Annex <number>

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 8 of IPA III Regulation and Article 23 of NDICI - Global Europe Regulation.

# SYNOPSIS

# Action Summary Table

|  |  |
| --- | --- |
| **Title** |   |
| **CRIS/OPSYS**  | [CRIS number/OSPYS business reference][[1]](#footnote-2) |
| **Basic Act** | Financed under the Instrument for Pre-accession Assistance (IPA III) |
| **Team Europe Initiative**  | [Yes/No] |
| **Zone benefiting from the action** | The action shall be carried out in  |
| **Programming document** | IPA III Programming Framework |
| **PRIORITY AREAS AND SECTOR INFORMATION** |
| **Window and thematic priority** |  |
| **Sustainable Development Goals (SDGs)** |  |
| **DAC code(s)** [[2]](#footnote-3) |   |
| **Main Delivery Channel** [**@**](http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/annex2.htm) |  |
| **Markers [[3]](#footnote-4)** **(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 | [ ]  | [ ]  | [ ]  |
| Trade development | [ ]  | [ ]  | [ ]  |
| Reproductive, maternal, new-born and child health | [ ]  | [ ]  | [ ]  |
| Disaster Risk Reduction | [ ]  | [ ]  | [ ]  |
|

|  |
| --- |
| Inclusion of persons with Disabilities |

 | [ ]  | [ ]  | [ ]  |
| Nutrition[[4]](#footnote-5) | [ ]  | [ ]  | [ ]  |
| **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[[5]](#footnote-6)** | **Policy objectives** | **Not targeted** | **Significant objective** | **Principal objective** |
| Connectivity | [ ]  | [ ]  | [ ]  |
| Digitalisation | [ ]  | [ ]  | [ ]  |
| Migration[[6]](#footnote-7) | [ ]  | [ ]  | [ ]  |
| Covid-19 | [ ]  | [ ]  | [ ]  |
| **BUDGET INFORMATION** |
| **Amounts concerned** | Budget line: Total estimated cost: EUR Total amount of EU budget contribution EUR\_\_\_\_\_\_\_\_\_\_\_\_ [of whichEUR \_\_\_\_\_\_\_\_\_\_\_ for indirect management with IPA III beneficiary].[This action is co-financed in [parallel] [joint] co-financing by:- \_\_\_\_\_\_\_\_\_\_ for an amount of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_- \_\_\_\_\_\_\_\_\_\_\_ for an amount of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **MANAGEMENT AND IMPLEMENTATION** |
| **Implementation modalities (type of financing and management mode)** |  [Project Modality] [Budget Support] [**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 [the entity(ies) to be selected in accordance with the criteria set out in section 4.4.4] [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_] [**Indirect management with** 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 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] |
| **Final Date for conclusion of Financing Agreement**  | At the latest by 31 December N+1 |
| **Final date for concluding contribution / delegation agreements, procurement and grant contracts** | [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** | 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[[7]](#footnote-8) following the adoption of the Financing Decision[Option 2: if a Financing Agreement is foreseen] <number> months[[8]](#footnote-9) following the conclusion of the Financing Agreement |
| **Final date for implementing the Financing Agreement** | 12 years following the conclusion of the Financing Agreement |

# Summary of the Action

½ page max

# RATIONALE

# Context

1,5 page max

# Problem Analysis

½ page max per area of support

Short problem analysis

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

# DESCRIPTION OF THE ACTION

# Intervention Logic

½ page

The underlying intervention logic for this action is that

# Indicative Activities

½ page

Activities related to Output 1.1

Activities related to Output 2.1:

Activities related to Output #:

# Mainstreaming

1 page max

**Environmental Protection, Climate Change and Biodiversity**

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

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

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

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

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

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

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

# Risks and Lessons Learned

½ page max

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

**Lessons Learned:**

| **Results** | **Results chain: Main expected results**[maximum 10 [**@**](https://europa.eu/capacity4dev/results-and-indicators)**]** | **Indicators**[at least one indicator per expected result[**@**](https://europa.eu/capacity4dev/results-and-indicators)] | **Baselines**[values and years] | **Target**[values and years] | **Sources of data** | **Assumptions** |
| --- | --- | --- | --- | --- | --- | --- |
| **Impact** |  |  |  |  |  | *Not applicable* |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

# IMPLEMENTATION ARRANGEMENTS

# Financing Agreement

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

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

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[[9]](#footnote-10).

# Direct Management (Grants)

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

**(b) Type of applicants targeted**

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

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

# Direct Management (Prize(s))

# Direct Management (Procurement)

# Indirect Management with a [Member State Organisation] [third donor country] [EU specialised (traditional/regulatory) agency] [international organisation]

# Indirect Management with an IPA III beneficiary

# Contribution to <name of the relevant Regional Investment Platform>

# EFSD+ operations covered by budgetary guarantees

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

# 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).

# Indicative Budget

|  |  |  |
| --- | --- | --- |
| **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]) |
| **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 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> |
|  |
| **Indirect management with** <IPA III beneficiary> | <amount> | <amount, currency> or N.A |
| **Grants** – total envelope under section 4.4.1  | <amount> | N.A. |
| **Procurement** – total envelope under section 4.4.3[[10]](#footnote-11) | <amount> | 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] [[11]](#footnote-12) | N.A. |
| **Communication and visibility** – cf. section 6 | [<amount>] [will be covered by another Decision] | N.A. |
| **Contingencies**[[12]](#footnote-13) | <amount> | 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

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]

# PERFORMANCE MEASUREMENT

# Monitoring and Reporting

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

# 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 areas of support [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.>.]

In the case of a TEI, evaluations jointly with other contributing Member States and EDFIs will be the preferred option to provide an overview of the action within the larger impact of the TEI.

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 inform the implementing partner at least <insert number of days/months> in advance of the dates envisaged 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 following the best practice of evaluation dissemination[[13]](#footnote-14). 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. 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.

# COMMUNICATION AND VISIBILITY

Visibility of EU funding and communication about objectives and impact of Actions are a legal obligation for all Actions funded by the EU, as set out in the EU communication and visibility requirements in force.

In particular, the recipients of EU funding shall acknowledge the origin of the EU funding and ensure its proper visibility by:

* providing a statement highlighting the support received from the EU in a visible manner on all documents and communication material relating to the implementation of the funds, including on an official website and social media accounts, where these exist; and
* promoting the actions and their results by providing coherent, effective and proportionate targeted information to multiple audiences, including the media.

Visibility and communication measures shall be implemented, as relevant, by the national administrations (for instance, concerning the reforms linked to EU budget support), entrusted entities, contractors and grant beneficiaries. Appropriate contractual obligations shall be included, respectively, in financing agreements, delegation agreements, and procurement and grant contracts.

The measures shall be based on a specific Communication and Visibility Plan, established and implemented in line with the EU communication and visibility requirements in force. The plan shall include, inter alia, a communication narrative and master messages for the Action, customised for the various target audiences (stakeholders, civil society, general public, etc.)

Visibility and communication measures specific to this Action shall be complementary to the broader communication activities implemented directly by the European Commission services and/or the EU Delegations and Offices. The European Commission and the EU Delegations and Offices should be fully informed of the planning and implementation of the specific visibility and communication activities, notably with respect to the communication narrative and master messages.] Additional text to be added for multi-country actions [It is the responsibility of the implementing partner(s) to keep the EU Delegations/Office and the European Commission fully informed of the planning and implementation of the specific visibility and communication activities.]

*<insert any other specific provisions on visibility and communication relevant to the Action>*

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

*Text to be used for* ***Union Programmes***.

 Visibility and communication measures shall be implemented in accordance with the EU communication and visibility requirements in force and the specific rules of each Union programme. The relevant programme managing entity shall be responsible for monitoring the visibility and communication activities. The European Commission and the EU Delegations and Offices should be fully informed of the planning and implementation of the specific visibility and communication activities.]

*<insert any other specific provisions on visibility and communication relevant to the Action>*

# SUSTAINABILITY

1. Depending on the availability of OPSYS at the time of encoding, a provisional CRIS number may need to be provided. [↑](#footnote-ref-2)
2. DAC sectors (codes and descriptions) are indicated in the first and fourth columns of the tab ‘purpose codes’ in the following document: <http://www.oecd.org/dac/financing-sustainable-development/development-financestandards/dacandcrscodelists.htm> [↑](#footnote-ref-3)
3. For guidance, see <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/or indicators). [↑](#footnote-ref-4)
4. Please check the [Handbook on the OECD-DAC Nutrition Policy Marker](https://scalingupnutrition.org/wp-content/uploads/2020/12/OECD_PolicyMarkerNutrition.pdf) [↑](#footnote-ref-5)
5. These markers have a different scope/rationale than the DAC codes. They are drawn from the level of budget allocation and emphasis given to the action in terms main objective(s) selected. The definition of objectives, results, activities in description of the action should be in line with this section. [↑](#footnote-ref-6)
6. For detailed information on programming migration and forced displacement, please have a look at the [thematic guidance note](https://myintracomm.ec.europa.eu/DG/INTPA/devco-management/programming/Pages/index.aspx#thematic-guidance) on migration and forced displacement; for information on the migration marker please look at annex 2 of the thematic guidance note. [↑](#footnote-ref-7)
7. Number of months should not exceed 72 months. [↑](#footnote-ref-8)
8. Number of months should not exceed 72 months. [↑](#footnote-ref-9)
9. [www.sanctionsmap.eu](http://www.sanctionsmap.eu) Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails. [↑](#footnote-ref-10)
10. 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-11)
11. 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-12)
12. 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-13)
13. See best [practice of evaluation dissemination](https://europa.eu/capacity4dev/evaluation_guidelines/wiki/disseminating-evaluations) [↑](#footnote-ref-14)