EN

ANNEX

of the Commission Implementing Decision on the 2018 Individual Measure for the Partnership Instrument

Action Fiche for Policy Support Facility (PSF)

| 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 calls for proposals: 4.1.2. “Grants: call for proposals (direct management)”.

1. IDENTIFICATION

<table>
<thead>
<tr>
<th>Title of the action</th>
<th>Policy Support Facility (PSF)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Country(ies)/Region</td>
<td>Global</td>
</tr>
<tr>
<td>Total cost</td>
<td>Total estimated cost: EUR 4 000 000</td>
</tr>
<tr>
<td></td>
<td>Total amount of the EU budget contribution: EUR 4 000 000</td>
</tr>
<tr>
<td>Total duration¹</td>
<td>18 months</td>
</tr>
<tr>
<td>Method of implementation</td>
<td>Direct management</td>
</tr>
<tr>
<td></td>
<td>Procurement – Services</td>
</tr>
<tr>
<td></td>
<td>Grants – call for proposals</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Markers (from CRIS DAC form)</th>
<th>Not targeted</th>
<th>Significant objective</th>
<th>Main objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biological diversity</td>
<td>☑</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Combat desertification</td>
<td>☑</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Climate change mitigation</td>
<td>☐</td>
<td>☑</td>
<td>☐</td>
</tr>
<tr>
<td>Climate change adaptation</td>
<td>☑</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

¹ Maximum duration of the operational implementation period of individual contracts upon their signature.
2. RATIONALE AND CONTEXT

2.1. Summary of the action and its objectives

The overall aim of the Policy Support Facility (PSF) is to support the EU’s priorities and to influence the partner countries/regions’ agenda positively, so that it aligns as much as possible with the EU’s policies, objectives and values (especially when it relates to values, governance, standards, consumer protection including consumer product safety, climate change or the protection of the environment); an active and engaging policy dialogue will foster mutual understanding as well as common responses to global challenges.

2.2. Context

The Partnership Instrument (PI) includes, amongst its thematic priorities, support for the implementation of Partnership and Cooperation Agreements, Action Plans and similar bilateral instruments, strengthening the political and economic dialogue with third countries of particular relevance in world affairs, including in foreign policy; support for negotiation and implementation of Economic Partnership Agreements; supporting engagement with relevant third countries on bilateral and global issues of common concern; enhancing policy dialogues and cooperation with relevant third countries, taking into consideration all areas within the scope of the Europe 2020 strategy; promoting the Union's internal policies with key partner countries and supporting regulatory convergence in this regard. The adoption of the 2030 Agenda and its shared universal set of Sustainable Development Goals provide an ambitious and bold new vision for the EU and its partners to address a range of global challenges.

In order to address these priorities, a Policy Support Facility was created by the Partnership Instrument Annual Action Programme (AAP) 2014 to respond to the dynamic and fast-changing global environment that European policies have been confronted with in terms of partner countries’/regions’ approaches to these policies and to promote European interests.

The Annual Action Programmes 2015, 2016 and 2017 included a further allocations for the PSF which allowed the continuation of the implementation of the facility.

This PSF is conceived as a rapid-response tool enabling targeted, flexible and tailor-made short-term actions. As such, it is implemented primarily through a multiple Global Framework Contract with three lots; in duly justified cases, services may exceptionally be contracted through other existing framework contracts managed by other DGs upon agreement by the responsible service and/or tendered outside existing framework contracts. For some activities under the PSF, in particular those targeting multilateral relations of the European Union, a grant under direct management is the most suitable implementation method.
2.3. **Lessons learnt**

The design of the PSF and its internal processes was based on lessons from existing similar dialogue facilities that point to the importance of identifying priority areas for enhancing the partnerships, allowing the facility’s efforts to be concentrated in sectors with clear strategic interest, specific engagements and foreseeable EU or shared benefits. However, several actions under these different facilities have not necessarily served the policy dialogue in the long-run due to their isolation, a lack of vision and/or work programme of the dialogue and/or the unwillingness of one of the partners to implement the activity. The Service for Foreign Policy Instruments (FPI) strives to avoid the repetition of these short-comings by proposing to enhance assessment processes under the PSF.

Previous projects have shown the importance of maintaining a high degree of flexibility to respond to changing priorities or political commitments, while also planning and ensuring continuity of activities in a number of key priority areas. Careful planning will be also essential to help manage the financial and logistic uncertainties derived from the demand-driven approach of the action. It will be also essential to ensure the active participation of relevant DGs responsible for each dialogue in the follow-up of political engagements.

2.4. **Complementary actions**

The Policy Support Facility co-exists with several country-specific policy dialogue facilities funded through the Partnership Instrument (for Brazil under AAP 2015, for China and Mexico under the AAP 2017). The overall objective of those country-specific actions is to contribute to strengthening and further enlarging bilateral relations through supporting sector dialogues on priority themes of mutual interest in order to enhance the strategic partnership between EU and the countries concerned. Complementarities and synergies will be sought with projects that will be covered under these facilities.

2.5. **Cross-cutting issues**

Each individual action under the Policy Support Facility will identify its respective cross-cutting issues during the identification of the specific action.

3. **Detailed Description**

3.1. **Objectives**

To support policy dialogues between the EU and partner countries on bilateral and global issues of common concern and to facilitate economic and trade relations with partner countries.

It will complement/support the external dimension of internal policies conducted under the other EU political programmes and instruments.

3.2. **Expected results and main activities**

R1: Improved bases for policy dialogues of the EU with partner countries and the improvement of the quality of co-operation with those partner countries in areas of common interest.

R2: Improved bases for activating or renewing debates relevant to EU, international or joint agendas.
R3: Improved bases for adoption/approximation to EU and international standards.

For the purpose of the PSF a Global Framework Contract was tendered, consisting of the following three Lots:

- **Lot 1 – Event organisation**: logistics, travel and accommodation associated to conferences, forums, workshops, study visits, incl. logistical support for working sessions on policy dialogues (in Europe or partner country), etc.

- **Lot 3 – Information and communication**: information and communication actions of the EU.

- **Lot 4 – Market Access and Trade & Investment Agreement Negotiation & Implementation**: legal analysis and advice, expertise to support Delegations coordinating Market Access Teams, translations, statistics and collection of data and analysis, expert seminars, workshops, technical assistance to support partner countries implement necessary reforms, monitoring of trade agreements.

An additional Lot (Lot 2) on technical expertise was abandoned during the procurement procedure. The needs of this lot will be covered by the existing Framework Contracts managed by the Commission; this was rendered possible following an amendment of the Financial Regulation which came into force in January 2016.

### 3.3. Risks and assumptions

**R.1.** The activity is an isolated event and does not contribute to deepening the policy dialogue.

**M.1** A proposal has to be presented for approval of the activity and one of the requirements for approval is that the proposal makes it made clear how this activity is embedded in a policy dialogue and/or agenda.

**R2.** The activity overlaps with or duplicates activities carried out by other Commission services.

**M2.** As part of the approval process, all relevant European Commission services are consulted on the proposed activity.

**R3.** Insufficient absorption capacity of the users (EEAS, European Commission services) to provide the technical and policy steer of the activity.

**R4.** A proposal has to be presented along with an endorsement letter at an appropriate level of hierarchy; the endorsement letter specifically appoints a focal person in charge of the technical and/or policy steer.

**A1** Sufficient staff is available in the Service for Foreign Policy Instruments both at HQ level and in EU Delegations to manage the PSF.

### 3.4. Stakeholders

Direct stakeholders and partners of the different activities within the facility are partner country administrations involved in the dialogues, together with the corresponding services of the European Commission, the EEAS and other partner country and European public and private institutions interested in the policy dialogues (regional and local governments, universities and research centres,
business and socio-professional associations, non-governmental organisations, cultural institutions etc.).

Indirect stakeholders are EU Member States, all private and institutional/public stakeholders at different levels in Europe and partner countries that may be consulted or involved in the implementation of the different activities.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

4.1.1. Procurement (direct management)

(a) Contracts: A Global Framework Contract consisting of 3 Lots was concluded in order to implement this facility. In duly justified cases, for a particular activity services may be contracted through other existing framework contracts managed by the Commission upon agreement by the responsible service and/or tendered outside existing framework contracts.

(b) Indicative number of specific contracts to be signed under the Global Framework Contract: 25

(c) Indicative number of direct contracts under calls for tenders: 5

(d) Indicative timing: Offers are being received on an ongoing basis.

4.1.2. Grants: direct award (direct management)

In duly justified cases, grants may be deemed the most suitable implementation method for a particular activity under this facility.

(a) Objectives of the grants

Grants may be used to support organisations such as civil society organisations or international organisations in their activities that underpin policy dialogues.

(b) Justification of a direct grant

Under the responsibility of the Commission’s responsible authorising officer, the grant may be awarded without a call for proposals in accordance with the provisions of article 128 of the Financial Regulation and article 190 of the Rules of Application.

4.2. Scope of geographical eligibility for procurement and grants

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

The Commission’s authorising officer responsible may extend the geographical eligibility in accordance with 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.
4.3. **Indicative budget**

<table>
<thead>
<tr>
<th>Method of Implementation</th>
<th>Amount in EUR million</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1.1 – Procurement (direct management)</td>
<td>3.5</td>
</tr>
<tr>
<td>4.1.2 – Grants (direct management)</td>
<td>0.5</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>4</strong></td>
</tr>
</tbody>
</table>

4.4. **Organisational set-up and responsibilities**

The use of the PSF is managed by the Service for Foreign Policy Instruments and with a step by step approach for submission of concept notes, assessment and screening of the proposed actions among the concerned services of the Commission, EEAS and the EU Delegation. Following this screening the proposals are either approved, asked to be resubmitted with issues addressed, or rejected. Implementation will be carried out mainly in Delegations or in HQ when issues are of global nature.

4.5. **Performance monitoring**

Day-to-day technical and financial monitoring of the implementation of the facility is carried out by the Service for Foreign Policy Instruments. Furthermore, concerned Commission services/ EEAS are required to monitor closely the performance of activities that have been proposed by them. Common Partnership Instrument indicators will be used to monitor the performance of the actions under this facility. The Commission may undertake additional project monitoring visits through independent consultants recruited directly by the Commission for independent monitoring reviews.

4.6. **Evaluation and audit**

For this project, the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

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.

As the “N+1” rule applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.5 above, will be funded from sources other than those allocated to this specific action.

4.7. **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.

Appropriate contractual obligations shall be included in, respectively, the 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.