ANNEX VI

of the Commission Implementing Decision on the Annual Action Programme 2017 for Article 5 of the Instrument contributing to Stability and Peace to be financed from the general budget of the Union

**Action Document for Expert Support Facility**

<table>
<thead>
<tr>
<th>1. Title/basic act/ CRIS number</th>
<th>Expert Support Facility (Phase 1) CRIS number: IFS/2017/040125 financed under IcSP</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Zone benefiting from the action/location</td>
<td>Global</td>
</tr>
<tr>
<td>4. Sector of concentration/ thematic area</td>
<td>IcSP</td>
</tr>
<tr>
<td>5. Amounts concerned</td>
<td>Total estimated cost: EUR 4 150 000&lt;br&gt;Total amount of EU budget contribution EUR 4 150 000</td>
</tr>
<tr>
<td>6. Aid modality(ies) and implementation modality(ies)</td>
<td>Project Modality&lt;br&gt;Direct management – procurement of services</td>
</tr>
<tr>
<td>7 a) DAC code(s)</td>
<td>15210 - Security system management and reform</td>
</tr>
<tr>
<td>7 b) Main Delivery Channel</td>
<td>tbd</td>
</tr>
<tr>
<td>8. Markers (from CRIS DAC form)</td>
<td>General policy objective</td>
</tr>
<tr>
<td>Participation development/good governance</td>
<td>☐</td>
</tr>
<tr>
<td>Aid to environment</td>
<td>☐</td>
</tr>
<tr>
<td>Gender equality (including Women In Development)</td>
<td>X</td>
</tr>
<tr>
<td>Trade Development</td>
<td>X</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>
</tr>
<tr>
<td>Biological diversity</td>
<td>X</td>
</tr>
<tr>
<td>Combat desertification</td>
<td>X</td>
</tr>
<tr>
<td>Climate change mitigation</td>
<td>X</td>
</tr>
<tr>
<td>Climate change adaptation</td>
<td>X</td>
</tr>
<tr>
<td>9. Global Public Goods and Challenges (GPGC) thematic flagship</td>
<td>Not applicable</td>
</tr>
<tr>
<td>10. 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>
</tr>
</tbody>
</table>
SUMMARY
The Expert Support Facility (ESF) will contribute to the identification, formulation, evaluation and implementation of actions under Art. 5 “Assistance in addressing global and transregional threats and emerging threats” of the Instrument contributing to Stability and Peace (IcSP).

1 CONTEXT
1.1 Sector/Country/Regional context/Thematic area
The 2003 European Security Strategy (ESS) listed a number of diverse but interlinked threats which coincide with the many challenges covered by the then long-term component of the Instrument for Stability (IfS, predecessor of the current Instrument contributing to Stability and Peace). Proliferation of weapons of mass destruction, terrorism, organized crime and trafficking in drugs, human beings, small arms and light weapons, increased gender-based violence are of concern for every state and must be addressed jointly. The Communication of the European Commission on the EU’s Internal Security Strategy also notes the importance of cooperation with third countries and regional organisations in particular for combating multiple threats such as GBV, trafficking in human beings, drugs trafficking and terrorism.

The relevance of the Expert Support Facility (ESF) has been confirmed since 2008 by the previous phases (1 – 10) of the facility, as a flexible tool to support the definition and setting up of measures implementing the ESS by enabling to benefit from the specific knowledge and expertise available in the EU. In as sensitive and highly technical areas as the proliferation of weapons of mass destruction on the one hand and global and trans-regional threats to security on the other, considerable expertise is needed to identify and prepare actions included in IcSP 2014-2017 Strategy, as well as to identify other priorities and longer term needs of partners, and to address them in the best possible way.

To this end, these IcSP partners, and the EU as a whole must be able to draw upon the expertise, primarily provided by EU Member States' public and para-public institutions to support the identification, programming and implementation of Article 5 “Assistance in addressing global and trans-regional threats and emerging threats” of the IcSP.

1.1.1 Public Policy Assessment and EU Policy Framework
Not applicable.

1.1.2 Stakeholder analysis
The main stakeholders are the partner organisations and countries that will directly benefit from this expertise both through direct assistance and through the improvement of the assistance provided to them. The impact will be to enhance knowledge on trans-regional threats both directly and indirectly thereby improving the policies and actions of the partner countries. The EU Member States organisations will act as stakeholders through carrying out the action and networking between each other and the partner countries. The JRC is supporting the implementation of the ESF.

1.1.3 Priority areas for support/problem analysis
As defined by the relevant Regulation.

2 RISKS AND ASSUMPTIONS
The consultation launched in the first phases of the ESF and during the invitation to express an interest for the new framework contract in 2013, proved that among the Member States
there is considerable potential for mobilization of the type of expertise in question. The assumption that through the EU Member States appropriate expertise can be mobilised has proven to be correct. To avoid the risk of distortion of competition, attention will continue to be paid to transparency and to the fair treatment of EU Member States' services. Equally, the results of the implementation of the framework contract will be regularly monitored and was assessed in the course of 2012, in order to consider possible adjustments to the modalities or any other changes in view of tendering for the new framework contract established in 2014.

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The ESF was launched in 2008. Initially, priority was given to the preparation of the programming exercise for 2009-2011 by early consultations with beneficiaries and field assessment missions to identify their priorities within the past Instrument for Stability Strategy 2007-2011 in the areas covered by the then Art. 4(1) and 4(2) of the IfS. This was undertaken by primarily appealing to EU Member States' expertise through a Framework Contract (FWC) namely the Expert Support Facility Framework Contract (ESF FWC) aimed at Agencies, Departments and Ministries and public sector organisations of Member States. Since 2008 approximately 100 missions in beneficiary countries were carried out leading to better involvement and pre-endorsement of beneficiaries already at the indicative programming phase, and a better definition of priorities in more than 40 countries.

The ESF is seen as crucial in providing the necessary elements for the definition of the actions and for its subsequent implementation, or, as in some cases, providing elements on which basis it has to be decided that an action cannot or should not take place.

Experience gained from this exercise shows that early involvement of beneficiaries is key and indicates that Member States' services are able to provide high quality expertise even at short notice. The experience also confirmed that the approach of a Framework Contract aimed at Agencies, Departments and Ministries and public sector organisations of Member States relevant for the then Instrument for Stability (IfS) led to satisfactory results: The seven Lots\(^1\) established comprising 60 individual organisations or consortia thereof was valid for a period of five years. The period ended December 2013 and a framework contract has been established in 2014, to prepare for the next Multiannual Financial Framework, 2014-2020.

Cooperation with the Joint Research Centre (JRC) has continued on the basis of the administrative arrangement signed in 2008. The JRC has supported the implementation of the ESF in the following areas: nuclear security threats, export control on dual use goods, illicit trafficking and proliferation of chemical, biological, radiological, and nuclear (CBRN) materials, CBRN materials security, reconversion of Weapons of Mass Destruction (WMD) scientists, and money laundering tracking, critical maritime transport routes. The JRC has provided support for a number of specialised workshops and has contributed to part of the Critical Maritime Routes programme.

An independent assessment of the ESF FWC was carried out in 2012. This assessment included the first three years of operation of the framework contract focussing on the practical modalities, and reviewed the functioning so far of the framework contract, including its effectiveness. The evaluation concluded that the ESF FWC is a flexible and quick instrument

that requires only light administration. The FWC projects have met the criteria related to relevance, effectiveness, efficiency, impact and sustainability and it is recommended to continue utilizing this FWC for the preparation of the projects within the framework of the IcSP.

3.2 Complementarity, synergy and donor coordination

The present action complements other instruments of financial and technical cooperation, including geographic and thematic programmes, as well as other tools for implementation of EU policies concerning security, and in particular the crisis-related interventions of the Instrument contributing to Stability and Peace, both in its short-term and long-term components (Art. 3, 4 and 5). Following the Treaty of Lisbon, the relevance of the ESF to be used as a tool to ensure the best possible synergies in particular with EU Member States' and CSDP actions is expected to increase.

EU coordination is enhanced by the mobilisation of EU Member States' expertise by the European Commission. Furthermore, the experts mobilised are specifically given the task of identifying priority areas and actions already addressed by donors, including the European Commission, EU Member States and other relevant actors (inter alia UNODC, the World Customs Organisation (WCO), the International Maritime Organisation (IMO), Interpol, USA, etc.) in order to create synergies and contribute to coherence of EU action.

3.3 Cross-cutting issues

Projects in the area of ESF cut across many different sectors and issues, ranging from human rights, gender equality and good governance. All activities of the projects will be carried out in conformity with the principles of good governance, internationally recognised human rights standards as well as taking into account gender equality and will take into account the rights enshrined in the Charter of Fundamental Rights. Environment will be taken into consideration as a cross-cutting issue in the implementation of actions.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The overall objective of the ESF is to contribute to the aims of the IcSP by ensuring the best use of the resources in terms of the priorities to be addressed and the impact of responses. Actions under the ESF will enhance coordination with other donors, particularly but not exclusively with EU Member States.

The specific objective is to establish the ESF as a flexible structure aiming at the provision of more reliable and effective technical assistance to beneficiaries in the areas covered by the IcSP. To this end, the ESF is responsible for the support to the preparation and implementation of trans-regional and/or multi-purpose projects and programmes at the programming and implementation levels, as a centre of expertise. The present phase will focus on article 5 of the IcSP Regulation.

4.2 Main activities

The ESF will contribute to the identification, formulation, implementation and evaluation of actions under Art. 5 of the Instrument contributing to Stability and Peace.

Like in the previous phases the expected results to be achieved and the corresponding activities to be undertaken by the present phase of the ESF may include the following:

a) The capacity to support and to assist beneficiary countries in the framework of regional or trans-regional initiatives (short term training, legal advice, national security strategy support, etc.) to be later followed-up under the IcSP is enhanced.
b) The development of quality policy, strategies and overall programming is enhanced through the advisory groups and through access to quality studies undertaken by appropriate EU and third country experts and the establishment of sustainable relationships with the beneficiary countries:

- Organising and facilitating workshops/seminars/conference/study visit programmes with high-level specialists gathered under consortia led by EU Member States;
- Undertaking studies covering risk analysis, including using the Global Conflict Risk Index and the Global Crisis Atlas for measuring climate-related conflict risk and promoting situational awareness, gender analysis, assessments, identification/definition of needs, feasibility, analysis;
- Identifying synergies with actions by other donors.

c) Support is provided in the identification and formulation of projects and programmes in support to and taking into account the real needs and priorities of beneficiary countries:

- Conducting needs-assessment missions;
- Consulting and informing beneficiary countries in order to ensure their ownership;
- Drafting project proposals, terms of references, etc.;
- Ensuring the final endorsement by the beneficiary countries.

d) Deployment of experts on a short-, mid- or long-term basis for the carrying out of fact-finding and needs-assessment missions, ensuring a gender balanced approach; the provision of ad-hoc technical assistance, advices, trainings, capacity building inputs, etc.; or the concrete implementation in full or in part of programmes and projects:

- Taking delivery of and processing requests from beneficiary countries and Commission services for expert deployments;
- Recruitment of experts via public and/or para-public bodies already pre-selected under framework contract procedure. In some cases, private bodies owned or participated by public bodies and having an official mandate from the Member State have also been considered eligible;
- Preparing the experts through documentations, meetings and briefings in Brussels and/or the field;
- To the extent possible, consider the possibility of training the experts on EU policies and procedures, including on EU gender policies and the Gender Action Plan (2016-2020);
- Support in making logistical arrangements for the deployment of selected experts;

e) Programmes and projects implemented in/with beneficiary countries are monitored and evaluated:

- Monitoring the ongoing programmes and projects financed under the IcSP and providing recommendations on necessary corrective measures;
- Carrying out evaluations of programmes and projects including the assessment of outputs, outcomes and impacts;

4.3 Intervention logic

See Annex 1.
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, referred to in Budget Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 72 months (48 of implementation of the activities) months from the date of adoption by the Commission of this Action Document.

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 technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

5.3 Implementation modalities

5.3.1 Procurement (direct management)

<table>
<thead>
<tr>
<th>Subject in generic terms, if possible</th>
<th>Type (works, supplies, services)</th>
<th>Indicative number of contracts</th>
<th>Indicative trimester of launch of the procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification, formulation, implementation, evaluation etc.</td>
<td>Services</td>
<td>10</td>
<td>Q4/2017</td>
</tr>
<tr>
<td>JRC</td>
<td>Administrative Arrangement</td>
<td>2</td>
<td>Q2/2018</td>
</tr>
</tbody>
</table>

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.

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 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.

5.5 Indicative budget

<table>
<thead>
<tr>
<th>Module</th>
<th>EU contribution (amount in EUR)</th>
<th>Third party contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.3.1. Procurement (direct management), including</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procurement</td>
<td>3,780,000</td>
<td></td>
</tr>
<tr>
<td>of which Adm Arrangement with JRC (tentative)</td>
<td>300,000</td>
<td></td>
</tr>
<tr>
<td>5.8. Evaluation, 5.10 - Audit</td>
<td>500,000</td>
<td></td>
</tr>
<tr>
<td>5.10. Communication and visibility</td>
<td>70,000</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>4,150,000</td>
<td>0</td>
</tr>
</tbody>
</table>

5.6 Organisational set-up and responsibilities

The implementation of this project will be coordinated and led by the European Commission.
5.7 Performance 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) 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).

5.8 Evaluation

Having regard to the nature of the action, a mid-term or final evaluation will not be carried out for this action or its components. The Commission may, during implementation, decide to undertake an evaluation for duly justified reasons either on its own decision or on the initiative of the partner.

Any 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.

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.  

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 and supported with the budget indicated in section 5.5 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.
APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY) ²

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 without an amendment to the financing decision. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for listing the activities as well as new columns for intermediary targets (milestones) when it is relevant and for reporting purpose on the achievement of results as measured by indicators.

<table>
<thead>
<tr>
<th>Intervention logic</th>
<th>Indicators</th>
<th>Baselines (incl. reference year)</th>
<th>Targets (incl. reference year)</th>
<th>Sources and means of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall objective: Impact</td>
<td>To contribute to the aims of the long-term component of the IcSP by ensuring the best use of the resources in terms of the priorities to be addressed and the impact of responses.</td>
<td>1. Global and trans-regional efforts to address the threats posed by terrorism and organised crime, including illicit trafficking of human beings, drugs, firearms and explosive materials (Art. 5.1) are supported; 2. Chemical, Biological, Radiological and Nuclear (CBRN) risks, whether natural, accidental or criminal (Art. 5.2) are mitigated.</td>
<td>na</td>
<td>na</td>
<td>Commission’s Annual Report on the IcSP.</td>
</tr>
<tr>
<td>Specific objective (outcome)</td>
<td>To establish a flexible structure aiming at the provision of reliable and effective technical assistance to beneficiaries in the areas covered by the IcSP.</td>
<td>The number of activities and projects identified with support of the ESF and the number of assistance and support missions carried out.</td>
<td>na</td>
<td>na</td>
<td>Final Report ESF FWC.</td>
</tr>
</tbody>
</table>

² Mark indicators aligned with the relevant programming document mark with '*' and indicators aligned to the EU Results Framework with '**'.

[8]
and with respect of human rights. This includes most notably mainstreaming respect of human rights and good governance in the training courses designed or carried out within the ESF.

| Outputs                                                                 | 1. The development of quality policy, strategies and overall programming is enhanced through the advisory groups and through access to quality studies and the establishment of sustainable relationships with the beneficiary countries; 2. Support is provided in the identification and formulation of projects and programmes; 3. Experts are deployed on a short-, mid- or long-term basis for the carrying out of fact-finding and needs-assessment missions; the provision of ad-hoc technical assistance, advices, trainings, capacity building inputs, etc.; or the concrete implementation in full or in part of programmes and projects: 4. Programmes and projects that are a) monitored and b) evaluated | 1. The number of studies conducted. 2. Number of projects and programmes identified and formulated; 3. Number of experts deployed on a short-, mid- or long-term basis 4. Number of programmes and projects that are a) monitored and b) evaluated | na | na | Final Report ESF FWC. |
projects implemented in/with beneficiary countries are monitored and evaluated.