of the Commission Implementing Decision on the financing of the annual action programme to be financed from the general budget of the Union for Article 5 of the Instrument contributing to Stability and Peace for 2019

**Action Document for CBRN risk mitigation – EU CBRN CoE**

**ANNUAL PROGRAMME**

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation and action programme/measure in the sense of Articles 2 and 3 of Regulation N° 236/2014.

<table>
<thead>
<tr>
<th>1. Title/basic act/ CRIS number</th>
<th>Annual Action Programme 2019- CBRN risk mitigation 2019/041-844 financed under the IcSP</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Zone benefiting from the action/location</td>
<td>Global</td>
</tr>
<tr>
<td>4. SDGs</td>
<td>Primarily SDG 16 &quot;Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels&quot;</td>
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<tr>
<td>5. Sector of intervention/ thematic area</td>
<td>CBRN - outreach export control– ISTC/STCU</td>
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<td>6. Amounts concerned</td>
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<td>7. Aid modality(ies) and implementation modality(ies)</td>
<td>Project Modality</td>
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<tr>
<td>Direct management through:</td>
<td>- Procurement of services and supplies</td>
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<tr>
<td>Indirect management with international organisations</td>
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<tr>
<td>8 a) DAC code(s)</td>
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<td>b) Main Delivery Channel</td>
<td>10000 - PUBLIC SECTOR INSTITUTIONS</td>
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<td>9. Markers (from CRIS DAC form)</td>
<td>General policy objective</td>
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<td>Participation development/good governance</td>
<td>Not targeted</td>
</tr>
<tr>
<td>Aid to environment</td>
<td>☐</td>
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<tr>
<td>Gender equality and Women’s and Girl’s Empowerment</td>
<td>X</td>
</tr>
<tr>
<td>Trade Development</td>
<td>☐</td>
</tr>
<tr>
<td>Reproductive, Maternal, New born and child health</td>
<td>X</td>
</tr>
<tr>
<td>RIO Convention markers</td>
<td>Not targeted</td>
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<tr>
<td>Biological diversity</td>
<td>X</td>
</tr>
<tr>
<td>Combat desertification</td>
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<td>Climate change mitigation</td>
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SUMMARY

Chemical Biological Radiological and Nuclear (CBRN) activities are mainly implemented under the umbrella of the European CBRN Centres of Excellence Initiative (EU CBRN CoE), which is currently operating in 61 partner countries worldwide coordinated by 8 regional centres.

The demand driven, regional and all hazards principle of the CBRN programme is based on voluntary and consensual cooperation, building sustainable partnerships and transfer of knowledge between the EU and partner countries.

Through an inter-ministerial approach, partner countries are carrying on CBRN needs and risk assessments to develop National Action Plans. Once endorsed, these plans serve as a basis to increase capabilities in prevention, preparedness and response to CBRN risks. Using the CBRN CoE network and experience, several regions are now also developing regional action plans, which will enhance their cross-border cooperation. In 2019 and 2020, a series of expert workshops, trainings, table-top and field real-time cross-border exercises will be implemented. Within this frame, the International Science and Technology Centre (ISTC in Astana) and the Science and Technology Centre in Ukraine (STCU in Kiev) will further support the multilateral cooperation in security (EU, USA, Japan, Norway, the Republic of Korea, Kazakhstan) and reach out to new partner countries.

Activities aiming to strengthen international cooperation in the field of dual use export controls by promoting the EU export control legislation in partner countries will be continued. The objective is to support the implementation of international norms related to the non-proliferation of WMD, in particular the United Nations Security Council Resolution 1540 of 2004 which calls on States to take and enforce appropriate and effective measures for export controls including their delivery systems and related measures such as trans-shipment control and financing as well as relevant international agreements and multilateral export control regimes, including the Australia Group, the Nuclear Suppliers Group, the Wassenaar Arrangement and the Missile Technology Control Regime. On the crossroad between security and trade the promotion of the EU export control legislation (dual use list) in partner countries will facilitate trade and therefore stimulate the establishment of effective export control administrations.

All actions foreseen will support EU’s external security policy objectives, including President Juncker's priority 9 “EU as a stronger global actor”, the 2016 EU Global Strategy and the UN Sustainable Development Goal 16 (security governance, capacity building). They will also mirror the actions outlined in the EU CBRN Action Plan. They take into account the conclusions of the 2018 follow up special report of the European Court of Auditors on the CoE.

1 CONTEXT ANALYSIS

1.1 Context Description

Reinforcing capacities and governance in the area of CBRN risks

One of the threats addressed by the IcSP is the inadequate control over agents and materials that pose a danger to the security of populations. In a globalized world where the circulation of persons and goods is constantly happening, the risk of global threats in CBRN area is increasing.

In this context a response to such threats is given through the European Union CBRN Centres of Excellence Initiative that provides a flexible tool to enhance cooperation based on sound needs and risks assessments; the support to ISTC and ISTC and the continuation of the dual use export control programme.
1.2 Policy Framework (Global, EU)

The EU CBRN CoE Initiative contributes to providing direct or indirect support to a series of EU strategic objectives and policies through its regional and demand driven approach, involving eight regions in the world, currently 61 partner countries and two international institutes (ISTC/STCU), in particular:

- **President Juncker's priorities** as developed in the - Commission work programme 2016: A stronger global actor (security governance and development, export control and trade); forward looking climate change policy; new policy on migration (preventive approach);

- **the European Agenda on Security** (COM(2015) 185 final) on the importance to prevent access and deployment of dangerous substances, such as CBRN materials, as well as the importance of cooperation with third countries and bringing close the internal and external dimensions of security.

- **The 2016 Global strategy** for the EU’s Foreign and Security Policy, of the High Representative. The EU CBRN CoE Initiative is supporting the multilateral cooperation in security. It is also supporting the implementation of the WHO International Health Regulation, the UNSC resolution 1540 and the Biological and Chemical weapons Convention. Concrete cooperation mechanisms have been established with existing CBRN CoE Initiative's structures in the partner countries (ownership-sustainability), in the EU Member States and at the international level (e.g. NATO accredited Joint CBRN Defence Centre of Excellence). UNSC resolution 1325, reaffirming the important role of women in the prevention and resolution of conflicts and in peace-building;

- **The EU 2010-2015 CBRN action plan** outlying the CBRN risk mitigation strategy and its driving all-hazards principle, which is followed by the bottom-up and regional EU CBRN CoE Initiative;

- **the 2030 Agenda for Sustainable Development** SDG 16 promoting peaceful and inclusive societies, good governance, capacity building, fight against illicit trafficking and organised crime. Secondary the project could contribute to the achievement of SDG 12 “Ensure sustainable consumption and production patterns”; SDG 3 “Good health and well-being” and SDG 5 “gender equality”;

- **Article 21 of the Treaty on European Union** (TEU) : which has as prime objectives preserving peace, preventing conflicts, strengthening international security and assisting populations, countries and regions confronting natural or man-made disasters, and other factors such as terrorism, organised crime, gender-based violence, climate change, cyber security challenges and security threats emanating from natural disasters, posing a risk to stability and security;

- **the Action Plan to enhance preparedness against chemical, biological, radiological and nuclear security risks**, adopted in October 2017, which under objective 3 pursues stronger internal-external links and engagement in CBRN security with key regional and international EU partners, acknowledging the need to mainstream CBRN security in EU external action through the development of capacities in third countries (notably in neighbouring countries), enhancing cooperation with strategic partners (NATO) as well as specialised international organisations, such as Interpol, IAEA, OPCW and building on the renewed commitment of the UN Security Council to prevent terrorists from acquiring weapons of mass destruction;

- **the Joint Communication “Increasing resilience and bolstering capabilities to address hybrid threats”** (JOIN(2018) 16 of 13.6.2018) on the importance of international cooperation to reinforce actions against CBRN threats;

- **Regulation (EC) No 1717/2006** was adopted with the objective of enabling the Union to provide a consistent and integrated response to situations of crisis and emerging crisis, to address specific global and trans-regional security threats and to enhance crisis preparedness.
1.3 Public Policy Analysis of the partner country/region

The partner countries that joined the CBRN CoE initiative, with very few exceptions, are lacking comprehensive public policy in CBRN risks mitigation. This is why the EU is supporting through this programme (a) the design of the national strategies through the establishment of National Action Plans based on needs assessment, (b) the adoption of such plans by the government and (c) their subsequent implementation. Needs and threats are very specific to each country, but once they are identified and prioritised, partner countries can look for synergies and cooperate to formulate projects for which a regional approach proves to be more effective.

A need assessment questionnaire has been completed in 38 countries while 18 countries are busy completing it. 25 countries have already a National Action Plan and 11 are drafting it.

1.4 Stakeholder analysis

The main stakeholders are the national and regional authorities, administrative infrastructures and agencies in charge of CBRN governance (duty bearers), as well as civil society such as industry representatives, EU professional associations, individual scientists and engineers (other stakeholders who will represent the voices of the right holders) and ultimately the citizens of the countries benefiting from these actions. Indirectly, the EU internal security in this area will be enhanced and the EU citizens will benefit from these measures.

1.5 Problem analysis/priority areas for support

The evolving nature of the above described threats facing the world today, warrants new responses that address these security threats. In order to fulfil public health and security requirements and to guarantee and protect the human rights, countries will not only have to carry out continuous monitoring of their population’s safety and security, but also develop the capacity to identify potential risks emerging internationally that can affect their population. In particular, the CBRN capacities and networking capabilities of all countries surrounding the Mediterranean and Black Sea, including candidate countries and potential candidates for the EU membership, and including Moldova, Armenia and Azerbaijan, should be strengthened as a priority. Assisting in developing our partners’ security capacities will enhance our mutual protection, as CBRN threats do not respect borders.

The actions to be financed are identified following the bottom-up principle and an inter-ministerial approach, based on national needs and risk assessments, which are discussed and aggregated at a regional level and lead to project financing. This approach is a transfer of the EU philosophy of cooperation and sharing of knowledge between partner countries. Using the structure and identification methodology of the CoE Initiative, the CBRN scope is progressively extended to other areas considered as emerging or so far not well covered regional CBRN related priorities by the partner countries.

Additional actions are foreseen, including in the regions or countries where the CoE Initiative is not active: support for retraining and alternative employment of scientists having dual use technology knowledge and outreach in Export control in dual use items will be continued.

2 Risks and Assumptions

<table>
<thead>
<tr>
<th>Risks</th>
<th>Risk level (H/M/L)</th>
<th>Mitigating measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Difficulties with gaining access to reliable data (when pertinent disaggregated by sex and nationality).</td>
<td>M</td>
<td>The Commission services and the EEAS will play a key role in contacting and involving targeted countries and has already established a network of contacts. The Needs Assessment Questionnaire (NAQ) and the National Action Plans (NAP) ensure consistency and ownership and contribute to minimize this risk.</td>
</tr>
</tbody>
</table>
Difficulties in addressing countries’ requirements

The technical support to the Regional Secretariats and the Commission will be provided mainly by the JRC - follow-up of implementation, technical compliance of proposals, etc. - and by targeted on-site assistance. ICSP staff in EU DELs will also support these activities.

Engaging national agencies responsible for dealing with the CBRN threats

It is considered that the integrated NAQs and the formulation of a NAP help to engage relevant agencies and ministries from partner countries. Governance issues are being dealt with by a specific governance team missions. They transfer best practices and deal with the inter agency dimension.

Frequent government restructuring, lack of clear delineation of duties and responsibilities between federal agencies; changing in the composition of national teams (NT)

The Regional Secretariats and National Focal Points are invited to inform promptly the Commission and EU DELs about potential changes in the partner countries.

Industry remains unconvinced of the benefits of an efficient export control system, or is deterred by heavy procedures, delays and bureaucratic hurdles

The EU Export Control outreach programme will address, among others, industry representatives.

Industry and scientific community’s relations to the State are still marked by caution and suspicion, and the related temptation to perform external economic operations without consideration to the relevant legislation

The role of NFPs and NTs should be further enhanced. It is important to provide the sufficient political support to the Initiative at the national level to reinforce the inter-ministerial working level of cooperation through methodology and projects.

Intended human rights violations/harm regarding the security

The “Do not harm” principle will aim to avoid/mitigate any intended/indirect human right violation/harm (e.g.: UN Guidelines for Human Rights and Business will be respected).

The “leave no one behind” principle will be ensured by the bottom up approach, but the inclusion and the active participation of CSO and academia actors.

Assumptions

Partner countries have the political leverage to allow the implementation of CBRN policies and are willing to commit to regional cooperation

Partner countries are willing to participate and provide reliable data

Partner countries are willing to fulfil their obligations under the UN SCR 1540

3 LESSONS LEARNT AND COMPLEMENTARITY

3.1 Lessons learnt

A lack of governance and harmonized national preparedness and fragmentation of responsibilities within the national, regional or international relevant network may be easily exploited by non-state actors to develop an illegal traffic of CBRN agents or make use of an uncontrolled export of dual-use items. This fragmentation is also ineffective because all necessary resources and expertise are divided amongst and shared by various organizations. Therefore, an effective strategy to deal with CBRN risk mitigation requires a high level of co-operation and co-ordination among many different authorities within and between countries. CBRN security needs to be addressed through coordinated action and cooperation between and within governments, the corporate sector, civil society, the media and individuals. No single institution or country has all the capabilities needed to respond to international public health emergencies caused by epidemics, natural disasters, environmental emergencies, chemical or biological attacks, or new and emerging infectious diseases. Coordination and cooperation with other international organisations (WHO, OSCE, IAEA, Committee under UNSCR 1540, OPCW, NATO etc.) to avoid duplication of efforts and the mutual leverage and synergies of actions will be continued.
These activities will promote an approach whereby security policy-makers can identify strategic objectives in line with a more interdisciplinary and development-oriented environment and allocate and coordinate resources effectively in order to achieve the identified objectives, using typical tools and the dynamics of an international context. Considering the importance of governance, other topics will also be considered, such as in the field of:

- Coordination/cooperation: building confidence and setting common working methods across different fields of expertise; team building, leadership, group thinking, drills, simulations, negotiation and mediation; involvement of partner country expertise is crucial. This will aim to contribute to the principle of participation and accountability.
- Communication: how to communicate on the decisions made at national and regional level and how to communicate with national Parliaments/legislative bodies and with civil society. Transparency and accountability will be strengthened;
- Policy analysis, business analysis and strategic planning: providing business and policy analysis in the region, including conflict resolution expertise;
- Public/private partnership: how to reach academia, civil society and industry will be essential for developing an integrated approach.

3.2 Complementarity, synergy and donor coordination

The EU CBRN CoE Initiative is implemented by the European Commission services in close coordination with the EEAS and with the support of the international partners like the United Nations Interregional Crime and Justice Research Institute (UNICRI), a consortium providing governance in CBRN risk mitigation issues (Governance Team) and the EC Joint Research Centre. The JRC is the European Commission in house science service, providing scientific advice and support to EU policy, independent from national interests, with a long-standing experience and expertise in radiological and nuclear research and training in support of EURATOM and the IAEA. The Initiative also builds upon the support of the EU Delegations in the partner countries. With regard to coordination with international organizations, cooperation with WHO, OPCW, UNSCR committee 1540, FAO, OSCE, INTERPOL, OIE, UNEP, IAEA and NATO is taking place, enabling exchange of information, ensuring better coordination and avoiding any overlaps of activities. Collaboration with other international donors will also be sought, when appropriate, including with the EU Member States. In Southeast Asia, coordination will take place with other partners of the ASEAN providing assistance in the field of CBRN risk mitigation. In the same way in Africa, African Union and the different regional organizations (ECOWAS, SADC, EAC, Collège Sahélien de Sécurité, GCC) will be involved and will provided their expertise. Collaboration with other international donors and relevant initiatives will also be sought, when appropriate, including with the EU Member States.

Two intergovernmental organizations, the STCU (in Kiev) and the ISTC (in Astana), exist to support the redirection of scientists and engineers with dual use knowledge and the implementation of CBRN activities. Coordination takes place with major parties such as the USA and Japan. Both centers are nowadays reviewing their project cycle in order to promote regional projects with larger impact beyond the scientific communities.

With regard to bio-safety and bio-security, there is an ongoing collaboration with WHO, OIE and FAO as well as with major parties inside the G7 Global Partnership Programme and the so-called Pentalat. The Global Partnership Programme, as well as initiatives such as the Global Health Security Agenda, are helpful in addressing and improving global responses to health security threats.

In the field of export control a coordination working group has been established with the United States. Following first efforts in 2015 to include Export Control of Dual Use into Non-Proliferation Dialogs with third countries, further activities will be developed in 2019. Further to first activities
on a regional basis in the Gulf Countries organised in 2015, the focus on regional efforts will be expanded in e.g. South East Asia and Central Asia with the aim to increase regional Export Control on dual use items cooperation.

Close coordination is on-going between EU services (e.g. DG JRC, DG HOME including security policy, security research and the CBRN Community of Users, DG ECHO, DG TAXUD, DG SANTE, DG TRADE and DG ENERGY), as well as with International organizations including e.g. WHO, the International Atomic Energy Agency (IAEA), and the United States.

Management of CBRN risks is regularly on the agenda of the CT/Security dialogues held with partner countries. CT/Security experts deployed in EU Delegations are tasked to liaise with and support the relevant CBRN CoE.

In the same line, synergies will be sought with other EU funded initiatives regarding prevention, preparedness and response to natural and man-made disasters such as the PPRD programs and IPA regional programs, twinning and TAIEX (financed by DG NEAR and managed by DG ECHO), activities under the European Union Civil Protection Mechanism (managed by DG ECHO) and with other activities (like trainings) on the area of rapid response and preparedness implemented by other DGs (DG TAXUD for example).

Synergies with the Instrument for Nuclear Safety Cooperation will be reinforced (in particular in Central Asia and Africa) and common projects (e.g. water security, transport of RN materials) will be promoted to address these issues also taking into account the priorities outlined at the Nuclear Security Summit of The Hague (2014).

Synergies will be ensured with disarmament and non-proliferation actions funded by the EU under the CFSP budget.

4 DESCRIPTION OF THE ACTION

4.1 Overall objective, specific objective(s), expected outputs and indicative activities

The overall objective is to address specific global and trans-regional threats to peace, international security and stability.

The specific objectives of this action are:

1. To enhance CBRN risk mitigation and security governance in partner countries mainly through the EU Centres of Excellence Initiative

   With at least the following outputs to be achieved:

   - Operational capacity of the EU CBRN CoE Regional Secretariats is increased including their capacity to be more transparent, accountable and to ensure participation of other stakeholders (civil society, academia, etc) to protect the right of the people (health and security);
   - Major needs, risks and priority actions in the areas of CBRN at national and regional level are identified by partner countries;
   - Capacities in the areas of CBRN preparedness and response are reinforced at national and regional level;
   - Governance aspects of the Initiative are reinforced (enhanced local ownership and prospects for the long-term sustainability);

2. To expand retraining and alternative employment (peaceful research activities or commercial programmes) of scientists having dual use technology knowledge through the International Science and Technology Centre (ISTC) and the Science and Technology Centre in Ukraine (STCU)

   With at least the following outputs to be achieved:
a culture of safety and responsible science is promoted, including the redirection towards peaceful activities of scientists and engineers with sensitive or dual use knowledge (women scientists will be encouraged to participate);

- risks associated to weaponized CBRN materials and their delivery systems are mitigated;
- international scientific partnership is developed and further integration of scientists with sensitive or dual use knowledge into the international scientific community is promoted.

3. To reduce the risk of proliferation of weapons of mass destruction by strengthening international cooperation in the field of dual use export controls

With at least the following outputs to be achieved:

- effective export control systems are created, consolidated and/or updated in partner countries in line with the basic principles of export control legislation and procedures as adopted by the international export control regimes and the EU dual use legislation;
- technical capacities of national export control officials, academics and industry professionals are reinforced and the exchange of knowledge and experience is increased;
- an international scientific network focusing on future threats and challenges in dual use export control is maintained and reinforced;
- coordination and dialogue with the export control regimes, countries that implement export controls, donors, international organizations, industry and academia is maintained and further promoted.

Main activities

Under Outcome 1:

- Supporting the running costs of the Regional Secretariats;
- Providing on-site technical assistance in each region;
- Organizing regional Round Table meetings, and international annual meetings of the Heads of Regional Secretariats and the National Focal Points;
- Organizing high level visit at ministerial level to raise awareness and stimulate political support; provide capacity building opportunity to the National Teams of experts to increase leadership, team management and communication skills
- Maintain and promote the CBRN knowledge sharing platform, websites and databases;
- Organising NAQs/NAPs workshops under the lead DG JRC for the drafting and promotion of the CBRN National Action Plans;
- Financing projects, following the demand-driven approach that would include activities related to:
  - measures for assuring that all the legislative framework, regulations and standards of the countries are in conformity with the international rules and regulations;
  - measures for assuring the safety of personnel working with dangerous biological agents, or dangerous chemicals at relevant facilities;
  - support to measures to establish bio risk management systems preferably based on relevant EU and international biological risk management standards and norms;
  - measures to assure effective controls and protection against illegal or unintentional release of dangerous biological agents, chemical products or radioactive/nuclear materials;
- measures to determine the effect of releases, accidental or intentional, of pathogenic agents, chemical products or radioactive/nuclear materials;
- measures to ensure the proper management of CBRN waste;
- capabilities to investigate and diagnose any events that might be caused by CBRN agents, including those escaping controls;
- measures against plant and livestock pathogens that present risks in respect of assuring food safety;
- capabilities and measures for reference lab in chemical and biological risks: detection and identification;
- reference lab in radioprotection/detection/identification capabilities and protection of radioactive sources;
- training of first responders in the context of regional preparedness and response; training of field epidemiologists;
- export and border control;
- training of trainers (women and people representing minority groups will be encouraged to participate);
- further targeted awareness raising.

Under Outcome 2:

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

Under Outcome 3:

- Supporting countries which expressed their willingness to share common legal structures, applying likewise assessment criteria and procedures to establish “safe” regions with respect to foreign trade activities and standardisation of export control legislation;
- Developing new tools for cooperation in countries or regions affected by conflicts (mainly neighbour of the neighbour countries) together with the local authorities and exploit potential synergies in the field of CBRN risk mitigation. The aim of these tools is to establish export control programmes for dual use items e.g. risk analysis, law enforcement, customs, updating licensing processing systems, transfer and transhipment of sensitive goods;
- Promoting a regulatory framework, covering primary and, where applicable, secondary legislation, including procedural questions;
- Implementing a licensing processing system that pays particular attention to questions around end use and end user assessment techniques;
- Developing an outreach to industry (including academia and research community) programme, that provides timely, adequate information and fosters interaction between government and industry in a dialogue to increase awareness and cooperation;
- Strengthening the enforcement sector, by addressing customs with specific topics, e.g. on risk management and commodity identification techniques, but with information exchange tools to other government authorities as well.
- To organize EU P2P Summer School and other networking events with the export control regimes

4.2 Intervention Logic

The objective of this comprehensive programme is to improve national CBRN risk mitigation policies and upgrade crisis preparedness mechanisms through the implementation of concrete actions in the areas of CBRN hazard identification, bio-safety and bio-security, export control of dual-use goods, illicit trafficking of CBRN materials, and the retraining of scientists.

As many activities will be implemented under the umbrella of the EU CBRN COE Initiative, it is important to maintain and reinforce the structure of such Initiative. The Regional Secretariats play a major role in developing a high level of cooperation and coordination between countries in the region and within the overall CBRN Risk Mitigation Centres of Excellence network and in bringing together existing capacities in the regions. The Regional Secretariats can stimulate and facilitate the participation of national/regional experts of the partner countries and – when necessary – involve international organizations active in this field.

The functioning of Regional Secretariats needs to be strengthened. They must improve their transparency, accountability, coordination role and facilitate the transfer of best practices, ensuring a participatory approach, avoid duplication of efforts and promote sharing of experiences. Additional efforts are needed to put several regional networks on a stronger basis and to attract a limited number of new partner countries, identified as serious gaps in the Initiative coverage, to participate in the Initiative. At present 7 Regional Secretariats are officially inaugurated and official opening of the last one (Nairobi) is foreseen in 2019. In order to reinforce the technical expertise of the Initiative, technical assistance will continue to be deployed in all regions.

Aiming at enabling an efficient implementation of this Initiative, an essential first step is to evaluate the national capacities (also evaluating their transparency, accountability and participatory mechanisms, as well as the quality of their services) to reduce the threats and risks associated with CBRN materials and to identify the measures in place to respond to CBRNE incidents. This work is carried out with the full knowledge of similar work implemented by other international stakeholders, such as under the Committee established under UNSCR 1540, WHO, IAEA, OPCW or OSCE ensuring full coordination of activities. The CBRN CoE Needs Assessment Questionnaire (NAQ) is currently being used as an instrumental tool for the CBRN needs analysis of the threats that is specific to each partner country. The identified gaps and needs will lead to the development of National Action Plans (NAP).

Based on the results of above described exercise, the National Focal Points (NFPs) in a given Regional Secretariat during Round Table meetings and/or technical discussions will formulate regional projects that address some of the common gaps and needs identified. The Commission will evaluate the projects proposals and select those that will receive funding with priority to proposals most relevant to EU security policies.
The employment of local expertise is strongly promoted in the execution of all the activities.

The logic of intervention of the EU CBRN risk mitigation Initiative advocates for a demand driven and regional approach. This methodology is based on the demand driven and inter-ministerial process and ensures the cooperation of the partner countries in the designing of projects with regional interest.

This should create a more genuine sense of ownership by the partner countries and should increase the chances of sustainability of their outcomes and of the Initiative as a whole.

There might be indeed emerging and urgent need to mitigate CBRN risks which might affect the EU itself. Here coordination should be ensured with the work of the Commission (DG HOME) led CBRN Advisory group of Member States CBRN Coordinators. The identification of such needs originates from: international organisations active in the CBRN domain; countries or regions affected by an imminent threat; and several regions covered or not by the CoE network. Trans-regional projects or activities in regions not covered by the CBRN CoE Initiative will therefore also be continued.

Radiological and nuclear materials exist in several locations and are linked to various activities. It is expected that the IcSP will cooperate with INSC to address these nuclear safety and security challenges in the regions not covered by the Centres of Excellence network. It is expected that a strong RN security and safety culture will be developed in the regions not covered by the network when it is of strategic importance for the EU.

In the chemical field post-conflict clean-up and achieving a reduction in threats to law and order, to the security and the safety of individuals, to critical infrastructure and to public health could be foreseen for instance in relation to Libya, and if circumstances permit with Syria. In the biological field, the main focus in the non-Centres of Excellence regions (including migration routes) or cross regions is on dangerous zoonotic diseases which can lead to fatal diseases in humans and on veterinary diseases with a high economic impact, such as African Swine Fever (ASF), Rift Valley Fever (RVF), Plague, Tularaemia, among others. The activities implemented are intended to improve preparedness, detection and response in the field of bio-safety/bio-security through improving capabilities of the laboratory networks concerned, inter alia, by providing highly needed training for staff. It is expected that the countries' disease surveillance mechanism will improve and will detect efficiently the biological threats that are endemic in the region and hence reduce the risk of dissemination of highly pathogenic agents.

A number of projects will be funded based on the outlined needs and priorities. Activities will be similar to those implemented under the CBRN Centres of Excellence Initiative (§3.2.1).

The final decisions on selection and funding of these specific projects will be made in close coordination with the institutions of the partner countries and with the international organisations, based on the urgency to address the identified threats and the protection of the EU interests. The number of such projects will be limited compared to those initiated by the CBRN CoE Initiative. Where relevant, CoE partner countries will be regularly updated on such activities outside of their geographical scope to ensure consistency.

4.3 Mainstreaming

These activities will promote an approach whereby security policy-makers can identify strategic objectives in line with a more interdisciplinary and development-oriented environment and allocate and coordinate resources effectively in order to achieve the identified objectives, using typical tools and the dynamics of an international context. Considering the importance of governance, other topics will be considered, such as in the field of:

- Coordination/cooperation: building confidence and setting common working methods across different fields of expertise; team building, leadership, group thinking, drills, simulations, negotiation and mediation;
• Communication: how to communicate on the decisions made at national and regional level and how to communicate with national Parliaments and with civil society;

• Policy analysis, business analysis and strategic planning: providing business and policy analysis in the region, including conflict resolution expertise;

• Public/private partnership: how to reach academia, civil society, scientific communities and industry will be essential for developing an integrated approach;

• Security governance, migration (including migration routes), trade, environment, biodiversity, climate adaptation, health, border control, gender cut across the issues described in this document;

• New areas for the CBRN CoE Initiative network.

Using the structure and identification methodology of the CBRN CoE Initiative, the scope of activities under this Initiative will be progressively extended to new areas considered as emerging or not well covered regional priorities by the partner countries.

4. 4 Contribution to SDGs

SDG 16
This intervention contributes primarily to the progressive achievement of SDG 16 "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels". SDG 12
It will also contribute to SDG 12 “Ensure sustainable consumption and production patterns”, especially in relationship with target 12.4 “By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment”. Access to clean water, soil and air contributes to reduce conflicts and migration flows.

SDG 3
The project will indirectly contribute to the achievement of SDG 3 “Good Health and Well-being” (especially Target 3.9 “By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination”).

SDG 5
Attention will be given to SDG 5 “Gender equality” by ensuring participation of women in awareness campaigns and in the risk management decision making, etc.

5 IMPLEMENTATION

5.1 Financing agreement
In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country/region.

5.2 Indicative implementation period
The indicative operational implementation period of this action, during which the activities described in section 4 will be carried out and the corresponding contracts and agreements implemented, is 64 months from the date of adoption by the Commission of this Financing Decision.

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

5.3 Implementation modalities
The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures\(^1\).

### 5.3.1 Procurement (direct management)

Part of the actions will be implemented through service and supply contract(s). Exceptionally, two call will be launched under a suspensive clause prior to the adoption of this decision:

- Contribution to the establishment and development of EU CBRN Centres of Excellence governance
- Support to the organisation of 2020 and 2021 events related to the CBRN Centre of Excellence Initiative and Export Control programme

This is justified because it will ensure:

- a) in the first case the continuity in the effort of strengthening the governance aspects of the initiative at all levels and fostering the anchoring of the initiative, taking into consideration that the on-going contract only covers until the end of 2019;
- b) in the second case, a timely start in the organization of the annual international meeting of the CoE stakeholders foreseen in 2020 and 2021 taking into consideration that the on-going contract only covers events until the end of 2019.

<table>
<thead>
<tr>
<th>Subject</th>
<th>Indicative type (works, supplies, services)</th>
<th>Indicative trimester of launch of the procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>EU CBRN Centres of Excellence – Implementation of actions</td>
<td>Services and supplies</td>
<td>Q2-Q4 2019</td>
</tr>
<tr>
<td>Technical support - AA</td>
<td>Services</td>
<td>Q3 or Q4 2019</td>
</tr>
<tr>
<td>Evaluation and communication</td>
<td>Services</td>
<td>Q3-Q4 2019</td>
</tr>
</tbody>
</table>

### 5.3.2 Indirect management with international organisations

A part of this action may be implemented in indirect management, through the signature of agreements with

- the International Science and Technology Centre (ISTC),
- the Science and Technology Centre of Ukraine (STCU), or

This implementation modality is justified by the long-standing experience of these organisations in dealing with CBRN issues.

The entrusted entities would implement CoE projects, scientist engagement activities and carry out the following tasks:

- monitoring activities;
- managing procurement procedures for purchasing goods, contracting consulting services and any other relevant transactions;

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\(^1\) [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.
- contributing to the administrative budget according to the respective International Establishing Agreements;
- coordinating of CBRN CoE Regional Secretariats and organisation of regional Round Tables, annual CoE events with NFPs and Heads of Regional Secretariats and CoE stakeholders;
- conducting promotion and visibility activities, following up of the implementation of National Action Plans and participation to global events.

In the interest of the programme, or if the 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 5.3.1.1.

5.4 Scope of geographical eligibility for procurement and grants

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

5.5 Indicative budget

<table>
<thead>
<tr>
<th>Regional capacity building projects, needs assessments, national action plans, data bases, training and tutoring, security governance, on-site assistance, Regional Secretariats, international outreach, Summer University, CoE meetings, communication</th>
<th>EU contribution (amount in EUR)</th>
<th>Indicative third party contribution, in currency identified</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Management – Service and supplies – CBRN projects</td>
<td>13 700 000</td>
<td>NA</td>
</tr>
<tr>
<td>Direct Management - AA with DG JRC</td>
<td>1 500 000</td>
<td>NA</td>
</tr>
<tr>
<td>Indirect Management - Agreement with ISTC</td>
<td>3 300 000</td>
<td>NA</td>
</tr>
<tr>
<td>Indirect Management - Agreement with STCU</td>
<td>1 000 000</td>
<td>NA</td>
</tr>
<tr>
<td>Indirect Management - Agreement with UNICRI</td>
<td>1 000 000</td>
<td>NA</td>
</tr>
<tr>
<td>Totals</td>
<td>20 500 000</td>
<td></td>
</tr>
</tbody>
</table>

5.6 Organisational set-up and responsibilities

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

5.7 Performance and Results 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. In the inception phase of each project fact finding field visits will provide information to draft baseline reports at national and regional level. Projects’ progress reports 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. The reports 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.
When trainings are delivered as part of the activities of a project, entry and exit tests will be done to assess the increased capacities of the trainees. The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.8 Evaluation

Having regard to the nature of the action, a final evaluation will be carried out for this action or its components via independent consultants contracted by the Commission. It will be carried out for accountability and learning purposes at various levels (including for policy revision). 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. The financing of the evaluation shall be covered by another measure constituting a financing decision.

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

5.10 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. 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 Requirements for European Union External Action (or any succeeding document) shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.
### APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

<table>
<thead>
<tr>
<th><strong>Impact (Overall Objective)</strong></th>
<th><strong>Results chain: Main expected results</strong></th>
<th><strong>Indicators</strong></th>
<th><strong>Sources of data</strong></th>
<th><strong>Assumptions</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To address specific global and trans-regional threats to peace, international security and stability.</td>
<td>Identification of major CBRN threats and priorities in specific areas and countries/regions (to be determined with programme stakeholders)</td>
<td>National Action Plans Baseline and end line CBRN threat assessments to be commissioned by the Action at project level CoE meetings and Round Tables minutes</td>
<td>Not applicable</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Outcome(s) (Specific Objective(s))</strong></th>
<th><strong>Results chain: Main expected results</strong></th>
<th><strong>Indicators</strong></th>
<th><strong>Sources of data</strong></th>
<th><strong>Assumptions</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. To enhance CBRN risk mitigation and security governance in partner countries mainly through the EU Centres of Excellence Initiative</td>
<td>SO 1. Number of safety and security measures or for risk mitigation undertaken at country / regional level</td>
<td>SO 1. Baseline and end line mapping reports on safety and security measures for risk mitigation at country/regional level</td>
<td>Reports provided by ISTC and STCU</td>
<td>Partner countries have the political leverage to allow the implementation of CBRN policies and are willing to commit to regional cooperation</td>
</tr>
<tr>
<td>2. To expand retraining and alternative employment (peaceful research activities or commercial programmes) of scientists having dual use technology knowledge through the International Science and Technology Centre (ISTC) and the Science and Technology Centre in Ukraine (STCU)</td>
<td>SO 2. Number of participating scientists with dual use knowledge involved.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. To reduce the risk of proliferation of weapons of mass destruction by strengthening international cooperation in the field of dual use export controls</td>
<td>SO 3 Number of partner countries using the EU Dual use list (Annex II) as a reference</td>
<td>Reports provided by implementers</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Outputs</strong></th>
<th><strong>Results chain: Main expected results</strong></th>
<th><strong>Indicators</strong></th>
<th><strong>Sources of data</strong></th>
<th><strong>Assumptions</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Operational capacity of the EU CBRN CoE Regional Secretariats is increased including their capacity to be more transparent, accountable and to ensure participation of other stakeholders (civil society, academia, etc) to protect the right of the people (health and security);</td>
<td>On-site technical assistance in place in all Regional Secretariats. Assistants to Regional Coordinators are maintained or recruited if needed. Limited budget allocated to Regional Secretariats</td>
<td>CBRN CoE Monthly bulletin</td>
<td>The RS has an appropriate legal structure</td>
<td></td>
</tr>
<tr>
<td>Section</td>
<td>Indicator</td>
<td>Reporting Source</td>
<td>Partner Countries' Participation</td>
<td></td>
</tr>
<tr>
<td>----------------------------------------------</td>
<td>---------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------</td>
<td>---------------------------------</td>
<td></td>
</tr>
<tr>
<td>1.2 Major needs, risks and priority actions</td>
<td>Number of CBRN CoE NAQs completed</td>
<td>Reporting of the CBRN CoE Secretariats</td>
<td>Partner countries are willing to participate and provide reliable data</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Number of CBRN CoE NAPs completed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Number of CBRN CoE Regional Action Plans (covering partially either C, B, R and/or N risks) developed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. 3. Capacities in the area of CBRN risks</td>
<td>Number of projects financed</td>
<td>CBRN CoE Monthly bulletin</td>
<td></td>
<td></td>
</tr>
<tr>
<td>reinforced at national and regional level</td>
<td>Number of CBRN CoE table tops, simulations and/or field exercises conducted</td>
<td>Database of event participants to be maintained by the Action</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Average number of CBRN National Team meetings organised per partner country per year</td>
<td>Reporting of the CBRN CoE Secretariats CBRN CoE Monthly bulletin</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.4 Governance aspects of the Initiative are</td>
<td>Number of experts trained in CBRN related topics in internationally certified training centres (disaggregated by sex and age)</td>
<td>Pre- and post-training test reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td>reinforced (enhanced local ownership and</td>
<td>Participation of partner countries to the annual International NFPs and HoS meetings</td>
<td>Action database of participants</td>
<td></td>
<td></td>
</tr>
<tr>
<td>prospects for the long-term sustainability);</td>
<td>Number of projects financed covering</td>
<td>Reports provided by ISCT and STCU</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 A culture of safety is promoted, including</td>
<td>Number of scientist or engineers with sensitive or dual use knowledge engaged per year (disaggregated by sex and nationality)</td>
<td>Reporting of the CBRN CoE Secretariats Reports provided by implementers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>the redirection towards peaceful activities of</td>
<td>Number of participating countries involved (disaggregated by sex)</td>
<td>Reports provided by implementers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>scientists and engineers with sensitive or</td>
<td>Number of trained experts (disaggregated by sex)</td>
<td>Reports provided by implementers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>dual use knowledge</td>
<td>Number of projects financed covering</td>
<td>Reports provided by implementers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 risks associated to weaponized CBRN</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>materials and their delivery systems are</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>mitigated</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3 international scientific partnership and</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>further integration of scientists with</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>sensitive or dual use knowledge into the</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>international scientific community is</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>promoted</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 effective export control systems are created, consolidated and/or updated in partner countries in line with the basic principles of export control legislation and procedures as adopted by the international export control regimes and the EU dual use legislation.</td>
<td>Level of development of strategy trade control systems in target countries</td>
<td>Reports provided by implementers Reporting of the CBRN CoE Secretariats</td>
<td>Partner countries are willing to fulfil their obligations under the UN SCR 1540</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>3.2 technical capacities of national export control officials, academics and industry professionals are reinforced and the exchange of knowledge and experience is increased;</td>
<td>Number of legal frameworks revised/developed with the support of this Action (disaggregated by country)</td>
<td>Reports provided by implementers</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Number of experts from participating countries with increased knowledge on export control in dual use items (disaggregated by sex and country)</td>
<td>Pre- and post-training test reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3 an international scientific network focusing on future threats and challenges in dual use export control is maintained and reinforced;</td>
<td>Participation in scientific workshop(s)</td>
<td>Action database of participants Workshop conclusions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4 coordination and dialogue with the export control regimes, countries that implement export controls, donors, international organizations, industry and academia is maintained and further promoted.</td>
<td>Participation in conferences, workshops and dialogue events</td>
<td>Action database of participants Reports</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>