



This action is funded by the European Union

ANNEX II

of the Commission Implementing Decision on the Annual Action Programme 2015 for the Instrument contributing to Stability and Peace - Global and trans-regional threats

Action Document for Fighting Organised Crime

INFORMATION FOR POTENTIAL GRANT APPLICANTS - WORK PROGRAMME FOR GRANTS

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning grants awarded directly without a call for proposals: 5.3 “Grant – direct award (direct management)”

1. Title/basic act/ CRIS number	<u>Fighting Organised Crime</u> CRIS number: 2015/037-982 financed under the Instrument contributing to Stability and Peace (Article 5)			
2. Zone benefiting from the action/location	Miscellaneous Countries ¹			
3. Programming document	Instrument contributing to Stability and Peace - Multiannual Indicative Programme 2014-2017			
4. Sector of concentration/ thematic area	Fight against organised crime and illicit trafficking of drugs, small arms and light weapons (SALW) and explosives			
5. Amounts concerned	Total estimated cost: EUR 14 500 000 Total amount of EU budget contribution EUR 14 500 000			
6. Aid modality(ies) and implementation modality(ies)	Component A: Indirect management with the International and Ibero-American Foundation for Administration and Public Policies (FIIAPP) Component B: Direct management – direct grant award to INTERPOL			
7. DAC codes	15210 - Security system management and reform 16063 - Narcotics control 15240 - Reintegration and SALW control			
8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹ Includes Kosovo under UN Security Council Resolution 1244.

	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagship	Not applicable			

Summary of the action and its objectives

Component A "Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route" builds on the past experience and lessons learnt of the Heroin Route Programme and has as an objective to reinforce the due process-compliant capacities of countries along the so-called "heroin route" (South and Central Asia, Eastern Europe and potentially East Africa) to better address drug-related organised crime and build meaningful trust and networking amongst them that will enable them to cooperate (trans-)regionally while ensuring compliance with human rights and the rule of law. The proposed Action is in line with the European Security Strategy (2003), the new EU Drugs Strategy (2013-2020) and its Action Plan (2013-2016), as well as the European pact to combat international drug trafficking - disrupting cocaine and heroin routes (2010).

Component B continues the support to the INTERPOL Illicit Arms Records and tracing Management System (iARMS) which is an information technology system that facilitates information exchange and investigative cooperation between law enforcement agencies in relation to the international movement of illicit small arms and light weapons (SALW), as well as licit SALW that have been involved in the commission of a crime. iARMS is an action in support of the implementation of the EU Strategy to Combat Illicit Accumulation and Trafficking of Small Arms and Light Weapons (SALW) and their Ammunition (2006).

Both actions (Component A and B) promote synergies with the EU policy cycle for organised and serious international crime and the European Multidisciplinary Platform against Criminal Threats (EMPACT Heroin Group and EMPACT Firearms Group). In addition, for both actions, and especially the one foreseen under Component A, the Commission will ensure that measures are implemented in accordance with international law, including international human rights and humanitarian law, and in line with the EU Strategic Framework and Action Plan on Human Rights and Democracy. To ensure compliance with the obligations stipulated in Article 10 of the IcSP Regulation ("Human rights"), a clear human rights perspective will be incorporated throughout the different stages of the project cycle (elaboration of project documents; monitoring of implementation; evaluation) on the basis of the operational guidance developed to this end by the Commission, while relevant information shall be included in its regular reporting.

1 CONTEXT

1.1 Sector/Country/Regional context/Thematic area

Transnational organised crime is a multi-faceted phenomenon and manifests itself in different activities including drug trafficking, trafficking in human beings, in firearms and money laundering. Over the years, serious and organised crime has evolved in a dynamic and ever evolving phenomenon. Although it is difficult to measure the exact size of illicit markets, evidence drawn from law enforcement activity across the world suggests they are very large in both scale and impact. Serious and organised crime has a significant impact on the growth of the legal economy and society as a whole. The investment of criminal proceeds and trade in illicit commodities is interlinked with tax avoidance and money laundering that strengthens

criminal enterprises run by or associated with Organised Crime Groups (OCGs). Particularly in developing countries and in post-conflict situations, organised crime patronage networks serve as a source of instability that undermine positive changes in the area of stability, governance and socioeconomic development or even endanger post-conflict transitions. Together with corruption they have a devastating impact on the rule of law and hinder equal access to public services.

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

Trafficking in drugs is one of the major sources of revenue of organised crime. The threats posed by drug trafficking for the regions involved, including source, transit and destination countries are multiple. The impact on the economic and social development from drug abuse and the linked money laundering is estimated to be more than double to the corresponding criminal proceedings. Analyses of Europol and UNODC² show that the market for illicit drugs remains the most dynamic among the criminal markets with the highest number of OCGs involved; this has led to the increased cooperation but also competition between these groups across national, linguistic and ethnic divisions which make the phenomenon more complex to understand and even more difficult to address effectively.

The combined total opiates market at retail level could be worth up to 50 billion EUR (World Drug Report 2012, UNODC). Most profits are generated downstream, leaving the Afghan producers with only a fraction of the profits, estimated at 3.5% of the total value of the opiate industry. Afghanistan remains by far the largest source country for opiates worldwide. Opium poppy cultivation in Afghanistan reached a new sobering record high in 2013 (Afghanistan Opium Survey 2013, UNODC). There is particular concern of the impact of the withdrawal of the International Security Assistance Force (ISAF) from Afghanistan in light of the potential security challenges and possible related drug trafficking surge.

Despite the complexity of heroin trafficking routes, some global movements can be generalised for Afghan heroin as described in the World Drug Report 2013 by UNODC. The “Balkan route” is the oldest route consisting of an overland trajectory that travels via the Islamic Republic of Iran, Turkey and South-Eastern Europe to Western and Central Europe. The “Northern Balkan route” is a relatively recent variant on the Balkan Route which transits the Caucasus and Black Sea rather than Turkey. The “Northern route” goes through Central Asia and is mainly targeting the Russian Federation. An emerging network of trajectories known collectively as the “Southern route” travels southward from Afghanistan, either through Pakistan or the Islamic Republic of Iran, reaching Western and Central Europe via the Persian Gulf and East Africa or by direct air shipments targeting both Europe and Asia.

The traffic in Afghan opiates is harmful not only for the intended places of its destination, but also for the countries and territories it transits, considerably contributing, inter alia, to the spread of crime, corruption, drug abuse and HIV infection, and has serious implications for the legal, political, economic, and social stability in the countries at hand.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

Most present day conflicts are fought with small arms and light weapons (SALW) and the majority of deaths caused in conflict, particularly among the civilian population, are attributed to SALW which are the weapons of choice in civil wars and for organised crime, gang violence

² Europol’s Strategic Analysis Reports, available at: https://www.europol.europa.eu/content/page/strategic_analysis_reports; and UNODC’s annual World Drug Reports, available at: <http://www.unodc.org/wdr/>.

and terrorism. SALW availability is also linked to human rights violations ranging from killings and torture to sexual violence and forced recruitment by armed groups.

There is a clear link between armed violence and limited progress on development goals as conflict fuels poverty and impedes economic growth. Porous, uncontrolled borders and increased global trade create new opportunities for illicit trafficking in SALW, their ammunition and explosives. Although there are no reliable figures on the number of SALW in circulation globally, it is considered that the majority are in private hands. Much of the SALW originally come from licit trade but are diverted into illicit channels often as a result of weak governance, theft from national stockpiles, support to foreign armed groups or state-armed civilians. Linkages with organised crime and drug trafficking are frequent. Little is known, however, about the extent of arms flows within and between regions.

During the last five years illicit SALW proliferation has increased prominently due to a number of conflict situations which have led to the increased access to and availability of illicit SALW in volatile regions in the world through the plundering of state arsenals which have increased the availability of illicit SALW in circulation.

1.1.1. Public Policy Assessment and EU Policy Framework

As part of the relevant EU policy framework in the broader area of security, the EU's dialogue and cooperation with non-EU countries is shaped by different documents, most importantly the European Security Strategy and the Concept for European Community Support for Security Sector Reform which highlight the need for "nationally/regionally owned reform processes designed to strengthen good governance, democratic norms, the rule of law and the respect for human rights". The external aspect of related internal policies complement this framework; most notably these involve the EU Internal Security Strategy which is implemented in line with the Commission's Communication that identifies five strategic objectives, and the EU policy cycle for organised and serious international crime.

More generally, the United Nations Transnational Organized Crime Convention (UNTOC) ratified by 182 States is the main international instrument to address organised crime, supplemented by its three Protocols which target specific areas and manifestations of organised crime: the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children; the Protocol against the Smuggling of Migrants by Land, Sea and Air; and the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition.

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

Under the broader security policy umbrella, the EU has used a set of policy tools to develop a strategic response to the threats raised by drug production and trafficking: The EU Drugs Strategy 2013-2020 and Action Plan (2013-2016), as well as the European pact to combat international drug trafficking - disrupting cocaine and heroin routes (2010). Specifically for Central Asia, a third EU-Central Asia Action Plan on Drugs currently exists for the period 2014-2020. The aim is to tackle drugs within a policy framework balancing supply and demand approaches through measures within the EU, at external borders and with its international partners in a manner that promotes and protects human rights. As such, measures have to be implemented in accordance with international law, including international human rights and humanitarian law, and incorporate a clear human rights perspective on the basis of the "Tool-box for a Rights-based Approach, encompassing all human rights, for EU development cooperation" (2014) and the operational guidance developed to this end by the Commission in

line with article 10 of the IcSP Regulation.

As described at the 2013 EU Drug Markets Report, the EU Drugs Action Plans have built on previous work to develop policies to address the production of opiates³ in Afghanistan and the associated drug trafficking in countries located on the heroin route. A consolidated framework for action in Afghanistan was set out in the Council's Action-Oriented Paper Increasing EU support for combating drug production in and trafficking from Afghanistan, including transit routes. One of the three main commitments of the European pact to combat international drug trafficking has been to disrupt routes for trafficking heroin, and it has encouraged the adoption of a common approach to heroin trafficking by Member States.

At an international level, the key relevant instrument is the UN Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

The EU's response to the multifaceted SALW problem is anchored in the EU Strategy to Combat Illicit Accumulation and Trafficking of Small Arms and Light Weapons (SALW) and their Ammunition, adopted in 2005. The strategy sets down three principles underpinning the EU's action in the field of small arms and light weapons – prevention, cooperation with partners and support to multilateralism. This complements and contributes to the implementation of the UN Programme of Action on the Illicit Trade in Small Arms and Light Weapons and the International Tracing Instrument (which identifies INTERPOL as a key partner in the implementation of international tracing activities) by combining all the instruments and policies available to the EU for tackling all facets of the firearms issue. Internally, Member States and the Commission, on the basis of Europol's 2013 EU Serious and Organised Crime Threat Assessment, have made the disruption of illicit manufacturing and trafficking in firearms one of the EU's nine law enforcement priorities for 2014-17.

In recognising that trafficking in Small Arms and Light Weapons (SALW) and explosives (including SALW ammunition) is a highly destabilising threat, particularly when the destination countries are fragile or conflict-prone, the EU has been supporting the implementation of a wide range of projects in this area. The fight against SALW is one of the priority areas of action for the Instrument contributing to Stability and Peace (IcSP). In particular, since 2008, the IcSP long term component alone has committed EUR 15,5 million, while several region and country-specific actions have been financed by geographical instruments (European Development Fund, Development Cooperation Instrument, Instrument for Pre-Accession Assistance). Several complementing actions are also undertaken in the context of the Common Foreign and Security Policy within its specific objectives.

1.1.2 Stakeholder analysis

Key stakeholders will be the competent ministries, law enforcement services and judicial authorities. Within these organisations, key duty bearers, policy makers and implementers will be identified and engaged by the Action. Participation will be based on relevance and potential impact but an important consideration will be those institutions that capture data and represent vulnerable and under-represented interests (including women). Other key stakeholders include relevant non-governmental organisations as well as other donors and international/regional organisations like the UN; OSCE; G7's Rome-Lyon Group; US; ICMPD; UNODC; UNDP; UNODA; WCO; the Dublin Group; the Pompidou Group; the World Economic Forum Global

³ Opiates are a group of psychoactive substances derived from the poppy plant, which includes opium, morphine, codeine and some others. The term 'opiate' is also used for the semi-synthetic drug heroin that is produced from poppy compounds.

Agenda Council on Illicit Trade & Organized Crime. Other stakeholders include EU Delegations, EU Member States' embassies, EUROPOL, EMCDDA, EUROJUST, the CSDP missions, as well as EU experts, who will provide expertise and good practice.

Specifically for Component A, the geographic coverage of the heroin route spans along numerous countries which are members to different regional organisations, such as: ECO (Economic Cooperation Organisation)⁴, BSEC (Organisation of the Black Sea Economic Cooperation)⁵, and platforms such as SELEC (Southeast European Law Enforcement Centre)⁶, TRACECA (Transport Corridor Europe Caucasus Asia)⁷, Organisation for Democracy and Economic Development (GUAM)⁸, CARICC (Central Asia Regional Information and Coordination Centre)⁹, and the Black Sea Border Coordination and Information Centre (BSBCIC)¹⁰. Under ECO, the creation of the Drug and Organised Crime Coordination Unit (DOCCU) in Teheran, Iran provides a platform providing a structure for discussions on narcotic issues between the 10 ECO member countries, while following the ongoing ECO reform it is expected that an ECOPOL will be created. In light of the challenges several regional organisations are facing regarding their capacities, flexibility is necessary to avoid drawbacks related to organisational, leadership or mandate problems of regional platforms.

Specifically for Component B, INTERPOL has partnered with regional and international organisations such as the Small Arms Survey, Central America Small Arms Control (CASAC), UNODC, United Nations Office on Disarmament Affairs (UNODA), Regional Centre for Small Arms and Light Weapons RECSA, the Organisation for Security and Cooperation in Europe OSCE, the Southern African Regional Police Chiefs Cooperation Organisation (SARPPCO), Association of Police Chiefs of ASEAN member states (ASEANAPOL) and the Royal Canadian Mounted Police (RCMP) to market and promote the INTERPOL iARMS system as the only global law enforcement platform that allows for record keeping and tracing of firearms as well as the ability to conduct analysis on data to stem the flow of firearms globally. This relationship has been improved during the implementation period of Phase II through shared meetings, training events and exchange of information.

The ultimate stakeholders are the citizens in targeted countries who will benefit from improved referral mechanisms as well as better protection. The projects will enhance the EU's internal security. EU citizens will at least indirectly benefit from these Actions.

1.1.3 Priority areas for support/problem analysis

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

⁴ ECO: Afghanistan, Azerbaijan, Iran, Kazakhstan, Kyrgyzstan, Pakistan, Tajikistan, Turkey, Turkmenistan, Uzbekistan, with headquarters in Teheran (economic cooperation, includes DOCCU, Drug and Organised Crime Coordination Unit).

⁵ BSEC: Albania, Armenia, Azerbaijan, Bulgaria, Georgia, Greece, Moldova, Romania, Russia, Turkey and Ukraine with headquarters in Istanbul (economic cooperation, includes a working group on combating organised crime headed by Romania and a group on customs matter headed by Ukraine)

⁶ SELEC: Albania, Bosnia Herzegovina, Bulgaria, Croatia, Greece, Hungary, FYR of Macedonia, Montenegro, Romania, Serbia, Slovenia and Turkey with headquarters in Bucharest (police and customs cooperation).

⁷ TRACECA: Armenia, Azerbaijan, Bulgaria, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Romania, Tajikistan, Turkey, Ukraine and Uzbekistan, joined by Iran and with headquarters in Azerbaijan (transport corridors, infrastructure, trade and customs)

⁸ GUAM: Azerbaijan, Georgia, Moldova, Ukraine, with headquarters in Kiev.

⁹ CARICC: Azerbaijan, Kazakhstan, Kyrgyzstan, Russia, Tajikistan, Turkmenistan, Uzbekistan with headquarters in Almaty Kazakhstan (combating illicit trafficking of drugs and precursors).

¹⁰ BSBCIC: inside the Black Sea Cooperation Forum, Bulgaria, Georgia, Romania, Russian Federation, Turkey, Ukraine with headquarters in Bourgas, Bulgaria (maritime border/coast guard control).

An inherent problem in enhancing cooperation in the fight against drugs, is the lack of multi-layer cooperation that starts from the lack of inter-agency cooperation within a single country and extends to the lack of cooperation amongst countries and (sub-)regions which is the handicap exploited by organised crime groups in their operations. A key reason for this is the lack of trust amongst the different key stakeholders, therefore trust among law enforcement agencies and judiciary authorities needs to be strengthened to allow for improved international police cooperation in this region. Building trust among relevant authorities is a long process but a crucial one and for which EU assistance has a comparative advantage, but sustainable results can only be achieved when working with countries that demonstrate high commitment to engage in these areas. In order to build this trust and ownership, a two-stepped approach has to be used: actions at national level with highly committed countries and at (trans)-regional level that promote the adoption of good practices on drug control covering both demand and supply reduction and in line with EU drugs approach and good practices with a focus on good governance, democratic norms, the rule of law and the respect for human rights.

Given the dynamism and complexity of the organised crime phenomenon, a capacity for strategic analysis and threat assessment is needed to ensure that strategies and responses are fit to purpose and encouraging beneficiary authorities to focus their actions on most relevant areas of intervention. A regional approach on this topic should encourage the gradual adoption by beneficiary authorities of compatible methods and indicators which in turn should facilitate information sharing and cooperation among countries.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

The reporting and tracing of illicit firearms in a timely and reliable manner is a crucial component of the international strategy to combat the illicit trade in, and proliferation of, small arms and light weapons in all its aspects. “Firearm tracing” is the systematic tracking of a firearm found or seized, from the point of manufacture or the point of importation into a country, through the lines of supply and possession to the point at which it becomes illicit. It involves close co-operation among law enforcement, customs and border control agencies internationally, and is a key aspect of the Firearms Protocol supplementing the United Nations Convention Against Transnational Organized Crime (UNTOC).

INTERPOL with the financial support of the European Union has created the Illicit Arms Records and tracing Management System (iARMS) as a state-of-the art tool to combat the illicit trade in small arms and light weapons, by providing a platform for: (i) Coordination and provisional operational support to eliminate illicit firearms in circulation and support law enforcement operations against illicit flows of firearms; (ii) Capacity building initiatives in the areas of firearm identification and firearm crime investigations; (iii) Support for multi-purpose actions in the area of law enforcement intelligence networks to address interlinked activities of organised crime, including firearms trafficking; and (iv) Encompassing the networking of security databases, exchange of information between relevant stakeholders and assessment of risk.

The iARMS database assists all 190 INTERPOL member countries to identify the patterns of illicit firearms movement and to design interventions addressing SALW proliferation. The rationale of iARMS is directly in line with the objectives of the *2003 European Security Strategy* and the *IcSP Thematic Strategy Paper 2014-2010*.

2 RISKS AND ASSUMPTIONS

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

Risks	Risk level (H/M/L)	Mitigating measures
Political instability and insecurity in the beneficiary countries that will disrupt the project activities	M	Flexibility in project activities to allow for shift of country focus.
Lack of commitment by the beneficiary country authorities to cooperate	M	For the selection of priority countries, engagement will be pursued only with those demonstrating clear political will and determination for change management. For the (trans)regional activities, the demand-driven nature of the activities ensures the interest and commitment of the authorities.
Frequent government restructuring, lack of clear delineation of duties and responsibilities between relevant agencies	H	Risk assessments and strong involvement of EUDs will mitigate this risk.
Weak institutional capacity and/or low political will to cooperate among neighbours remain a constant challenge to the official ability to effectively investigate and prosecute crime	M	Through increased awareness, peer pressure for action and other means, this risk will be mitigated.
Lack of synergies between this Action and other EU-funded programs at national and regional level.	L	Regular coordination with EU HQ services, EU Delegations and engaged EU MS in countries where the activities take place will be pursued.
Assumptions		
<ul style="list-style-type: none"> • The Governments of the beneficiary countries are committed to cooperate both at a national and regional level. • All institutions involved in the project are committed to the overall objective and purpose of the Action throughout the duration of the project and ready to develop a working cooperation agenda • The responsiveness, financial and technical capacity of the beneficiary countries will not decline in the forthcoming years. • Sufficient capacities at national and (sub-)regional levels can be mobilised for participation in the activities. • The security situation in the beneficiary countries will not deteriorate. 		

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

Risks	Risk level (H/M/L)	Mitigating measures
Lack of Member Country commitment to use and further develop iARMS	L	Continue the effective outreach and communication strategy for the promotion of iARMS's use.
Lack of agreement with existing national tracing systems and national stolen and lost firearms databases to create a seamless direct interface with iARMS and with a view to enable searching in a single end-user transaction	M	Continue the effective outreach and communication strategy for the promotion of the single end-user transaction search options and propose technical solutions that are compliant with data protection issues. Promotion of Business to Business connections.
Assumptions		
<ul style="list-style-type: none"> • The INTERPOL Member Countries realise the added value of iARMS and use the system. • Technical solutions exist in addressing national tracing systems and national stolen and lost firearms databases' particularities in linking with iARMS. 		

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

The results of the independent Mid-term Review of the Heroin Route Programme (2013) have informed the present Action Document and will further feed into the formulation of Component A, coupled with the findings of a gap analysis undertaken by independent experts.

The challenging security and political context in the countries at hand, as well as obstacles as massive staff rotation in the targeted institutions and agencies, have hindered progress as well as significant consolidation of results in the previous phase of the Heroin Route Programme. These elements need to be assessed, and anticipated, allowing for activities to be designed accordingly i.e. be more tailored to the regional and local situation taking into account potential risks to prevent delays or failure in the implementation of activities.

It was observed that improved responses to organised crime and drug trafficking require going beyond the traditional law enforcement approach since a strictly law-enforcement intervention alone is not optimal given the cross-cutting issues that need to be taken into account in creating an efficient programme. Expansion to inter-related sectors to achieve coherence with EU strategies should be considered, such as inclusion of drug demand and harm reduction activities and promotion of best practices to complement law enforcement cooperation.

Moreover, it was noted that orientation of activities should lean towards more support for intelligence-led investigation techniques and threat assessment capabilities, coupled with mentoring. In order to avoid a gap from an increased law enforcement capacity and weak judicial process, support to the capacities of prosecution and judicial cooperation is important.

The establishment of long term relationships between EU law enforcement agencies and counterparts in third countries, e.g. via mentoring, is considered crucial and can strengthen the link with the external aspects of internal security policy.

Most of the projects that use a traditional top-down / stick-carrot approach bring limited results when they lack the true ownership of the authorities for such change. It is important therefore to engage with authorities that demonstrate clear political will and provide for an environment ready to embrace such changes. Projects focusing more on operational cooperation seem to bring results that are more promising.

A clear risk that has been identified when linking the implementation of a project to a regional platform or regional organisation is that the implementation of activities may be hampered by leadership/mandate or organisational shortcomings of the regional platform.

More generally, in the present EU architecture of cooperation with third countries, there is a clear gap when it comes to short-term measures that can also lead to the promotion of policy dialogue in certain areas and complement medium- and long-term actions. Tools and mechanisms for flexible and quick impact measures are missing, also in the area of drug-related cooperation where EU expertise could be utilised to transfer knowledge and also promote EU policies (balanced and evidence-based approach) and good practices in third countries. Therefore, a demand-driven, flexible initiative to enhance capacities of third countries through short-term, technical assistance targeting diverse dimensions of drug-related organised crime would address this existing gap. In ensuring ownership, such support would allow capacity building in both policy making and operational levels.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

Past IcSP activities on SALW show that technical measures need to be coupled with sustainable capacity building support. Furthermore, technical and financial support should be accompanied by awareness raising of decision-makers regarding the direct benefits these interventions will have for security and development. Previous phases of iARMS also pointed

out that user feedback is necessary on a regular basis and for this reason the iARMS Users Working Group has been established. Overall, 129 National Central Bureaus have created user accounts in the iARMS database, with approximately 3,500 searches conducted and some 1,800 tracing requests submitted. The first hit linking a stolen firearm record from Costa Rica to firearms recovered in Panama occurred in 2013, whilst the total number of hits is currently 4 with 10 more hits being verified by the user countries. iARMS was also used during the Operation Lionfish II in the Central and South Americas and the Caribbean, whilst the relevant authorities utilised the system in the investigations of the January 2015 terrorist attacks in Paris (Charlie Hebdo). Close coordination is ensured with EUROPOL via the Firearms European Multidisciplinary Platform against Criminal Threats (EMPACT) Group.

3.2 Complementarity, synergy and donor coordination

In general, coordination with the EU Member States is ensured in the different relevant Council Working Groups, notably those on drugs (HDG), on global Disarmament and Arms Control (CODUN), the Working Party on General Matters including Evaluation (GENVAL), as well as the relevant geographic working groups. Coordination in the different strategy frameworks is combined with political and technical dialogue and exchange of information with EU Member States.

Coordination on the ground with other donors and implementing agencies, most notably the World Customs Organisation (WCO), the Organisation for Security and Co-operation in Europe (OSCE), the International Centre for Migration Policy Development (ICMPD), the United Nations Development Programme (UNDP), the United Nations Office on Drugs and Crime (UNODC), and the United States Agency for International Development (USAID), is ensured also through their regional and country offices in the field.

A significant number of EU programmes are directly or indirectly relevant to capacity-building and law enforcement activities for fighting organised crime. Many of the actions under the current proposal build on past and on-going activities and will be complementary to other EU initiatives at national or regional level, EU member states activities, and actions from international organisations or donors. An overview of donor coordination (within the EU and with third actors) on each specific project within this broader area of support by the IcSP will be provided in the relevant project descriptions of each action.

Considering that illicit trafficking routes are also used for wildlife trafficking and illegal movements of waste and chemicals, the foreseen actions against organised crime by enhancing the overall capacities of the pertinent authorities may also have a positive impact on the fight against environment-related illegal trafficking.

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

Increasing consensus is that the solution to the drug problem lies with confidence building in the region among the participating countries. This has been evidenced by the increase in bilateral, trilateral and multilateral initiatives over the last few years (e.g. Quadrilateral initiative (Sochi Process), the Heart of Asia/Istanbul process, the Regional Narcotics Ministerial (Islamabad, 2012).

The Istanbul Process on Regional Security and Cooperation for a Secure and Stable Afghanistan (Heart of Asia) was initiated by Turkey at a Ministerial Conference held in Istanbul in November 2011 and launched a fresh attempt at coordinated co-operation for peace and stabilisation between Afghanistan and its neighbours. It is the only regional political process featuring Afghanistan and its near neighbours in the lead and addresses regional

cooperation as an important element for shifting the political focus away from conflict, towards encouraging trade and transit. The Heart of Asia has the singularity of a result-oriented policy dialogue process framed around the implementation and coordination of commonly agreed Confidence Building Measures (CBMs). These aim at knitting the countries together in such a way that incentives for peace would over time outweigh security dilemmas. The EU is an observer and strong supporter of the process.

The Paris Pact Initiative (PPI) is a partnership of 58 countries (including all EU Member States) and 20 international organisations, providing a framework for the fight against opiates from Afghanistan. It aims at the reduction of illicit traffic in opiates, including opium poppy cultivation, production and global consumption of heroin and other opiates, and at the establishment of a broad international coalition to combat illicit traffic in opiates. The third Ministerial Conference 2012 in Vienna adopted the Vienna Declaration which reaffirmed the commitments of Paris Pact partners, in particular to strengthen regional initiatives; to address financial flows linked to illicit traffic in opiates; to prevent the diversion of precursor chemicals and to reduce drug abuse and dependence. The Paris Pact is neither an international nor a regional organisation.

The Central Asia Border Security Initiative (CABSI) is a political forum to discuss the border security related issues in Central Asia. It was launched in 2003 by the Austrian Federal Ministry of the Interior to provide a forum for coordination and discussion of programme activities and strategic objectives of the EU-funded BOMCA Programme.

The action foreseen has been designed to ensure coordination with the relevant EU-funded capacity building projects financed through other regional and bilateral programmes. At the inception phase, a coordination mechanism will be established involving relevant stakeholders (DG DEVCO, DG NEAR, EEAS, DG HOME, FPI and the concerned EU Delegations) in order to enhance synergies and avoid duplication. Existing coordination platforms and mechanisms amongst donors will also be used as appropriate, namely the Mini-Dublin Groups, the Fontanot Group, the G-7 Rome-Lyon Group, and other local coordination groups, in addition to the Heart of Asia, the Paris Pact, and CABSI frameworks.

The Action of **Component A** complements a number of projects and initiatives that are currently in progress, inter alia:

- *EU's Border Management in Central Asia Programme (BOMCA)*
- *EU's Central Asia Drug Action Programme (CADAP)*
- *EU's Border Management in Northern Afghanistan (BOMNAF)*
- *EU Border Assistance Mission to Moldova and Ukraine (EUBAM)*
- *Eastern Partnership Police Cooperation Programme (2014 – 2018) with an overall objective is to increase police cooperation on issues related to cross-border crime between the EU and Eastern Partnership countries and among the Eastern European countries themselves.*
- *UNODC's Regional Programme for Promoting Counter Narcotics Efforts in Afghanistan and its Neighbouring Countries ("the Regional Programme")*
- *UNODC's project on Countering the Traffic of Afghan Opiates via the Northern Route by Enhancing the Capacity of Key Border Crossing Points and through the Establishment of Border Liaison Officers (BLOs)*
- *US's Central Command Counter-Narcotics Programme*
- *INL's "Fight against Trafficking from/to Afghanistan" programme*
- *UNODC/WCO's Container Control Programme*
- *OSCE's Support to Regional Cooperation in Border Security and Management*

- *IOM's Border Management Information System*

The Action of **Component B** complements a number of projects and initiatives that are currently in progress, inter alia:

- *Countering transnational illicit arms trafficking through the implementation of the UN Convention against transnational organized crime and its firearms protocol*: a project funded under the *Instrument of Stability* and implemented by the United Nations Office on Drugs and Crime (UNODC); synergies have been established and exploited already in the previous phases and allowed from benefiting from cross-sharing and learning;
- *Fight Against the Illicit Accumulation and Trafficking of Firearms in Africa (Phase 2)*: a project funded under the *Instrument for Stability* and implemented by the Regional Centre for Small Arms (RECSA);
- *iTRACE* funded by the EU (Council Decision 2013/698/CFSP of 25 November 2013), a conventional weapons tracking database combined with an extensive programme of in-conflict field investigations.
- *The European Union Focal Point on Firearms* created in 2014 to prevent and combat the forms of criminality within EUROPOL's mandate associated with the illicit activities of criminal organizations involved in illegal trafficking in firearms;
- *Inter-institutional Training Course on Combating Illicit Trafficking in Firearms, Ammunition and Explosives (IITC)* of the United Nations Regional Centre for Peace Disarmament and Development in Latin America and the Caribbean (UNLIREC);
- *The United Nations Regional Centre for Peace and Security in Africa (UNREC) programme* to build the firearms control capacities of African countries;
- *INTERPOL's relevant Capacity Building Programmes (on Organized Crime; on Counter-Terrorism; Global Maritime Piracy System; on Environmental Crime)*.

3.3 Cross-cutting issues

Actions in the area of fighting against organised crime cut across many different sectors and issues, ranging from human rights, gender equality, good governance, and labour migration to criminal law and border management. The activities of the Actions foreseen in this Action Document will be carried out in conformity with the principles of rule of law, good governance and internationally recognised human rights standards as well as taking into account further victim-related and gender issues.

All assistance and training aspects must include precautionary measures to assure international human rights standards and norms are met. The possible impact of the actions on the respect of human rights, good governance and gender issues will be constantly monitored and corrective measures will be carried out where relevant and necessary. Involvement of civil society is key for a holistic approach in addressing the organised crime phenomenon. Care will be taken to ensure safeguards governing law enforcement powers and their agencies' respect of human rights and data protection. Regarding Component B, the exchange of information via INTERPOL channels is coupled with legal guarantees within the limits of the laws existing in different countries and in the spirit of the Universal Declaration of Human Rights (Article 2, INTERPOL Constitution).

In providing technical assistance and capacity building, the issue of corruption should be carefully considered, in particular with regards to the control and audit of programmatic funds. Programme implementers must observe regulatory measures to mitigate funds transfers to politically exposed persons or other individuals or entities that may abuse programmatic arrangements. Corruption is of specific concern in the region covered by Component A. To

mitigate the challenges posed by endemic corruption, anti-corruption actions will be comprehensively integrated into all parts of the training and awareness raising activities.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

4.1.1 Overall objective

In accordance with the IcSP Multi Annual Indicative programme 2014-17, the overall objective of support in this area is to prevent and fight organised crime, including the illicit trafficking in drugs, firearms and explosives.

Therefore, in addressing the security-development nexus and the mandate of the EU's "Agenda for Change", the IcSP will contribute to the achievement of the EU policy objectives in the areas of development, peace building, conflict prevention and international security.

4.1.2 Specific Objectives

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

The specific objective is to increase the effectiveness of measures against organised crime and illicit drugs trafficking along the countries of the so-called "Heroin Route" from/to Afghanistan in order to offer security to their citizens while ensuring compliance with human rights and the rule of law. All measures undertaken as part of this action shall incorporate human rights safeguards and good governance principles, promote the rule of law and ensure compliance with international law, including international human rights and humanitarian law.

The main subcomponents are as follows:

- To strengthen due process-compliant capacities and operational skills of criminal justice authorities (law enforcement, investigators, prosecutors) in beneficiary countries in the region to better address drug-related organised crime, with special focus on (i) their capacities to undertake intelligence-led and evidence-based criminal investigations (preparing and developing cases) in accordance with international human rights standards and the rule of law; (ii) as well as their capacities for strategic analysis and threat assessments;
- To enhance the expertise of relevant authorities in the beneficiary countries in the fight against drugs through the promotion and adoption of good practices, compliant with international human rights standards and coherent with EU strategies and policies;
- To promote cooperation at a (trans-)regional level in the fight against organised crime and drug trafficking by reinforcing trust and networking amongst relevant authorities in the beneficiary countries, as well as between them and their EU counterparts.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

The specific objective is to further extend the use and enhance the functionality of INTERPOL's lost or stolen firearms tracking and tracing database (iARMS), enhance interaction with INTERPOL's relevant tools and services,¹¹ and provide related capacity building, training and criminal intelligence services that will contribute to curbing the illicit accumulation of and trafficking in firearms.

¹¹ Such as the INTERPOL Ballistic Information Network, Fingerprints and DNA.

4.2 Expected Results and Main activities

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

In order to meet the specific objectives mentioned above, Component A is designed to deliver three results, described below. All of these results are mutually reinforcing, building on a national, regional and trans-regional approach, promoting the comprehensive and balanced EU approach on drugs and ensuring compliance with human rights as well as facilitating synergies with the EU policy cycle for organised and serious international crime and the European Multidisciplinary Platform against Criminal Threats (EMPACT).

Result 1: Increased due process-compliant institutional and operational capacities in priority countries (up to maximum five, ideally one country from each sub-region along the so-called "heroin route" from/to Afghanistan) to implement, in a transparent manner, policy tools and operational responses in the fight against drug-related organised crime.

The focus of the support in this regard will be two-fold: intelligence-led and evidence-based criminal investigation skills as well as threat assessment capabilities in a way that incorporates and promotes due process and human rights safeguards.

This component will focus on strengthening skills in areas such as the gathering of intelligence, developing criminal cases, investigation techniques, and improved prosecutorial capacities, as well as strategic analysis. The result is designed to respond to a concrete need for hands-on practical training primarily for law enforcement and intelligence officers, investigators and prosecutors, promoting case integrity by strengthened application of due process and compliance with international law and human rights law. Strong vetting and human rights safeguards will be incorporated across the indicative focus areas such as intelligence analysis, special investigation techniques, management of criminal cases, improvement of prosecutorial capacities and strengthening of threat assessment capabilities. To encourage sustainability, cooperation with the police and judicial academies would be pursued.

The selection of the countries will be based upon expressed political will and change management motivation, including their commitment to the Rule of Law but also their ambition to this end, as well their potential to serve as sub-regional hubs and act as a catalysator that could potentially create a multiplier effect. It is expected that through a phased approach, these countries would encourage changes in and between their regions and start cooperation gradually around more consensual matters first. The gradual adoption of compatible methods and indicators by the different countries is aimed to foster progressive (trans-)regional cooperation.

Result 2: Enhanced promotion of best practices and expertise through the establishment of a demand-driven technical assistance facility to provide short-term, tailor-made technical advice and peer-to-peer cooperation both on drug-supply and drug-demand reduction issues, and may also include relevant cross-cutting issues (for example drug policy and strategy development, threat assessments) on the basis of best practices and in line with a balanced approach, to and regional organisations along the so-called "heroin route" from/to Afghanistan.

This expertise facility will enable short-term transfer of knowledge, practices and experience to support partner countries and (regional) organisations in improving different aspects of their drug policies and response in a holistic manner both regarding drug-supply and drug-demand reduction aspects as well as relevant cross-cutting issues, corresponding to their national and/or institutional priorities and needs.

The facility is aimed to promote a unified approach of EU standards and best practices in line with the EU Drugs Strategy and Action Plan. The flexible design of the targeted assistance shall facilitate dialogue with partner countries and open new channels of cooperation in the area of drugs with countries that had not received EU assistance in this area before and also strengthen multi-stakeholder engagement in this field.

To the extent possible, focus shall be given to structural activities instead of one-off interventions, whilst a strong scrutiny will be placed to ensure non-duplication or overlap with activities undertaken in priority countries under Result 1. The programme will define during its inception phase the modalities for the deployment of the assistance as well as list of the type of assistance ("toolkits") that could be provided under this facility in full compliance with international human rights standards, good governance principles and the rule of law, whilst ensuring that policy, research and best practices are inter-linked.

It is expected that the assistance provided under the facility will be also feed into the process of trans-regional cooperation initiatives under Result 3. The facility will need to have light management procedures and should correspond to the needs of third countries without overburdening them.

Result 3: Reinforced trust and trans-regional cooperation as well as improved networks through cooperation initiatives on drug-related issues amongst beneficiary countries as well as with their counterparts in EU, including public authorities and civil society as well as relevant regional organisations. This result directly relates to the implementation of small- scaled (trans-)regional cooperation initiatives. Themes to be covered include drug trafficking; prevention of the diversion of precursor chemicals; forensic analysis; judiciary cooperation; drug monitoring and prevention of drug abuse; treatment of drug addicts and support of vulnerable populations; as well as cross-cutting aspects as civilian oversight and community-based actions on drug-related measures.

Each (trans-)regional cooperation initiative should focus on a specific and practical issue identified by the beneficiaries. These (trans-)regional cooperation initiatives would focus on issues such as joint training, operational meetings on actual cases or regional cooperation modalities. When reaching a certain level of maturity, once trust is established, it is envisaged that the focus of these (trans-)regional cooperation initiatives will gradually shift to joint operations.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

iARMS database will assist INTERPOL member countries to identify the patterns of illicit firearms movement and assist INTERPOL member countries to design interventions to address the proliferation of small arms and light weapons. iARMS Phase IV will seek to enhance the positive momentum reached in Phase II and continued during the ongoing Phase III by translating the applicability of the iARMS database to support field operations to target and remove illicit firearms from circulation in INTERPOL countries. iARMS work will be closely coordinated with other relevant actors.

The main expected results are:

Result 1: Law enforcement agency capacity to use iARMS strengthened, including through the promotion of quality data inputting;

Result 2: iARMS system functionality boosted to support enhanced criminal intelligence services, cross-referencing with other INTERPOL law enforcement tools and technical improvements;

Result 3: iARMS data used for analytical purposes to increase knowledge and understanding

of firearms crime and of the trafficking flows;

Result 4: Regular INTERPOL led operations targeting illicit firearms in INTERPOL member countries.

Main activities

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

To achieve the results mentioned above, main activities will indicatively include:

- national, regional and inter-regional training modules and mentoring cycles addressing the concerned stakeholders (also via a train-the-trainers approach);
- providing technical assistance (which may be coupled with the supply of corresponding equipment where necessary and appropriate);
- undertaking of table-top exercises and mock operations;
- facilitation of operational meetings promoting inter-agency and trans-national cooperation in actual cases/investigations;
- support for the organisation of joint operations and investigations;
- facilitation of control deliveries when pertinent and if permitted by the respective domestic legal systems;
- incorporating modules on human rights safeguards, oversight and anti-corruption issues;
- preparation of handbooks;
- supporting, promoting and further consolidating existing regional networks;
- promoting liaison and virtual information and the use of IT tools.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

Main activities will indicatively include:

- Expanding the incorporation of complementarity with other major systems (in particular the Schengen Information System II) and Business-to-Business (B2B) data sharing capabilities in the system, including, as far as possible, complementarity of data structure;
- Establishing a direct interface or common search tools between iARMS and existing national tracing systems and national stolen and lost firearms databases with a view to enable searching of multiple databases (eg. national systems, iARMS, Schengen Information System II, iTRACE) in a single end-user transaction;
- Establishing formal data sharing arrangements or sharing capabilities with complementary systems currently in use or under development;
- Preparing and delivering of instructor-led and online training courses, as well as associated reference and other materials pertaining to the identification, prevention, conventional, investigation and prosecution of firearm-related crime, particularly illicit firearms trafficking;
- Synergising with and providing expert contribution to, training and capacity building programmes of regional and international organizations pertaining to firearms-related crime, such as other IcsP-funded SALW projects and the European Police College.

4.3 Intervention logic

See Appendixes 1 and 2 for Component A and B respectively.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner countries, referred to in 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) from the date of the 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

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route

5.3.1 Indirect management with a Member State agency

In accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012, this action will be implemented in indirect management with the International and Ibero-American Foundation for Administration and Public Policies (FIIAPP).

This implementation entails to manage and be responsible for the execution of the action, for the budget made available by the Commission (EUR 12 million).

This implementation is justified due to the combined nature of the activities foreseen (provision of capacity building and technical assistance to strengthen relevant actors against drug-related organised crime in accordance with the principles of rule of law as well as budget-implementation tasks) but also in order to reinforce the nexus between the internal and the external dimensions of the EU's security policy and to avoid duplication and overlap with similar activities.

FIIAPP, supported by other EU Member States agencies, is best placed to cover the wide range of fields of expertise required to perform interventions in the diverse fields of information sharing, capacity building, law enforcement, and regional cooperation while ensuring confidentiality.

The entrusted entity would carry out the following budget-implementation tasks: acting as contracting authority concluding, monitoring and managing contracts, carrying out payments, and recovering moneys due; management of procurement procedures for hiring staff, purchasing goods and equipment, hiring consulting services, and any other relevant transactions.

Involvement of expertise from relevant EU Decentralised Agencies, such as EUROPOL, EMCDDA and EUROJUST, should be pursued to the extent possible subject to their mandate, priorities, procedures and resources and in coordination with their partner Directorate General of the European Commission.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV)

5.3.2 Grant: direct award to INTERPOL

This action will be implemented with a direct award to INTERPOL (direct management).

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results: The specific objective is to contribute to the combat of illicit flows of firearms and firearm-related crime by further promoting the use and enhancing the functionality of INTERPOL's lost or stolen firearms tracking and tracing database (iARMS) and by providing related capacity building, training and criminal intelligence services.

(b) Justification of a direct grant: Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to INTERPOL.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is because of the de facto monopoly of INTERPOL in implementing the Action which seeks to roll out iARMS, a global stolen and lost firearms tracking and tracing system with accompanying analytical features for law enforcement agencies. The monopoly derives from INTERPOL's global, specialised police cooperation mandate which makes it both legally and technically the most suitable implementer. As such, INTERPOL has exclusive competence in this field of activity with a global geographical mandate (190 INTERPOL Member Countries) and it is currently implementing phase III of this Action. This choice is in line with Article 190(1)(c) of the Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012. The direct award is furthermore justified by the specific characteristics of the action that require a particular type of body on account of its technical competence.

(d) Essential selection and award criteria: The essential selection criteria are the financial and operational capacity of the applicant. The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(e) Maximum rate of co-financing: The maximum possible rate of co-financing for this grant is 100%. In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, full funding is essential for the action to be carried out, therefore the maximum possible rate of co-financing is increased to 100%. The essentiality of full funding is justified, in respect of the principles of equal treatment and sound financial management, due to the fact that the iARMS database was developed as a joint initiative of INTERPOL and the European Commission and in its initial stages requires certainty of continuity and the EU has an interest in being the sole donor.

(f) Indicative trimester to conclude the grant agreement: Third semester

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

Outcomes	EU contribution (amount in EUR)	Third party contribution
5.4.1. Component A Indirect management with EU Member State agency, including:	12,000,000	

Evaluation and audit	100,000	
Communication and visibility	200,000	
Contingencies	0	
5.4.2. Component B – Direct grant to INTERPOL, including:	2,500,000	
Evaluation and audit	50,000	
Communication and visibility	100,000	
Contingencies	0	
GRAND TOTAL	14,500,000	0

5.6 Organisational set-up and responsibilities

Component A: Enhanced Cooperation and Capacity Building to address Drug-related Organised Crime along the Heroin Route: The implementation of this project will be coordinated and led by FIIAPP.

Component B: Small Arms and Light Weapons (SALW) and explosives (iARMS IV): The implementation of this project will be coordinated and led by INTERPOL.

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 of Component A, a final evaluation may be carried out for Component A via independent consultants. For Component B, a mid-term evaluation of the Action for the first three phases of iARMS is foreseen to be carried out during the ongoing Phase III (2015-2016) by the implementing partner for learning purposes, in particular with respect to taking on board technical suggestions in the implementation of Phase IV. The evaluation reports shall be shared with the partner countries and other key stakeholders.

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 5.6 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 1 - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

COMPONENT A: ENHANCED COOPERATION AND CAPACITY BUILDING TO ADDRESS DRUG-RELATED ORGANISED CRIME ALONG THE HEROIN ROUTE

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

	Intervention logic	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	To prevent and fight organised crime, including the illicit trafficking in drugs.	<ul style="list-style-type: none"> Reduction of drug use and drug trafficking Increased number of arrests and dismantlement of organised crime networks 	Number of drug addicts; number of OC-related arrests and prosecutions; Corruption index; in 2015	A 10 % reduction of drug abuse; a 100% increased in the number of OC related arrests and prosecution; improvement of corruption index	Assessment of the project at EU dialogue with the region and individual countries. Midterm review and final evaluation EU, UN and independent reports. Assessments by national and international human rights organizations.	
Specific objective(s): Outcome(s)	<p>To strengthen the capacities and operational skills of criminal justice authorities (law enforcement, investigators, prosecutors) in beneficiary countries in the region to better address drug-related organised crime, with special focus on: (i) their capacities to undertake intelligence-led and evidence-based criminal investigations (preparing and developing cases) in accordance with international human rights standards and the rule of law; (ii) as well as their capacities for strategic analysis and threat assessments;</p> <p>To enhance the expertise of relevant authorities in the beneficiary countries in the fight against drugs through the</p>	<ul style="list-style-type: none"> Number of information exchanges and practical cooperation among participating authorities and between them and their EU counterparts. Number of regulations, plan strategies and methodologies adopted by authorities as a results of project intervention. Perceptions from beneficiary authorities and authorities in the EU on the quality of the cooperation following implementation of the project. 	<ul style="list-style-type: none"> from 0 to 2 per year 0 cooperation is perceived as inexistent or limited 	<ul style="list-style-type: none"> from 5 to 20 per year per country 2-4 cooperation is perceived as regular with trusted point of contact in several authorities 	Fact-finding mission reports; online surveys; national reports	<p>No further deterioration of the current security situation (already challenging and volatile).</p> <p>Necessary political will at the national and regional level.</p> <p>Access to relevant information granted.</p>

	<p>promotion and adoption of good practices, compliant with international human rights standards and coherent with EU strategies and policies;</p> <p>To promote cooperation at a (trans-)regional level in the fight against organised crime and drug trafficking by reinforcing trust and networking amongst relevant authorities in the beneficiary countries, as well as between them and their EU counterparts.</p>					
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Outputs</p>	<p>Increased institutional and operational capacities in priority countries to implement in a transparent manner policy tools and operational responses in the fight against drug-related organised crime (intelligence-led criminal investigation skills and threat assessment capabilities).</p> <p>Enhanced promotion of best practices and expertise through the establishment of a demand-driven technical assistance facility to provide short-term, tailor-made technical advice and peer-to-peer cooperation on drug-supply and drug-demand reduction aspects as well as relevant cross-cutting issues.</p> <p>Reinforced trust and trans-regional cooperation as well as improved networks through cooperation initiatives on drug-related issues amongst beneficiary countries as well as with their counterparts in EU.</p>	<p>Perceptions from beneficiary authorities and authorities in the EU on the quality of the cooperation following implementation of the project.</p> <p>Number of staff participating to the capacity building and cooperation initiatives and still in place 24 months after.</p> <p>Number of authorities whose operational capacities were reinforced by the project.</p> <p>Number of countries drafting strategy and thread assessment reports.</p> <p>Number of regional initiatives implemented following support provided by the project.</p>	<p>Idem as above.</p>	<p>Idem as above.</p>	<p>Idem as above.</p>	<p>Necessary political will at the national and regional level to engage with the EU and the project.</p> <p>Willingness of EU Member States to provide expertise.</p>

APPENDIX 2 - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

COMPONENT B: SMALL ARMS AND LIGHT WEAPONS (SALW) AND EXPLOSIVES (IARMS IV)

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

	Intervention logic	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	To prevent and fight organised crime, including the illicit trafficking in firearms and explosives.	<ul style="list-style-type: none"> Number of national firearms database connected to iARMS Number of iARMS searches and traces requests in criminal investigations on firearm related crime Number of analytical reports on transnational crime emerging from iARMS Number of Firearms traffickers and illicit flows identified 	70% of INTERPOL member countries contributing to the population of data in iARMS by 2018	To increase the level of data in iARMS to 4,5 Million records by 2020	<ul style="list-style-type: none"> INTERPOL reports Member Country reports iARMS analytical reports iARMS Working Group reports 	<ul style="list-style-type: none"> Member Country commitment to use and further develop iARMS iARMS system stability
Specific objective(s): Outcome(s)	To further extend the use and enhance the functionality of Illicit Arms Records tracing and Management System (iARMS), enhance interaction with all of INTERPOL tools and services; and provide related capacity building, training and criminal intelligence services that will contribute to the curbing of illicit use and trafficking in firearms.	<ul style="list-style-type: none"> Number of countries/users of iARMS Increased Number of interfaces established Increased Number of software and hardware upgrades installed Number of training courses developed and delivered Number of capacity building initiatives supported Number of intelligence reports disseminated by INTERPOL Firearms programme 	7 potential national databases identified and ready for database interoperability by 2020	To make iARMS database ready for interoperability by the year 2018 .	<ul style="list-style-type: none"> INTERPOL reports iARMS service reports Training evaluation reports. Capacity Building and Training Reports 	<ul style="list-style-type: none"> In-house support from CBT Member country commitment
Output	Law enforcement agencies capacities to use iARMS are	Number of trainings developed and delivered	16 iARMS training courses conducted	To conduct at least 4 iARMS training	<ul style="list-style-type: none"> Training reports 	<ul style="list-style-type: none"> Member

	strengthened, including through the promotion of quality data inputting.	Number of capacity building initiatives supported	by 2020	courses per year	<ul style="list-style-type: none"> Participant feedback INTERPOL Reports Training reports Stakeholder feedback 	<p>countries participation</p> <ul style="list-style-type: none"> Presenters identified and engaged
	iARMS system functionality boosted to support enhanced criminal intelligence services, cross referencing with other INTERPOL law enforcement tools/specialised units and technical improvements such as the INTERPOL Ballistic Information Network (IBIN), DNA and Fingerprints	<ul style="list-style-type: none"> Number of INTERPOL specialised units/tools and services cross referencing with iARMS Number of IBIN,DNA and Fingerprint trainings and outreach missions conducted. 	2 INTERPOL specialised units/tools and services able to cross reference with iARMS by 2018	To be able to share data with at least one INTERPOL tools and services by 2018	<ul style="list-style-type: none"> iARMS system specifications iARMS software upgrades IBIN database statistical reports 	In-house support from IS
	iARMS data used for analytical purposes to increase knowledge and understanding of firearms crime and of the trafficking flows	<ul style="list-style-type: none"> Number of intelligence materials disseminated Number of reports disseminated 	iARMS Quarterly crime analysis reports disseminated by 2017	To produce at least 4 quarterly iARMS crime analysis reports	<ul style="list-style-type: none"> Number of intelligence reports released Quarterly Reports 	Member countries participation in iARMS data creation
	Regular INTERPOL led operations targeting illicit firearms in INTERPOL member countries.	<ul style="list-style-type: none"> Number of INTERPOL coordinated Operations 	iARMS project coordinate at least 4 operations by 2020	To participate in at least one operation per year.	INTERPOL Operations reports	Member country commitment