisations that have not passed the standard pillar assessment**[a regional organisation][the partner country]**

**[**A part of] this action with the objective of <objective> may be implemented in indirect management with <name of partner country or the regional organisation (in particular the organisation of the regional authorising officer under the EDF)> in accordance with Article 58(1)(c) of the Regulation (EU, Euratom) No 966/2012 EDF [applicable by virtue of Article 17 of the Regulation (EU) No 323/2015]according to the following modalities:

The [partner country][regional organisation] will act as the contracting authority for the procurement and grant procedures. The Commission will control choose one of the options of indirect management without or with programme estimates[ex ante all the procurement and grant procedures.][ex ante all the procurement procedures except in cases where programme estimates are applied, under which the Commission applies ex ante control for procurement contracts above EUR 100,000 (or lower, based on a risk assessment) and may apply ex post control for procurement contracts up to that threshold. The Commission will control ex ante the grant procedures for all grant contracts.]

Payments are executed by the Commission keep the following in case of indirect management with programme estimates[except in cases where programmes estimates are applied, under which payments are executed by the [partner country][regional organisation] for see next paragraph[ordinary operating costs,] direct labour and contracts below EUR 300,000 for procurement and for grants.

The financial contribution [[partially] covers, for an amount of EUR <amount>,][does not cover] the ordinary operating costs incurred under the programme estimates.]

Choose [The Commission authorises that the costs incurred by the [partner country][regional organisation] may be recognised as eligible as of <a date prior to the adoption of this decision> because <add justification>.]

Choose either default (1) [In accordance with Article 190(2)(b) of Regulation (EU, Euratom) No 966/2012 and Article 262(3) of Delegated Regulation (EU) No 1268/2012 EDF[ applicable by virtue of Article 36 of the Regulation (EU) 323/2015 and Article 19c(1) of Annex IV to the ACP-EU Partnership Agreement], the [partner country][regional organisation] shall apply procurement rules of Chapter 3 of Title IV of Part Two of Regulation (EU, Euratom) No 966/2012. These rules, as well as rules on grant procedures in accordance with Article 193 of Regulation (EU, Euratom) No 966/2012 EDF [applicable by virtue of Article 17 of the Regulation (EU) No 323/2015], will be laid down in the financing agreement concluded with the [partner country][regional organisation]].

Or exceptionally (2) if in the case of the imprest component of a programme estimate or in the case of a partner country managed pool fund, a prior pillar assessment has approved/is expected to approve the own procurement (and, if so, grant) award procedures of the partner country's implementing body:[In accordance with Article 190(2)(b) of Regulation (EU, Euratom) No 966/2012 and Article 262(3) of Delegated Regulation (EU) No 1268/2012 EDF[ applicable by virtue of Article 36 of the Regulation (EU) 323/2015 and Article 19c(2) of Annex IV to the ACP-EU Partnership Agreement], where managing the [imprest component of the programme estimate][pool fund], the [partner country][regional organisation] shall apply the positively assessed procurement [and grant] rules of its own implementing body. These rules will be laid down in the financing agreement concluded with the [partner country][regional organisation]]. In case the outcome of the assessment is negative, the partner country shall apply the Commission's procurement [and grant] rules.

a) Overview of implementation this sub-section which is needed for the TAPs has to be deleted for processing the draft FinDec/AAP.

|  |  |
| --- | --- |
| Activity/objective/result, include location | Type of financing (works, supplies, or service contract, grant, programme estimate) |
|  |  |
|  |  |

b) Implementation through programme estimates this sub-section which is needed for the TAPs has to be deleted for processing the draft FinDec/AAP.

[The contracting authority for these activities shall be [the [National][Regional][Territorial] A uthorising Officer][<authority of the partner country>].]

where applicable[The project supervisor shall be <name of the Ministry>]

in case of “direct decentralised operations”[An imprest administrator and an imprest accounting officer, and their deputies, shall be appointed for the management and implementation of the programme estimate by the contracting authority, in agreement with the Head of Delegation.]

in case of “public indirect decentralised operations”[The management and implementation of the programme estimate shall be carried out by the following national body governed by public law or national body governed by private law with a public-service mission: <name of the institution>. The agreement between the partner country and the national body shall explicitly appoint the two persons, and their deputies, who will take on the duties of the imprest administrator and of the imprest accounting officer.]

in case of private indirect decentralised operations under EDF[The management and implementation of the programme estimate shall be carried out by a service provider to be selected following EU procurement rules and contracted in indirect management by the partner country.]

In accordance with the powers delegated to them by the partner country authority that appointed them, the imprest administrator and the imprest accounting officer shall draw up and implement programme estimates, award contracts and grants, commit expenditure and make the corresponding payments.

The imprest administrator and the imprest accounting officer shall submit their technical and financial reports to the project steering committee, where applicable, and to the [the [National][Regional][Territorial] Authorising Officer][<authority of the partner country>] and a copy to the Head of the EU Delegation.

c) Implementation through a pool fund [A part of] this action may be implemented in indirect management with <name of the Partner Country's organisation> in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012, applicable by virtue of Article 17 of Regulation (EU) No 2015/323. This implementation entails <describe the action to be entrusted to the entity>. This implementation is justified because < explain briefly the reasons for choosing this entrusted entity>.

The entrusted entity would carry out the following budget-implementation tasks <A short description of the tasks entrusted to the entrusted entity has to be included.> If no budget implementation tasks are entrusted to the entrusted entity, the management mode should not be indirect management, but direct management (e.g. direct award of a grant contract).

[The entrusted Partner Country's organisation[s] is currently undergoing the ex-ante assessment in accordance with Article 61(1) of Regulation (EU, Euratom) No 966/2012, applicable by virtue of Article 17 of Regulation (EU) No 2015/323. The Commission’s authorising officer responsible deems that, based on the compliance with the ex-ante assessment based on Regulation (EU, Euratom) No 1605/2002 and long-lasting problem-free cooperation, the Partner Country's organisation[s] can be entrusted with budget-implementation tasks under indirect management.]

Choose [The Commission authorises that the costs incurred by the entrusted entity may be recognised as eligible as of <a date prior to the adoption of this decision> because <add justification>.] If this phrase is not included, the costs incurred by the entrusted entity shall be eligible as of the date of entry into force of the financing agreement; the eligibility may be set prior to its entry into force but not before the date of adoption of this decision provided that it is authorised by a prior approval.

## {#isBlending}

#### **Contribution to <name of an existing Regional Blending Facility>**

This contribution may be implemented under indirect management with the entities, called Lead Financial Institutions, and for amounts identified in the appendix of this action document, in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012{#isEDF} applicable by virtue of Article 17 of the Regulation (EU) No 323/2015]{/isEDF}. The entrusted budget-implementation tasks consist in the implementation of procurement, grants, financial instruments and payments. The entrusted Member State agency or international organisation shall also monitor and evaluate the project and report on it. The Lead Financial Institutions are not definitively known at the moment of adoption of this Action Document but are indicatively listed in its appendix. A complementary financing decision will be adopted under Article 84(3) of Regulation (EU, Euratom) No 966/2012 to determine the Lead Financial Institutions definitively.

Acting under the old pillar assessment until the new pillar assessment is done, only for international organisations [Certain entrusted entities are currently undergoing the ex-ante assessment in accordance with Article 61(1) of Regulation (EU, Euratom) No 966/2012{#isEDF} applicable by virtue of Article 17 of the Regulation (EU) No 323/2015]. The Commission’s authorising officer responsible deems that, based on the compliance with the ex-ante assessment based on Regulation (EU, Euratom) No 1605/2002, they can be entrusted with budget-implementation tasks under indirect management.{/isEDF}

## {/isBlending}

#### **Changes from indirect to direct management mode due to exceptional circumstances (one alternative second option)**

Describe here the alternative implementation modality in direct management (choose from ., . and . and combine them if necessary) 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.

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 keep the phrase if any cases below are included[, subject to the following provisions].

Reflect the below additions by including these countries in the geographical eligibility of grants described in sections and .

Option for EDF-ACP States and OCTs, DCI, ENI, INSC and PI only [In accordance with Budget[Article 9(2)(a) of Regulation (EU) No 236/2014]EDF-ACP States[Article 22(1)(a) of Annex IV to the ACP-EU Partnership Agreement]EDF-OCTs[Article 89(2)(f)(i) of Council Decision 2013/755/EU]; the Commission decides that natural and legal persons from the following countries having traditional economic, trade or geographical links with neighbouring partner countries shall be eligible for participating in procurement and grant award procedures: <name of country 1>, <name of country 2>, <…> The supplies originating there shall also be eligible.]

[In accordance with Budget[Article 8(3) of Regulation (EU) No 236/2014] EDF-ACP States[Article 20(6) of Annex IV to the ACP-EU Partnership Agreement]EDF-OCTs [Article 89(1)(c) of Council Decision 2013/755/EU] and with regard to the [global] [regional][[8]](#footnote-9) [cross-border] nature of this action, the Commission decides that natural and legal persons from the following countries, territories or regions shall be eligible for participating in procurement and grant award procedures: <name of country 1>, <name of country 2>, <…> The supplies originating there shall also be eligible.]

For ENI[In accordance with Article 16 of Regulation (EU) No 232/2014 and with regard to the aim of [ensuring of coherence and effectiveness of EU financing][fostering regional and trans-regional cooperation], the Commission decides that natural and legal persons from the following countries, territories or regions shall be eligible for participating in procurement and grant award procedures: <name of country 1>, <name of country 2>, <…> The supplies originating there shall also be eligible.]

Include always for EDF, DCI, ENI, INSC and PI [The Commission’s authorising officer responsible may extend the geographical eligibility in accordance with Budget[Article 9(2)(b) of Regulation (EU) No 236/2014]EDF-ACP States[Article 22(1)(b) of Annex IV to the ACP-EU Partnership Agreement]EDF-OCTs[Article 89(2)(f)(ii) and 89(3) of Council Decision 2013/755/EU] on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.]

Indicative budget

|  |  |  |
| --- | --- | --- |
| The table must correspond to the structure of the implementation described in sections 5.3 and . 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 recurrent action in consistency with section .  **This is an example; you have to construct your own table** | **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** |
| ***{#isBudgetSupport == true}***5.3.- Budget support [Good Governance and Development Contract][Sector Reform Contract][State Building Contract] | <amount> | <amount, currency>{/} |
| [Objective/Result][Component] <name 1> composed of | <amount> |  |
| Call for proposals <title> (direct management) | <amount> | EUR <amount>[[9]](#footnote-10) |
| Direct grant <specify> (direct management) | <amount> | EUR <amount>[[10]](#footnote-11) |
| Procurement (direct management) | N.A. | |
| [Objective/Result][Component] <name 2> composed of | <amount> |  |
| Call for proposals <title> (direct management) | <amount> | EUR <amount>[[11]](#footnote-12) |
| Indirect management with <name of MS’s, 3rd donor country’s or EU agency or international organisation> | <amount> | <amount, currency> |
| [Objective/Result][Component] <name 3> composed of | <amount> |  |
| Indirect management with <MS’s, 3rd donor country’s or EU agency or international organisation > | <amount> | <amount, currency> |
| Procurement (direct management) | N.A. | |
| Indirect management with <name of partner country or regional organisation> | <amount> | <amount, currency> |
| Procurement – total envelop | <amount> | N.A. |
| Evaluation - Audit | [<amount>][will be covered by another decision][[12]](#footnote-13) | N.A. |
| Communication and visibility | [<amount>][N.A.][[13]](#footnote-14) | N.A. |
| Contingencies[[14]](#footnote-15) | <amount> | N.A. |
| Totals must correspond to the amounts in the fourth line in the summary table on page 1 | <sum> | <one sum for each currency or convert all into EUR> |

### Organisational set-up and responsibilities

<…>

### Performance monitoring and reporting

<…>

The day-to-day technical and financial monitoring of the implementation of [this action][projects resulting from a call for proposals] will be a continuous process and part of the implementing partner’s responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) or the list of result indicators (for budget support). The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

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

### Evaluation

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 foreseen: [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 foreseen: [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.>.]

[In case an evaluation is not foreseen, 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 foreseen and is to be contracted by the Commission: [The Commission shall inform the implementing partner at least <insert number of days/months> in advance of the dates foreseen for the evaluation 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. 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 expected to be concluded and where hence the exception from D+3 shall apply for evaluation, evaluation is to be implemented by way of procurement (beyond the operational procurement foreseen in section ). Therefore, include the overall budget allocation (together with Audit in section 5.6) and keep this phrase [Indicatively, [one][<number>] contract[s] for evaluation services shall be concluded [under a framework contract] in <indicate as precisely as possible the timing of the launch of the procedure>.]

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

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

Where a financing agreement is expected to be concluded and where hence the exception from D+3 shall apply for audit, audit is to be implemented by way of procurement (beyond the operational procurement foreseen in section ). Therefore, include the overall budget allocation (together with Evaluation in section 5.6) and keep this phrase

[Indicatively, [one][<number>] contract[s] for audit services shall be concluded [under a framework contract] in <indicate as precisely as possible the timing of the launch of the procedure>.]

Where no financing agreement will be concluded, select this option:

[The financing of the audit shall be covered by another measure constituting a financing decision.]

### Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

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

<insert implementation modalities of procurement, and/or, exceptionally, grants, if applicable, in accordance with the Instructions>

In addition, where the communication and visibility measures are implemented by way of procurement (beyond the procurement foreseen in section ) include the overall budget allocation, indicative number and type of contacts (including use of framework contracts, if any) and the indicative trimester of the launch of the procedure. The same type of information has to be provided as is required for section .

*{#isProject == true}*Only for project modality Pre-conditions (max. ½ page, completed during formulation, and only where relevant)

<…>

*{/}*

# *{#isProject == true}*[APPENDIX - Indicative Logframe matrix (for project modality) [[15]](#footnote-16)] (max. 2 pages, completed during identification and formulation)

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Results chain** | **Indicators** | **Baselines**  **(incl. reference year)** | **Targets**  **(incl. reference year)** | **Sources and means of verification** | **Assumptions** |
| **Overall objective: Impact** | The broader, long-term change which will stem from a number of interventions by the partner government and development partners, which the EU funded action will (indirectly) influence. | Measures the long-term change at country or sector level. For example, literacy rate disaggregated by sex. However, it is normally not appropriate for the project itself to try and collect this information. | Ideally, to be drawn from the partner's strategy | Ideally, to be drawn from the partner's strategy | To be drawn from the partner's strategy. |  |
| **Specific objective(s):**  **Outcome(s)** | The medium-term effects of the action which tend to focus on the changes in behaviour resulting from project/ programme outputs. The EU funded action will contribute to these changes. | Measures the change in factors determining the outcome. For example, number of children enrolled/completing school disaggregated by sex. | The starting point or current value of the indicator. | The intended value of the indicator. | Sources of information and methods used to collect and report (including who and when/how frequently). | Factors outside project management's control that may impact on the outcome-impact linkage. |
| **Outputs** | The direct/tangible **outputs** (infrastructure, goods and services) delivered by the action. These can be controlled directly and as such can be linked to the donor funded assistance. | Measures the degree of delivery of the outputs. For example, number of schools built and teachers trained disaggregated by sex. | Idem as above for the corresponding indicator. | Idem as above for the corresponding indicator. | Idem as above for the corresponding indicator. | Factors outside project management's control that may impact on the output-outcome linkage. |

*{/}*

## *{#isProject == false}*[APPENDIX - Indicative list of result indicators (for Budget Support)[[16]](#footnote-17)] (max. 2 pages, completed during formulation)

The inputs, the expected direct and induced outputs and all the indicators, targets and baselines included in the list of result indicators are indicative and may be updated during the implementation of the action without an amendment to the financing decision. The table with the indicative list of result indicators will evolve during the lifetime of the action: new columns will be added for intermediary targets (milestones), when it is relevant and for reporting purpose on the achievement of results as measured by indicators. Note also that indicators should be disaggregated by sex whenever relevant.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Results chain** | **Indicators** | **Baselines**  **(incl. reference year)** | **Targets**  **(incl. reference year)** | **Sources and means of verification** |
| **Overall objective: Impact** | The broader, long-term change which will stem from the partners’ government policy, which the EU funded action will support: generally consists in poverty eradication, promotion of inclusive and sustainable growth, consolidation of the democratic and economic governance | Measures the long-term change at country or sector level. For example, reduction in income and non-income poverty; empowerment and social inclusion of poor people and disadvantaged groups etc. | Ideally, to be drawn from the partner's strategy | Ideally, to be drawn from the partner's strategy | The source of information is usually the Performance Assessment Framework (PAF) of the partner country. |
| **Specific objective(s): Outcome(s)** | The positive responses by beneficiaries- services users and economic actors – to the partners’ government policy management and service delivery. The EU funded action will contribute to these changes. | Measures the change in factors determining the outcome. For example, increased use of goods and services provided by the public sector, improved competitiveness of the economy. | The starting point or current value of the indicator. | The intended value of the indicator | Idem as above for the corresponding indicator. |
| **Induced outputs** | The improved partner’s public policies, public sector spending and public sector delivery. The EU funded action will contribute to these changes. | Measures the degree of delivery of the outputs. For example, increased quantity and quality of goods and services provided by the public sector, improved Public Finance Management and procurement systems. | Idem as above for the corresponding indicator. | Idem as above for the corresponding indicator. | Idem as above for the corresponding indicator. |
| **Direct outputs** | Improvement in the relationship between external assistance and the national budget and policy processes. This level of results will be the most directly influenced by the EU funded action. | Measures the change in factors determining the induced outputs. For example, increased size and share of external assistance funds made available through national budget, capacity development support better coordinated. | Idem as above for the corresponding indicator. | Idem as above for the corresponding indicator. | Idem as above for the corresponding indicator. |

{/}

1. Official Development Aid is administered with the promotion of the economic development and welfare of developing countries as its main objective. [↑](#footnote-ref-2)
2. Adjust the title using 'options' only during identification and deleting 'and options' for the final AD. [↑](#footnote-ref-3)
3. If a partner country has established country specific SDG targets (as foreseen by the UN Resolution on SDGs agreed in September 2015), the text may also refer to those country specific SDG targets, assuming that data for the corresponding indicators are available and of adequate quality. [↑](#footnote-ref-4)
4. 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 focus the objectives and priorities of the call as much as possible. On this issue, please also see footnote 4 on the narrowing down of the eligibility criteria. [↑](#footnote-ref-5)
5. 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. On this issue, please also see footnote 3 on the better focusing of the objectives and priorities of the call for proposals. [↑](#footnote-ref-6)
6. 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-7)
7. 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-8)
8. Pursuant to Article 20(6) of Annex IV to Cotonou Agreement, the regional dimension is the only option for EDF – ACP States. [↑](#footnote-ref-9)
9. Use the calculation method: (EU grant funding available/funding rate in %) x 100 ) – EU grant funding available = grant beneficiaries' co-financing = third party contribution [↑](#footnote-ref-10)
10. Use the calculation method: (EU grant funding available/funding rate in %) x 100 ) – EU grant funding available = grant beneficiaries' co-financing = third party contribution [↑](#footnote-ref-11)
11. Use the calculation method: (EU grant funding available/funding rate in %) x 100 ) – EU grant funding available = grant beneficiaries' co-financing = third party contribution [↑](#footnote-ref-12)
12. Where the action is not covered by a financing agreement (see section 5.1), 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-13)
13. Consider that contracts under this heading must be concluded within N+1 where no financing agreement is concluded and within D+3 where a financing agreement is concluded. [↑](#footnote-ref-14)
14. 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-15)
15. Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'. [↑](#footnote-ref-16)
16. Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'. [↑](#footnote-ref-17)